

**MUFG Securities EMEA plc**  
**Slavery and Human Trafficking Statement**

**Financial year ending 31 December 2025**

*(Issued pursuant to section 54 of the UK Modern Slavery Act 2015)*

### **Introduction**

This statement sets out the steps that MUFG Securities EMEA plc (**'MUS(EMEA)'** 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.

We continue to strive to maintain the highest professional and ethical standards and we require the same from our suppliers. Slavery and human trafficking remain entirely contradictory to MUFG's Corporate Vision and Code of Conduct, and have no place in or around our organisation, and we are pleased to reinforce that principle through this statement.

This statement is published on behalf of MUS(EMEA) (pursuant to the UK Modern Slavery Act 2015) and a link is included in our Annual Report.

### **Organisation and Operations**

MUS(EMEA) is the London-based securities and investment banking subsidiary of MUFG Bank, Ltd. MUS(EMEA) is authorised by the Prudential Regulation Authority ("PRA") and regulated by the Financial Conduct Authority ("FCA") and the PRA. It is a member of the International Capital Markets Association, the Association for Financial Markets in Europe, the Futures Industry Association and an associate member of the International Swap Dealers Association. MUS(EMEA) is active in the fixed income, equity, derivatives and structured finance markets.

During the period covered by this statement, a corporate reorganisation resulted in our immediate parent company changing from Mitsubishi UFJ Securities Holdings Co., Ltd to MUFG Bank, Ltd. Otherwise, the corporate structure of our organisation has not changed, and MUS(EMEA) remains a financial institution incorporated in London. Our management team sits in London and is responsible for ensuring that our corporate framework reflects MUFG's Corporate Vision and Code of Conduct.

### **Policies, Procedures and Processes/Due Diligence**

MUS(EMEA) is committed to the Group's Corporate Vision and Code of Conduct, which has been reviewed and updated during the year to give our staff additional guidance on MUFG's requirements in relation to their conduct. During the year, all staff were provided with training in relation to the Code of Conduct to remind them of these core principles and behavioural requirements.

The Code of Conduct requires, amongst other things, that MUS(EMEA), and its staff respect the human rights of all employees, act with integrity, comply at all times with the letter and spirit of laws, regulations and rules that apply to us, and combat criminal activity.

MUFG has also published a Human Rights Policy Statement which applies to the Group globally and which articulates the Group's dedication to respect human rights across all operations, and which urges our suppliers and clients to respect human rights.

MUFG's published Environmental and Social Policy Framework (the "**Framework**") sets out MUFG's approach to managing the environmental and social risks arising from the business activities of the Group. The Framework explicitly prohibits the Group and its core subsidiaries (including MUS(EMEA)) from entering into any transaction involving the use of child or forced labour. The Framework is regularly reviewed and updated where appropriate to support requirements laid out in the Code of Conduct and group policy statements, including the Human Rights Policy Statement.

Our comprehensive financial crime framework identifies and mitigates financial crimes risks, recognising that slavery and human trafficking is a precursor to money laundering activity.

MUS(EMEA) conducts risk assessments to identify and assess risks related to slavery in its value chain on a periodic basis.

MUS(EMEA) takes steps to mitigate the risk of slavery and human trafficking in its business and supply chains and internally, through:

### ***1. Customers***

A comprehensive financial crime framework, which includes adverse media checks of customers both during onboarding and periodically.

Adverse media checks include searches of corporate databases which highlight any regulatory, financial crimes and reputational concerns.

If a potential concern is identified in relation to environmental and social risks related to a transaction, an enhanced due diligence process is in place to evaluate those risks.

### ***2. Supply Chain***

Seeking to partner with suppliers whose ethical principles align with our own and require them to operate fair and ethical workplaces.

As part of MUS(EMEA)'s standard contracting approach, we set clear requirements for our suppliers to manage supply chain risks responsibly and to carry out appropriate due diligence to identify, prevent, and mitigate the risks of modern slavery and human trafficking. These requirements are outlined in our Supplier Code of Conduct (SCoC), which is provided to all new and existing suppliers during the contracting and ordering processes (and which is incorporated into the contracts we enter into with our suppliers). This includes a requirement that our suppliers avoid human rights violations.

Our third-party risk framework facilitates due diligence and monitoring of our third parties for modern slavery and human trafficking risks.

We monitor country risk ratings and issue supplier questionnaires to assess how our suppliers manage their supply chain.

### ***3. Employees***

Our Human Resources policies aim to create a working environment that is based on core values of respect, fairness, collaboration, teamwork, support, trust and transparency.

Our Whistleblowing and grievance procedures, both of which provide appropriate mechanisms for people to safely raise concerns about any actual or potential instances of modern slavery, and for any such instances to be assessed

and action taken as appropriate.

### **Employment Practices**

Through MUFG's Code of Conduct, internal policies (including employment and compliance) and through our employee networks and corporate social responsibility activities, we 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 make our employment decisions in a non-discriminatory manner in accordance with our obligations under the law.

### **Training and Whistleblowing**

Regular Financial Crimes training and Code of Conduct training are provided for all staff globally. In the all staff e-Learning module on Anti-Money Laundering (AML) Training rolled out in October 2025 content on human trafficking and modern slavery was included. In addition, a case study about AML red flags involving human trafficking and modern slavery was included in an instructor-led training module targeted to AML investigators.

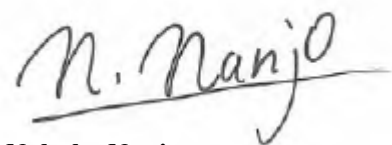
In addition, Whistleblowing policies and processes are applied across all of our operations, and the Whistleblowing arrangements are clearly signposted to all staff.

### **Senior Management**

MUS(EMEA)'s senior management continues to fully recognise that slavery and human trafficking are issues of global importance and scale. Where the processes and controls we have implemented identify a risk of modern slavery or human trafficking, we are committed to taking action.

This statement has been approved by the Board of Directors of MUS(EMEA).

Signed by



**Nobuho Nanjo**

Chief Executive Officer

MUFG Securities EMEA plc