

# Modern Slavery Act (UK) Statement

## Introduction

This statement is made pursuant to section 54 of the UK's Modern Slavery Act 2015 (the "Act"). It sets out the steps that MUFG Investor Services Holdings Ltd. and its subsidiaries in the Cayman Islands, Bermuda, Ireland, UK, Hong Kong, Singapore, Cyprus, and Canada (hereinafter 'MUFG') will take on an ongoing basis, during the 2023 financial year, to ensure that modern slavery and human trafficking are not taking place among vendors or within any part of MUFG's business.

MUFG strives to maintain the highest professional and ethical standards and expects the same from its suppliers.

Slavery and human trafficking remain entirely contradictory to the corporate values of MUFG, have no place in or connection to the organisation, and MUFG is therefore pleased to reinforce this principle through this statement.

## Background

MUFG Fund Services (UK) Ltd. provides sales and marketing services and therefore does not meet all the criteria necessary to be captured under the Act. Notwithstanding this, MUFG choose to publish this statement and implement the steps necessary to mitigate the risk of exposure to modern slavery and human trafficking, and to subsequently provide Clients with this level of comfort.

As a member of the Mitsubishi UFJ Financial Group Inc. ("MUFG Group") MUFG is committed to MUFG Group's Corporate Vision and Principles of Ethics and Conduct. These require amongst other things, that the human rights of all people are respected, MUFG act with integrity and comply at all times with the letter and spirit of laws, regulations and rules that apply to and combat criminal activity.

## Approach

MUFG has identified the following steps and measures to mitigate the risk of exposure to modern slavery and human trafficking in its business and supply chains, including but not limited to:

- Human resources policies that aim to create a working environment based on the core values of respect, fairness, collaboration, teamwork, support, trust, and transparency.
- Whistleblowing and grievance procedures, through which employees can escalate any concerns relating to modern slavery or human trafficking. MUFG has a global Whistleblowing Policy and reporting structure in place.
- Anti-bribery and anti-money laundering policies, recognising that modern slavery and human trafficking can be a precursor to bribery or money laundering activities.
- MUFG does not condone or support any form of bullying or harassment and is committed to embracing diversity and building an inclusive culture where all employees are valued, respected and their opinions count. Employment decisions are made in a non-discriminatory manner in accordance with MUFG's obligations under the law and a commitment to pay a living wage.
- MUFG seeks to engage with vendors whose ethical principles align to those of MUFG. Vendors, where applicable, are required to confirm that they have a Modern Slavery Act Statement in place, which details both their and their supply chains obligations under the Act. Confirmation that vendors

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have a whistleblowing process in place, which promotes the reporting of incidents of breaches or suspected breaches of the Act.

- Employees of MUFG are provided with regular training on the Principles of Ethics and Anti-Money Laundering.

Senior Management of MUFG fully recognise that countering modern slavery and human trafficking are issues of global importance.



Mr. John Sergides  
Chief Executive Officer

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MUFG Investor Services Holdings Limited, 5th Floor, Andrew's Place, 51 Church Street, Hamilton HM 12, Bermuda. Mitsubishi UFJ Investor Services & Banking (Luxembourg) S.A.\*, 287-289, Route d'Arlon L-1150, Luxembourg, Grand Duchy of Luxembourg, T +352 445 1801. Mitsubishi UFJ Investor Services & Banking (Luxembourg) S.A Dublin Branch, Ormonde House, 12-13 Lower Leeson Street, Dublin 2, Ireland, T +353 1 634 4270. MUFG Lux Management Company S.A, 287-289, Route d'Arlon L-1150, Luxembourg, Grand Duchy of Luxembourg. Mitsubishi UFJ Trust and Banking Corporation, New York Branch\*, 1221 Avenue of the Americas, 10th Floor, New York, NY 10020, USA, T + 212 838 7700. Mitsubishi UFJ Trust and Banking Corporation, London Branch\*, 24 Lombard Street, London, EC3V 9AJ, U.K., T +44 20 7929 2323. Mitsubishi UFJ Trust and Banking Corporation, Singapore Branch\*, 7 Straits View #23-01, Marina One East Tower, Singapore 018936, T +65 6225 9155. MUFG Fund Services (USA) LLC., 1221 Avenue of the Americas, 10th Floor, New York, NY 10020, USA, T + 1 212 295 3820. MUFG Capital Analytics LLC, 325 North St. Paul Street, Suite 4700, Dallas, Texas 75201, USA, T +1 214 765 1800. MUFG Investor Services (US) LLC, 805 King Farm Boulevard, Suite 600, Rockville, Maryland 20850, USA, T +1 301 296 5125. Mitsubishi UFJ Trust International Limited\*, 24 Lombard Street, London, EC3V 9AJ, U.K., T +44 207 929 2866. MUFG Fund Services Limited\*, 4th Floor North, Cedar House, 41 Cedar Avenue, Hamilton, HM 12, Bermuda, T +1 441 299 1355. MUFG Fund Services (Bermuda) Limited\*, 4th Floor North, Cedar House, 41 Cedar Avenue, Hamilton, HM 12, Bermuda, T +1 441 299 1355. MUFG Fund Services (Cayman) Limited\*, MUFG House, 227 Elgin Avenue, PO Box 609, Grand Cayman KY1-1107, Cayman Islands, T +1 345 914 1000. MUFG Controlled Subsidiary 1 (Cayman) Limited. MUFG Alternative Fund Services (Cayman) Limited\*, MUFG House, 227 Elgin Avenue, PO Box 852, Grand Cayman KY1-1103 Cayman Islands, T +1 345 914 1000. AFS Controlled Subsidiary 1 Ltd. AFS Controlled Subsidiary 2 Ltd. AFS Controlled Subsidiary 3 Ltd. Fund Secretaries Limited\*, MUFG House, 227 Elgin Avenue, George Town, PO Box 609, Grand Cayman KY1-1107, Cayman Islands, T +1 345 914 1000. MUFG Fund Services (Ireland) Limited\*, Ormonde House, 12-13 Leeson Street, Dublin 2, Ireland, T +353 1 647 0500. MUFG Alternative Fund Services (Ireland) Limited\*, Ormonde House, 12-13 Leeson Street, Dublin 2, Ireland, T +353 1 647 0500. MUFG Fund Services (UK) Ltd., 24 Lombard Street, 4th Floor, London, EC3V 9AJ, U.K., T +44 20 7220 4000. MUFG Fund Services (Cyprus) Limited, City House 6 Georgiou Karaiskaki Street 3032 Limassol Cyprus. MUFG Fund Services (Halifax) Limited, Summit Place, 2nd Floor, 1601 Lower Water Street, Halifax, Nova Scotia, B3J 3P6, Canada, T +1 902 493 7000. MUFG Fund Services (Canada) Limited, 154 University Ave, Suite 700, Toronto, Ontario, M5V 3Y9, Canada, T +1 416 971 4700. MUFG Fund Services (Hong Kong) Limited, Level 54, Hopewell Centre 183, Queen's Road East, Hong Kong. MUFG Fund Services (Singapore) Pte Limited, 9 Raffles Place, #32-00 Republic Plaza Singapore 048619, T +65 6240 7500 MUFG Fund Services (Cayman) 2 Limited\*, MUFG House, 227 Elgin Avenue, P.O. Box 609, Grand Cayman KY1-1107, Cayman Islands, MUFG Fund Services (Halifax) 2 Limited, MUFG Fund Services (Halifax) 2 Limited, 1496 Bedford Highway, 4th Floor Bedford Tower, Bedford, NS B4A 1E5.

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