

ESG POLICY

Last update 27 June 2022

Statement

Allvue is committed to proactively addressing ESG priorities via policies and programs aimed at environmental, social, and governance issues aligned with our core values of openness, curiosity, passion, and ownership.

We are devoted to preserving our natural resources, promoting diversity, equity, and inclusion, empowering our employees, and operating with integrity while contributing to our communities. At Allvue, we are committed to building and executing on strategies to help advance a more inclusive economy that fosters additional growth opportunities for everyone.

We believe that the transition to a net zero world is a shared responsibility. Allvue supports the goal of the Paris Agreement and aims to reduce its emissions in alignment with a net zero pathway and aims to reduce company emissions by 50% by 2030 and reach net zero emissions by 2050. We are developing action plans to change our business practices and lower our GHG footprint progressively and will measure our progress annually. We pledge to an inclusive, equitable, and prosperous transition for all.

Scope

The Environmental, Social, and Governance (“ESG”) Policy reflects Allvue’s commitment to corporate responsibility and sustainability. This policy applies to all business activity conducted by or on behalf of Allvue, and extends to our employees, customers, partners, shareholders, suppliers, and communities where we operate.

Roles and Responsibilities

Allvue considers sustainability a key part of its business, and it is an element of our governance structure. Our Senior Leadership provides oversight and guidance about our policies and programs that relate to corporate social responsibility, including the company’s environmental sustainability strategy and commitments. Our teams make decisions that respect the environment, our people, and follow good governance.

Allvue’s ESG team works under the guidance of our Chief Legal Officer, Chief Financial Officer, as well as our Chief Human Resources Officer, all of whom report directly to our Chief Executive Officer.

Guiding Principles

We have defined our guiding principles to help keep us on track with our plan and within the scope of our commitment.

1. We will limit Allvue’s environmental impact

- 1.1. Reduce Allvue’s greenhouse gas (GHG) emissions by implementing relevant policies and improving company processes
- 1.2. Catalyze environmentally friendly behavior change among our employee population
- 2. We will make Allvue a great place to work and create a positive culture for our employees
 - 2.1. Attract and retain a workforce that is inclusive and diverse
 - 2.2. Develop our people to their potential and help realize their individual ambitions
 - 2.3. Engage with the broader community and support causes aligned with our values
- 3. We will establish a transparent and efficient governance structure
 - 3.1. Clearly articulate and communicate Allvue’s corporate policies across the organization and to our stakeholders
 - 3.2. Always comply with relevant laws and regulatory standards

ESG Materiality

Our ESG policy focuses on those topics which we consider to be the most important to our internal and external stakeholders with respect to certain environmental, social, and governance issues. A listing of what we currently identify and categorize as our top ESG issues is included in the table below.

Environmental	Social	Governance
<ul style="list-style-type: none"> • Climate Change • GHG Emissions • Real Estate and Energy Efficiency • Waste Management and Recycling 	<ul style="list-style-type: none"> • Diversity, Equity, and Inclusion • Community Engagement • Customer Risk Mitigation • Ethical Supply Chain 	<ul style="list-style-type: none"> • Corporate Governance • Ethical Business Practices • Data Privacy and Cybersecurity • Disclosure Practices

Environmental

Our Environmental guiding principles outline our commitment to being a positive contributor in the enhancement and protection of our global environment. As Allvue looks to limit its impact on the environment around us, we are working diligently to curb our greenhouse gas emissions and manage the impact of our facilities and our people via action steps outlined in our environmentally friendly practices.

GHG Emissions

We will measure our GHG emissions and are committed to measuring our GHG footprint on an annual basis. This measure defines the baseline for our action plans to change business practices that will lower our GHG footprint on a continuous basis, including optimizing energy use, water consumption, waste management, and fuel consumption.

