RepRisk AG
Zurich | Headquarters
Stampfenbachstrasse 42
8006 Zurich, Switzerland

Phone
+ 41 43 300 54 40

Email | Web
contact@reprisk.com
www.reprisk.com

DUE DILIGENCE DOCUMENT

December 2025 | Sales Operations

Table of contents

DUE DILIGENCE DOCUMENT 1
1. Introduction to RepRisk 3
1.1 Company profile 4
1.2 Current and future development 5
1.3 Office and subsidiaries 5
1.4 Legal structure 6
1.5 Organizational structure 6
1.6 Employees 7
1.7 HR Onboarding for new hires training and ongoing employee training 8
1.8 RepRisk Code of Ethics 10
1.9 Memberships 11
1.10 Partnerships 12
2. Products and services 19
2.1 RepRisk main solutions 19
2.2 RepRisk reports 21
3. RepRisk Methodology 22
3.1 RepRisk research approach 22
3.2 Risk Scope 22
3.3 Industry Risk Frameworks 23
4. IT and Information Security 24
4.1 Data Protection and Privacy 24
4.2 Information Security 28

4.3 RepRisk Infrastructure 30
4.4 Incident Management 32

RepRisk

1. Introduction to RepRisk

RepRisk is a global leader and pioneer in data science, specializing in premium reputational risk and business conduct risk research and quantitative solutions. Since 2006, RepRisk has been leveraging the combination of AI and machine learning with human intelligence to translate big data into actionable business intelligence and risk metrics. With **daily-updated data synthesized in 30 languages** using a rules-based methodology, RepRisk systematically flags and monitors material risks and violations of international standards that can have reputational, compliance, and financial impacts on a company.

The focus on risks is linked to our history. We started 27 years ago, in 1998, as an environmental and social risk consultancy focused on the commercial and investment banking sector.

In 2006, a client asked us to analyze a portfolio of 100 companies to see if any were exposed to severe E&S risks, to exercise due care when doing business (financing or investing in) these companies. For this assignment, we devised a systematic framework to identify and assess reputational and business conduct risks linked to companies.

Our flagship product, the RepRisk Platform, is the **world's largest database of its kind**, consisting of public and private companies and infrastructure projects of all sizes, in every sector and market (see total coverage here). Leading organizations around the world rely on RepRisk as their key due diligence solution to prevent and mitigate reputational and business conduct risks related to their operations, business relationships, and investments.

The cornerstone of RepRisk's methodology is a unique combination of artificial intelligence and curated human analysis that helps translate big data in 23 languages into actionable business intelligence and proprietary risk metrics. Importantly, our unique methodology allows us to capture and analyze any company exposed to business conduct risks, regardless of company size, sector, location (including emerging and frontier markets), or whether the company is public or private.

RepRisk can support clients in integrating risk assessments as part of their company screening and monitoring, reputational risk, and due diligence processes.

RepRisk

1.1 Company profile

Company Name	RepRisk AG	
Address	Stampfenbachstrasse 42, 8006 Zurich, Switzerland	
Phone	+ 41 43 300 54 40	
Websites	https://www.reprisk.com/	
Company Creation date	RepRisk was founded as ECOFACT in 1998; renamed RepRisk AG in 2010	
Total no. of employees	361 (as of December 2024)	
Locations	Zurich, Manila, Berlin, Toronto, Tokyo, London, Shanghai	
Legal Status	AG "Aktiengesellschaft"	
Date and Country of Registration	25.05.1998 in Switzerland	
Registration numbers	VAT/TVA	CHE-104.406.382 MWST
	LEI	254900EB3BLSUQHZVI79
	DUNS	480271282
	Employer Identification Number	EIN 84-2466049

RepRisk

1.2 Current and future development

RepRisk makes regular, ongoing improvements and developments to its Services, particularly the RepRisk Platform, and much of these improvements and developments are driven by our clients. Client inputs are requested systematically once a year during our annual Client Survey and are also collected on an ongoing basis throughout the year during meetings, trainings, or calls with clients, and some features are tested with interested clients before they go live.

Upcoming developments

- **Additional Topic Tags and Languages**: Adding new languages to expand our research scope in line with trends and client demand.
- **Global frameworks supported:** working on a solution to help clients with the EU SFDR, EU Taxonomy, and the UK Modern Slavery Act.
- **Attention Buzz** extending the reach measure by calculating and weighted average of the reach of all sources reporting on a single/individual incident.

You can find here the summary of developments 2015 to 2024

1.3 Office and subsidiaries

All four offices host parts of the Technology, Sales and Marketing, Research, and HR and Finance departments.

