

# 2020 SASB Index

Topic	Accounting Metric	Category	Code	Response
Employee Diversity & Inclusion	Percentage of gender and racial/ethnic group representation for (1) executive management, (2) non-executive management, (3) professionals, and (4) all other employees.	Quantitative	FN-IB-330a.1	Our workplace diversity metrics are disclosed on our website <a href="#">here</a> .
Incorporation of Environmental, Social, and Governance Factors in Investment Banking and Brokerage Activities	Description of approach to incorporation of environmental, social, and governance (ESG) factors in investment banking and brokerage activities.	Discussion and Analysis	FN-IB-410a.3	A description of all of the areas where we have incorporated environmental, social, and governance factors into our business activities can be found on our website <a href="#">here</a> .
Business Ethics	Total amount of monetary losses as a result of legal proceedings associated with fraud, insider trading, anti-trust, anti-competitive behavior, market manipulation, malpractice, or other related financial industry laws or regulations.	Quantitative	FN-IB-510a.1	In 2020, we had an immaterial amount of monetary losses as a result of legal proceedings associated with fraud, inside trading, ant-trust, anti-competitive behavior, market manipulation, malpractice, or other related financial industry laws or regulations.
	Description of whistleblower policies and procedures	Discussion and Analysis	FN-IB-510a.2	A description of our whistleblower policies and procedures can be found in our <a href="#">Code of Ethics and Business Conduct</a> .
Professional Integrity	Total amount of monetary losses as a result of legal proceedings associated with professional integrity, including duty of care.	Quantitative	FN-IB-510b.3	In 2020, we had an immaterial amount of monetary losses as a result of legal proceedings associated with professional integrity.
	Description of approach to ensuring professional integrity, including duty of care	Discussion and Analysis	FN-IB-510b.4	The firm maintains a Code of Ethics and Business Conduct and requires employees to annually certify they have reviewed and will comply with the code. Find more details on our website <a href="#">here</a> .
Employee Incentives & Risk Taking	Percentage of total remuneration that is variable for Material Risk Takers (MRTs)	Quantitative	FN-IB-550b.1	For more on policies and procedures relating to incentive compensation for individuals that can have a material impact on our firm's risk profile, please see our <a href="#">Employee Incentives &amp; Risk Taking page</a> .