Real Estate and Energy Efficiency

Allvue is communicating environmentally friendly practices across our locations and tasking our Office Managers to champion them at their locations. Starting with small steps like implementing energy-efficient lightbulbs and automatic switch-off lighting to control our energy consumption, we plan to progress leasing green office space when possible and achieving green certifications for our facilities.

Waste Management and Recycling

Allvue will continue to require waste reduction practices throughout our facilities as stated in our environmentally friendly practices.

Social

We are committed to Allvue employees, as well as the communities where we reside. We have established People Committees in each of our offices tasked with creating interesting & imaginative ideas for making these community contributions. We strive to support local causes and be active members in good standing in our communities. To support our corporate responsibility, we have implemented relevant policies.

Diversity, Equity, and Inclusion

As a global business, we know that understanding and embracing diversity, equity, and inclusion (DEI) in our workforce, workplace and marketplace is essential to long term sustainability and success in our multicultural world. Our goal is to leverage and celebrate diversity and inclusion through our talent, operations, and ideas.

We are committed to supporting our Allvue community across the globe. We continue investing in what makes Allvue a great place where all can thrive.

Our Employee Resource Groups (ERGs) invite for diverse and inclusive participation and provide a safe place where people with common interests can share.

Allvue DEI initiatives extend to our selection and hiring, professional development, performance management, compensation, social programs, and company separation practices. We educate our teams on Bbas, the understanding of unconscious bias and how to reduce its effect and encourage an inclusive environment. We have launched a global ethics & compliance management platform.

Allvue's People Program provides a myriad of alternatives for professional and personal development. Our documentation system stores our internal information including policies and procedures, team information, and our knowledge bases. Our Learning Management System stores our internal training video content. In addition, we have partnered with education providers to offer alternatives to expand our team knowledge on business related areas and on topics that they feel passionate about on a personal level.

To help tap into the wealth of knowledge at Allvue, we also provide Expert Hours and employee-led sessions where Allvuers can learn from internal thought leaders in the space. Topics range from deep dives on Allvue products to technical and management training. Allvue also has three language speaking groups where Allvuers can practice English, Russian, and Ukrainian.

Allvue is committed to offering a healthy workplace that supports the well-being of our diverse team. We offer a comprehensive benefits portfolio for employees and their families, which include medical, dental, and vision benefits, disability insurance, life insurance, parental program, paid time off, volunteer and charitable giving, work life balance opportunities centered around a hybrid work schedule, and our employee assistance program which offers professional and confidential counseling services designed to help address personal issues, deal with stress, or make well informed life decisions.

Community Engagement

Allvue recognizes the importance of charitable non-profit organizations in the communities in which we operate, and the causes that matter most to our employees. Our commitment to society and the communities in which we operate, extends far beyond our primary business activities, and philanthropic donations are one way in which we intend to exercise our collective social responsibility. The regional People Committees also contribute towards these projects.

In addition to Allvue’s community engagement as an organization, the Company has established two programs to support charitable giving by our employees – a volunteer program, and a charitable matching program. Our employees are eligible and encouraged to volunteer a number of hours per calendar year individually or as a team for the charity of their choice and they will be paid at their normal pay rate. In addition to volunteering their time, the Company encourages employee giving through the Charitable Matching Program. The program provides a dollar-for-dollar match on employee contributions to a defined maximum per employee per calendar year.

Allvue’s leadership competencies enable an integrated and consistent approach in developing leaders now and for the future entailing expected behaviors of giving back to the community while embracing our values: Be Open, Be Curious, Have Passion for What You Do, and Own It.

Customer Risk Mitigation

We help our customers make better investment decisions, enable deeper relationships with their investors and prospects, and improve access to information. Our Services team has the expertise and experience to help our clients transform their business to effectively meet and exceed their business goals.

Allvue has established customer success and customer care initiatives that help ensure customer needs and areas of concern are heard at the highest level of the organization and responded accordingly. We assess customer risk and monitor the customer’s health to ensure our partnership is one of mutual win and of a lifetime. We take our clients’ trust very seriously and are committed to partnering with them on their unique journeys.