- **Headquarters: RepRisk AG**

Stampfenbachstrasse 42, 8006 Zurich, Switzerland

- **RepRisk Germany GmbH**

Oranienstraße 185, 10999 Berlin, Germany

- **RepRisk UK Ltd.**

First Floor, 11 Gough Square, EC4A 3DE London, United Kingdom

- **RepRisk North America Inc.**

2 Berkeley St. Suite 403, Toronto, ON M5A 4J5, Canada

- **RepRisk Philippines Inc.**

20th Floor Accralaw Tower, 30th Street corner 2nd Avenue, Bonifacio Global City, Taguig City, Philippines 1635

- **RepRisk Japan Ltd.**

Spaces Otemachi 1F-3F Otemachi Building, 1-6-1 Otemachi, Chiyoda-ku, Tokyo, 100-0004, Japan

- **RepRisk USA Inc.**

10-113, 450 Park Avenue South, New York, NY, 10016, USA

- **RepRisk Information Consulting Services (Shanghai) Co., Ltd.**

Level 21, Mirae Asset Tower, No.166, Lujiazui Ring Road, Pudong District, Shanghai, PRC (200120)

1.4 Legal structure

RepRisk is a privately held company. Its majority is owned by its Board members - private individuals, with the remaining shares held by its former and current employees.

As a legal entity, RepRisk is an AG "Aktiengesellschaft," which means that it is owned by shareholders. However, shares are not publicly traded on a stock exchange but held by the above-mentioned shareholders.

1.5 Organizational structure

Board of Directors

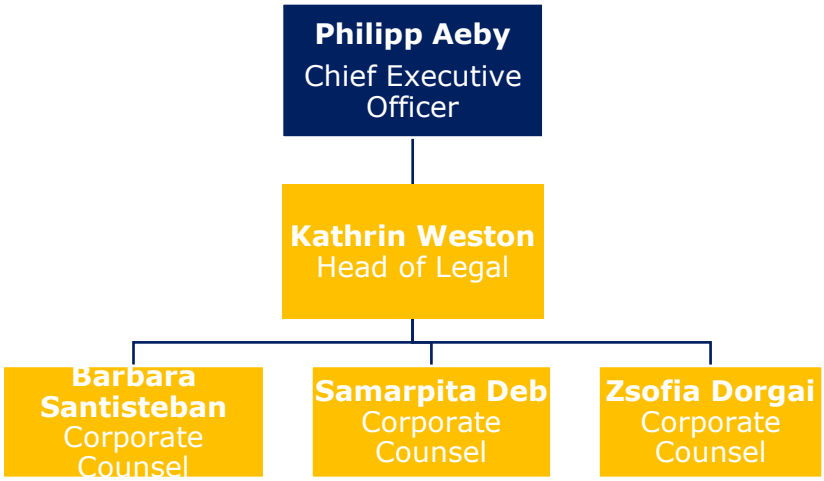
Biographies of RepRisk's Board of Directors can be found in the website.

Management team

Biographies of the members of RepRisk's management team can be found in the website.

Compliance pillar

RepRisk's in-house Legal team and HR team continuously monitor our organization's compliance with our stringent internal data protection policies, as well as monitoring changes in the law that might affect our data processing practices.



The legal team works to continuously stay up to date on the evolving regulatory landscape, and initiates in-depth, comprehensive reviews of internal processes and other internal changes to ensure continued compliance. As recent examples, such reviews were performed as GDPR was coming into force, and later on, with respect to the EU Copyright Directive. RepRisk's Board of Directors, as part of a supervisory/governance duty, annually reviews the company's compliance.

1.6 Employees

Statistics

Total count of employees	**361 (as of December 2024)**	
Per location	Manila, Philippines	170
	Zurich, Switzerland	95
	Toronto, Canada	40
	Berlin, Germany	44
	New York, USA	4
	Tokyo, Japan	3
	London, UK	5

Staff turnover rate, average tenure

RepRisk prides itself on being a sought-after employer and have enjoyed a very low turnover rate (just 13% in 2021 and 8% in 2020). Our employees stay with us over many years as they believe in the company's mission, appreciate the open and flexible work culture, and enjoy working with their colleagues, among other things. Employee

satisfaction is prominently included in our performance management system for all relevant staff.

Diversity: Position Statement

Diversity at RepRisk is a key driver of creativity, innovation, and high performance. Our core value of "openness and respect for people" ensures that embracing diversity, equity, inclusion, and belonging (DEIB) and considering differing opinions is built into our day-to-day work. Our values are captured in our employee handbook, and we transparently communicate processes for upholding and advancing them.

We believe that our employees – and therefore RepRisk – succeed by setting and practicing the expectation that all voices are heard and valued, and that all employees feel welcome, included, have a sense of belonging, and are accepted for who they are.

