



APEX GROUP CSR POLICY

GLOBAL GUIDELINES

September 2020

1. LEADERSHIP MESSAGE

Apex Group - Committed to raising standards.

As a global group, with employees across over 45 offices worldwide, Apex is making an impact on the asset management space. Yet the Apex Group has the power to genuinely make a positive impact on the world too.

We measure our success as a business, not only by delivering great products and services and continually increasing our assets under administration and market share, but also by how we positively impact people, society and the planet.

Our success as a group depends on our people feeling motivated by their jobs and rewarded in their careers. We know that our people are our greatest strength and to sustain our continued success, we must ensure they feel fulfilled.

We want to ensure that as a global team we focus our vision not only on internal business success, but also on making a positive impact on the external world and people around us too.

Working as a global team, we can do great things.

2. APEX CSR CHARTER

At Apex, we believe that respecting human rights and our planet is a global priority. We want to enable our people, our society and the planet to thrive through proactively utilising corporate social responsibility initiatives, driven on both a global and local level.

We base our sustainable development goals on three core areas where we can have a genuine positive impact on the world around us:

Our People
Our Planet
Our Society

3. OUR 2020 PLEDGES:

Our People

1. Open nominations to all employees across the Group to vote in the 7th member of the Sustainability Committee.
2. Broaden the remit of our Culture Champions to include supporting sustainability at local offices.
3. Launch an Education Sponsorship Policy that will financially support our people in their professional learning and development.
4. Launch a Mentoring, Internship and Scholarship scheme.
5. Implement a supplier Sustainability education programme by building a simple online questionnaire for each supplier to answer.
6. Improve diversity of thought at the most senior level of the business through a Shadow Executive Committee.

Our Planet

7. Reduce the number of emails sent by 25%
8. Reduce travel by 75% annually and re-invest the savings in sustainable projects and philanthropy.
9. Launch an initiative to educate employees on environmental impacts and climate change.
10. Remove single-use plastics from all offices.
11. Reduce energy consumption across all offices by switching to Carbon Neutral energy providers where possible, switching off computers at night and reducing office heating by 1% where practical.

12. Invest in videoconferencing facilities to support the reduction in travel and facilitate face-to-face interaction cross-jurisdiction within the Apex family.
13. Reduce paper usage by 25% across the Group.
14. Update office fit-out guidelines with a requirement to include real plants in offices
15. Provide every employee with a reusable water flask.
16. Reduce CO2 by investing savings on travel costs into CO2 offsets.

Our Society

17. Implement a local charity support policy
18. Set up the Apex Foundation, a non-profit entity through which to fund charitable initiatives and carbon offset programmes.
19. Select two charities to support by Group and ask our people to vote for the chosen partners for the year.
20. Implement an annual volunteer or engagement day

4. OUR COMMITMENT

1. Be professional, unbiased and ethical in all our dealings and relationships

Our ultimate goal is to conduct our business responsibly and in a way that maintains the trust and respect of our clients, regulators, investors, industry bodies and service providers. We strive to measure our impact on people, planet and society and hold ourselves accountable.

2. Help to improve the financial services industry's reputation

We recognise that the traditional financial services industry does not have the best reputation for ethical standards or morals based decision making. We are committed to changing that perception and demonstrating that we want to empower social change agents. We will maintain a transparent and proactive approach and hold ourselves to the highest standards in benefiting people society and the planet.

3. Innovate to improve by utilising the latest technologies to minimise our impact on the environment

The very nature of our business enables us to minimise impacts on the environment by reporting digitally. Fund Administration, corporate secretary and the majority of our services have

traditionally involved lot of paperwork. We have already deployed a “Paperless NAV” process across several offices and are continuing to roll this out on a global basis. We look for new technologies to add to and improve our business infrastructure at the same time as reducing our carbon footprint and impact on the environment.

We continue to drive forward significant developments, with the ultimate aim of automating all elements of our NAV and reporting processes, further enhancing our positive environmental impact.

4. Safeguard the interests of our stakeholders, clients and investors by practicing excellence in financial security

We take the provision of a secure, reliable, and compliant reporting service in every jurisdiction very seriously. We have robust Risk, Governance and Compliance departments and place great importance on having global oversight across the Group. Adhering to regulation and protecting our clients’ interests are fundamental, not only to our success, but to maintaining integrity as a business.

5. Make CSR a factor in our choice of service providers and our ability to win new business

As part of our ongoing evaluation of service providers we conduct due diligence of their operations, procedures and values in relation to our own guiding principles and ethics, social and governance standards.

We look to attract the kind of clients who also want to work with socially responsible and ethical businesses. As ESG strategies increase in popularity across the asset management space, we want to ensure that Apex is the fund administrator of choice. Delivering the most advanced ESG reporting services to ethically driven funds, and practicing what we preach through our own CSR activities and initiatives.

5. CSR ACTIVITIES

CSR activities at the Apex Group are performed by local Apex offices around the world. The Group provides oversight and direction for local offices to carry out these activities and sets out the values and goals on a global basis. CSR activity is prioritised at a strategic level and endorsed by the Group’s Board and Executive Committee, ensuring that the global Apex Group is a purpose-orientated business delivering value to its employees, clients and local communities.