

MUFG Securities EMEA plc  
“Slavery and Human Trafficking Statement”

### Introduction

This statement sets out the steps that MUFG Securities EMEA plc (“MUFG Securities”) or (“we” or “us” or “our”) continue to take to ensure that modern slavery and human trafficking are not taking place in our supply chains or any other part of our business during our 2017 financial year.

We continue to strive to maintain the highest professional and ethical standards and we expect the same from our suppliers. We have taken further steps during our 2017 financial year in relation to our suppliers, as described below. Slavery and human trafficking remain entirely contradictory to MUFG’s Corporate Vision and Principles of Ethics & Conduct, and have no place in or around our organisation, and we are pleased to reinforce that principle through this statement.

### Background

The corporate structure of our organisation has not changed and MUFG Securities remains a financial institution incorporated in London. Our management team sits in London, and ensures that our corporate framework reflects MUFG’s Corporate Vision and Principles of Ethics & Conduct.

MUFG Securities’ senior management continues to fully recognise that slavery and human trafficking are issues of global importance and scale. This statement is published on behalf of MUFG Securities (pursuant to the UK Modern Slavery Act 2015 (the “MSA”)). It has been approved by the board of directors of MUFG Securities.

### Policies and procedures

As a member of MUFG, MUFG Securities is committed to MUFG’s Corporate Vision and Principles of Ethics & Conduct. These require, amongst other things, that MUFG Securities respects the human rights of all MUFG employees, acts with integrity, and complies at all times with the letter and spirit of laws, regulations and rules that apply to us and combats criminal activity.

We have continued to implement steps and measures previously identified to mitigate the risk of slavery and human trafficking in our business and supply chains, including:

- Human Resources policies that aim to create a working environment that is based on core values of respect, fairness, collaboration, team work, support, trust and transparency;
- Whistleblowing and grievance procedures, through which employees can escalate any concerns relating to slavery or human trafficking; and
- Anti-money laundering training, recognising that slavery and human trafficking can be a precursor to money laundering activity.

### Due diligence processes

Through MUFG’s Principles of Ethics & Conduct, internal policies (including employment and compliance) and through our corporate social responsibilities, we continue to ensure that we do not condone or support any forms of bullying or harassment, and we continue to be committed to embracing diversity and building an inclusive culture where all employees are valued, respected and their opinions count.

We continue to make our employment decisions in a non-discriminatory manner in accordance with our obligations under the law, including any commitments to pay a living wage.

We continue to seek to partner with suppliers whose ethical principles align with our own, and expect them to operate fair and ethical workplaces.

Last year, MUFG Securities developed a “know your supplier” on-boarding process and supplier performance review procedure. Furthermore, during our 2017 financial year, we have started the process of issuing a letter to suppliers regarding our expectations that they publish a slavery and human trafficking statement if they meet the criteria under the MSA.

Training available

In the UK, annual training on Anti-Bribery & Corruption is provided for all employees whereby an acknowledgement of the Principle of Ethics & Conduct is required. In addition, Whistleblowing policy and process are universally applied and the Whistleblowing policy is clearly signposted on MUFG Securities' intranet page.

This statement has been approved by the board of directors of MUFG Securities.

Signed by

David King  
Chief Executive Officer  
MUFG Securities EMEA plc