RepRisk's diverse team speaks 50 languages and is unified around a single purpose: to drive positive change. Together with our clients and partners, we aim to embody the intersection of ideas, collaboration of minds, and mutual respect that we wish to see in the world at large.

Successful DEIB work is dynamic, and upholding these values and processes requires regular review and revision. RepRisk's DEIB committee, made up of representatives from across our global hubs and all walks of life, continues to review current processes, develop engagement and educational activities, and identify areas of improvement. This is because the positive change should start with us.

1.7 HR Onboarding for new hires training and ongoing employee training

Handbook: The Employee Handbook (further referred to as "the Handbook") is a compilation of key RepRisk global and local policies and procedures. The Handbook is meant to provide a one-stop-source for employees to learn about and be guided by the key RepRisk policies and procedures. It is meant to be read by every new hire, and referred to, as needed, by all staff throughout their employment at RepRisk.

Analyst overview

RepRisk's highly trained analysts (see exact figures here) curates and analyzes each risk incident according to our transparent rules-based methodology that ensures data depth and quality. The Executive Vice President of Operations and Research manages the entire analyst team, supported by Operation Managers and Operation Leads.

Qualifications of analyst team

- All analysts have a bachelor's degree, and more than half have a master's degree.
- Most of our analysts speak multiple languages (up to six) and understand different cultural characteristics (e.g., due to living abroad, heritage, etc.).
- All analysts have a good understanding of reputational and business conduct risk issues and challenges, and their relation to both the micro and macro economy, e.g., through experience in working at companies, or in working with governmental organizations or NGOs.
- Language and analytical skills are crucial, as RepRisk Analysts perform multi-language searches and analyze documents daily in 23 languages. Both skill sets are tested during the hiring process and are further developed when a new analyst joins the team to ensure the high quality of RepRisk's service.

While specific RepRisk skills such as the understanding of the RepRisk research scope can be acquired, genuine personal interest in risk matters is an essential requirement for all new staff. RepRisk selects analysts who are passionate about Risk Issues and the company's mission: to help RepRisk's clients achieve long-term success through transparency and risk management.

Analyst training

All analysts undergo thorough training as part of their onboarding as well as on an ongoing basis, depending on their tenure and level of analysis. New analysts are required to study the Analyst Manuals, perform trial entries, and acquire a solid understanding of the Risk Issues in scope before working independently. Underpinning this whole process is the use of metrics, whereby detailed information is kept about each item that is processed. The Metrics system quickly identifies repeated mistakes and tracks these mistakes over time, so that the relevant analyst can be given tailored training and assessed in comparison to his/her peers.

- **Compliance training**: The training on basic internal and external compliance is included in the Handbook and introduced to all staff members at the time of onboarding.
- **Data security training**: We regularly conduct staff training programs on IT security. The entire staff is involved, and the trainings are conducted locally in each of the hubs by a designated staff member.

RepRisk

1.8 RepRisk Code of Ethics

- **RepRisk Code of Ethics "The RepRisk Way":** The RepRisk Way sets forth our values and ethical standards to help our employees conduct themselves in line with the company's expectations. The document also provides guidance on various situations, channels of communication, and practical examples through questions and answers. All employees are required to follow the points set out in these documents.

- **RepRisk Code of Conduct introduction:** Our company is a leading business intelligence provider specialized in dynamic risk analytics and metrics. Alongside with our leadership position comes a lot of responsibility, since our service can have a significant impact on the daily decisions taken by our clients. In order to ensure the consistency of our services, and thus the success of our company, we believe it is extremely important that all staff live up to our values, ethical standards, mission, and vision while facing the challenges of their daily activities. We expect all staff to take personal responsibility for ethics and compliance, and to feel comfortable raising concerns when something is inconsistent with our principles.

- **Sustainability Approach:** Through the provision of our services, RepRisk has a powerful positive impact on the environment and society by increasing the transparency of businesses. Ideally, this leads to the accountability of companies and other actors, making the world a better place. From a client perspective, they receive access to risk information on companies and projects all over the world to help them take better and sometimes more sustainable business decisions. Internally, we also strive to mitigate our direct operational impact by developing policies, procedures, and establishing partnerships with top-tier organizations.

- **Company of the Future -** In response to the extraordinary experiences during the COVID-19-related lockdowns across several locations in the spring of 2020, the GMT decided to accelerate certain operational changes we consider crucial to create a positive future for RepRisk, its employees, and the communities we work in and serve.

Succession Plan / Key People	RepRisk understands the value of succession planning. We employ knowledge transfer and business continuity planning within the organization. The organization ensures that there is more than one Subject Matter Expert (SME) for a particular process and that all processes are extensively documented. This ensures that the unexpected absence of an individual can easily be covered by his or her colleagues

	with the necessary key operating procedure document on-hand.

