

# MUFG Investor Services Disclosure Statement



# Who Are We

MUFG Investor Services is a core business of MUFG, one of the world's leading financial groups. Headquartered in Tokyo, and with approximately 360 years of history and over \$3.2 trillion in assets, MUFG has a global network with around 3,000 offices in more than 50 countries. The MUFG Group has over 180,000 employees and offers services including commercial banking, trust banking, securities, credit cards, consumer finance, asset management, and leasing. MUFG is committed to the financial services industry and to expanding our Investor Services offering of value-added services to our partners.

MUFG Investor Services provides solutions to investment managers around the world, offering a broad array of asset services including fund administration, accounting, custody, trustee, depositary, banking and treasury, fund financing, corporate secretarial services, business process outsourcing, and regulatory services.

This Disclosure Statement (Statement) applies to all MUFG Investor Services regulated and unregulated entities across the globe. MUFG Investor Services has chosen to publish this statement on its *ESG Beliefs and Guiding Principles*, highlighting the steps it intends to take over the next year to provide our clients, employees, community, and wider financial services market, with a high level of comfort as we excitedly embark on the ESG journey.



# Our Beliefs on ESG

At MUFG Investor Services we are on a journey with our clients and the industry in general, our purpose being to reflect on how we, as a key market participant, can improve our own ESG practices and support our clients and their investors in theirs, with a key focus on transparency. We recognize that long term sustainable performance is dependent on striking a balance between traditional financial services criteria and minimizing the environmental impact of our service offering whilst enhancing staff wellbeing.

We center our sustainability efforts on the following core beliefs:

- Corporate purpose should deliver positive impact to a range of stakeholders, beyond profit to shareholders and unit holders alone.
- The incorporation of ESG factors to our operations, ethics, and culture is fundamental to the financial services industry.
- All participants in the financial services industry should operate sustainably and move forward together on this journey.

We embed these beliefs into our operations and services in order to realize our mission. As an integral business to the global financial market, we recognize our scale and position to influence and advance the sustainability agenda.



# Our Guiding Principles on ESG

Adapted from the World Economic Forum and the UN 2030 Agenda for Sustainable Development<sup>1</sup>, we frame our approach to ESG based on the following three principles:

## Principles of Governance

Good governance underpins the ability of an organization to influence positive change. The principles of agency, accountability and stewardship are vital ingredients of this.

Through the establishment of effective ESG monitoring and reporting to the Executive Committee and respective Boards of Directors, we will have the ability to hold ourselves accountable in tracking our effectiveness in achieving our ESG goals and being transparent on that journey.

Going forward, we will monitor and report on:

- The nature and composition of our Board of Directors and Executive Committee as well as relevant competencies relating to ESG topics.
- Our training and oversight of anti-corruption and ethics policies, procedures, and governance best practice.
- Our risk management approach for material ESG issues.



<sup>1</sup> World Economic Forum, January 2020, [Toward Common Metrics and Consistent Reporting of Sustainable Value Creation](#)

# Our Guiding Principles on ESG

## Planet

The planet provides us with life. It must be protected to support the needs of the present and future generations. As a global financial institution, we play an important role in the transition to a low-carbon society and other global actions required to combat key environmental challenges, such as climate change and biodiversity loss.

Going forward, we will monitor and report on:

- Our approach to assessing and addressing climate-related risks in line with the Task Force on Climate-Related Financial Disclosures' (TCFD) recommendations. This will include the baseline of our direct and indirect greenhouse gas emissions, the expected future impacts of climate change on our business, and our ambitions for a journey to net-zero.
- Employee initiatives that seek positive environmental impact, such as plastics use reduction and biodiversity gain.



# Our Guiding Principles on ESG

## People

Human beings should be able to fulfil their potential with dignity and equality in a healthy environment. Human rights should be protected across supply chains, and all businesses should undertake appropriate due diligence as part of a zero-tolerance approach to human rights violations.

Going forward we will report on:

- Progress made across diversity and inclusion, pay equality, and wage level across our regions, for both new and existing employees.
- Our efforts on learning and development.
- Our commitments to regional community initiatives.
- Risk identification and engagement activities with our vendors and service providers.





# Ethics and Culture

Ethics are the principles that guide employees and representatives of MUFG Investor Services to make a positive impact through our day-to-day decisions and actions. Building and maintaining relationships of trust and confidence with clients, between employees, in our community, and with wider market participants is critical, not only to our business success, but also to our standing in the markets we serve and our contributions on the ESG journey.

In the year ahead, MUFG Investor Services will be integrating additional content pertaining to our ESG journey into our Business Ethics Training module, highlighting how MUFG Investor Services is striving to further enhance its ethical behavior and culture.



## Our Value Chain

MUFG Investor Services is committed to performing due diligence on existing and future vendors and service providers, as a means of assessing if negative environmental and social impacts exist in our value chain. Through the execution of this exercise, MUFG Investor Services will be best positioned to evaluate the output of supplier ESG values and engagement, and determine what steps are necessary to ensure the environment, social, and governance values of MUFG Investor Services are reflected in our supply chain. With an initial focus on our core service providers, as key resources to the delivery of our services, we will gradually integrate an ESG assessment into the due diligence and selection process of future vendors. Recognizing that countering modern slavery and human trafficking are issues of global importance, MUFG Investor Services has established controls embedded in its vendor selection process, ensuring vendors and service providers appropriately mitigate their, and our, potential risk to modern slavery.





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