Allvue’s various risk mitigation tactics that help ensure we provide the best client service possible and ameliorate client concerns quickly and efficiently include Allvue’s At-Risk Task Force and Heal Desk. We also monitor customer risk metrics to drive our risk mitigation initiatives. Customer satisfaction (CSAT), Net Promoter Score (NPS), and Customer health scores are amongst the key indicators we regularly measure and monitor.

Ethical Supply Chain

Allvue understands that our supply chain has as relevant a role in Sustainability as we do and are committed to partner with organizations that are committed to the global environment. We are enhancing our Procurement process to learn about our supply standards in providing safe and diverse working environments, environmental practices, and ethical behaviors. This will include the implementation of an ESG vendor questionnaire and follow ups upon contract renewals.

Governance

Allvue’s approach to corporate governance and risk mitigation aims to provide a framework that helps guide employees and company leaders, in the exercise of their responsibilities to Allvue and its stakeholders.

Corporate Governance

Through oversight and counsel, Allvue’s Board works with our executive management to establish and promote business goals, organizational objectives, and a strategy to drive our business growth and positively affect the broader environment. Our Corporate governance:

- Defines management accountability and responsibilities of Board members and executive managers
- Provides a structure for management and the Board to set objectives and monitor performance

- Defines our culture of business ethics and responsible business practices
- Encourages the efficient use of resources, and accountability for stewardship of those resources

Ethical Business Practices

Allvue established a Business and Employee Conduct Standards Policy, which serves as our guiding framework to conduct business responsibly. Our business practices and standards reflect our commitment to making the right choices and making a positive impact around the globe. We adhere to high standards of ethical behavior and conduct annual compliance and ethics training. At Allvue, we have six golden rules we live by:

1. We should comply with all applicable laws
2. We should act honestly and ethically
3. We must not participate in any corrupt business dealings
4. We should limit gift exchanges with third parties
5. We should not give anything of value to government representatives
6. We should conduct business in a professional manner

To encourage each of our employees to continue to act ethically, Allvue has partnered with a global ethics and compliance software platform to provide our organization with a confidential third-party monitored hotline, through which employees can raise concerns, report any issues or instances of misconduct, and ask questions easily and confidentially. This Hotline is a resource employees can use to speak up about any acts that violate our values, policies, or the law - including any inappropriate behavior that employees may not feel comfortable reporting through normal channels. This toll-free hotline is available 24 hours per day, 7 days a week, 365 days a year.

Allvue is committed to protecting all employees who report unethical conduct from reprisal as well as offering any necessary support to individuals who make reports. When an employee makes a report of unethical conduct, they should do so in good faith. Employees may not be discriminated or retaliated against because they reported any such violation.

Data Privacy and Cybersecurity

Protecting our customers' data is essential to our mission. Allvue maintains best in class security measures adopted from various industry standards and frameworks to protect customers' data from loss or misuse. Allvue is committed to improving our security and reporting on our progress. We issue key reports across our security and governance efforts and make them available to our stakeholders.

Disclosure Practices

While this document does not incorporate every ESG aspect that Allvue touches, it acts as a central depot that refers the reader to relevant documentation detailing our commitment to the environment, social good, and good corporate governance. We started our ESG journey in early 2022 and our ESG policy drives our ESG commitment and initiatives.

At Allvue, we defined our top ESG priorities considering that sustainability is in the core of our doing business. We know that our ESG approach and efforts will evolve as we progress through this journey, taking actions on our focus areas and discovering new opportunities to make a positive impact. With that evolution, this policy will be reviewed and updated, and each version will supersede any prior policy.

We plan to report on our ESG performance annually, with our first report expected to be Allvue's 2023 Sustainability Report. We will communicate updates on the progress on our ESG journey and continue to develop best-practice processes to meet our goals.