For further information, please refer to the Business Continuity Management System in section 4.4 of this document.

1.9 Memberships

i.e., Are we a member of a collaborative organization and/or initiatives in the field of responsible/sustainable investment?

Principles for Responsible Investment (PRI) **Signatory since 2014**	Signing the internationally recognised Principles for Responsible Investment allows organisations to publicly demonstrate their commitment to including reputational and business conduct risk factors in investment decision making and ownership. Source: www.unpri.org
UN Global Compact **Participant since 2014**	UN Global Compact is the largest corporate sustainability initiative in the world. Participants actively engage with the UN Global Compact at the global level, and at their national or regional level. As a Participant of the UN Global Compact, your company can publicly share its commitments and report on progress through the largest platform of corporate sustainability leaders and practitioners from all sectors. Source: www.unglobalcompact.org
United Nations Principles for Sustainable Insurance **Signatory since 2014**	Launched at the 2012 UN Conference on Sustainable Development, the UNEP FI Principles for Sustainable Insurance serve as a global framework for the insurance industry to address environmental, social and governance risks and opportunities. Endorsed by the UN Secretary-General, the Principles have led to the largest collaborative initiative between the UN and the insurance industry—the PSI Initiative. Over 140 organisations worldwide have adopted the four Principles for Sustainable Insurance, including

	insurers representing more than 25% of world premium volume and USD 14 trillion in assets under management. The Principles are part of the insurance industry criteria of the Dow Jones Sustainability Indices and FTSE4Good. Source: www.unepfi.org
Swisscleantech **Signatory since 2010**	Swisscleantech is a Cleantech Business Association which was founded in autumn 2009 during the Copenhagen Climate Summit. Its mission is to bring companies together that are in favour of environmentally responsible business practices.
Principles for Responsible Banking (PRB) **Endorser since 2019**	Over 70 organisations and industry associations endorse the Principles for Responsible Banking, demonstrating their commitment to a banking sector that aligns with the vision for society, people and planet described in the UN Sustainable Development Goals.
Swiss Sustainable Finance **Member since 2016**	SSF was founded in 2014 and has quickly established itself as Switzerland's central information platform for sustainable finance.

1.10 Partnerships

RepRisk has established several partnerships over the past years. Of our current formally recognized partnerships, there are a few notable ones:

Redistribution/Sales Partners

Partners of RepRisk that re-distribute our Data Feeds for revenue share, and where our partners act as our sales representatives to offer clients and prospects access to RepRisk data in our partner's data platforms/delivery channels.

RepRisk

AWS Data Exchange	AWS Data Exchange is a part of Amazon Web Services (AWS). Its services make it easy for their customers to securely exchange file-based data sets in the AWS Cloud. RepRisk offers fixed products and pricing packages where the whole sales process lies within AWS as a click-through subscription process, with RepRisk providing only limited technical support. RepRisk benefits from expanding client reach to non-core client segments from AWS customers and facilitate ease of access and offer an external API solution.
Carahsoft	Carahsoft is the Trusted Government IT Solutions Provider®, combining technological expertise with a thorough understanding of the government procurement process to help public sector organizations select and implement the best solution at the best possible value. Under the agreement, Carahsoft will serve as Public Sector Distributor making RepRisk's industry-leading dataset on business conduct and supply chain risks available to the Public Sector through Carahsoft's reseller partners, NASA Solutions for Enterprise-Wide Procurement (SEWP) V, Information Technology Enterprise Solutions – Software 2 (ITES-SW2) and OMNIA Partners contracts.
Crux Informatics	Crux is a data delivery and operations company. They provide a managed service that accelerates the flow of data between consumers and RepRisk. The Crux data engineering team works with a supplier's product specialists to understand how their data is structured and delivered and then implements data pipelines based on those specifications. They can support virtually any delivery mechanism or frequency. Crux processes and stores each dataset once and enables RepRisk to appropriately entitle consumers to that data.
FactSet	FactSet is a financial data provider that combines integrated financial information, analytical applications, and client service

	to serve the needs of the global investment community. Through FactSet, clients can access RepRisk Data Feeds via: The Open:FactSet Marketplace: An online marketplace for pre-linked, harmonized data, and technology solutions The FactSet Workstation: FactSet's flagship product which helps financial professionals stay ahead of global market trends, access extensive company and industry intelligence, and monitor performance. RepRisk data is also accessible through the terminal application Data Exploration, where prospective users can directly test RepRisk data in a fully hosted sandbox testing environment. Overall, FactSet directs RepRisk data towards global buy and sell-side professionals, including portfolio managers, market research and performance analysts, risk managers, sell-side equity researchers, investment bankers, and fixed income professionals.
J.P. Morgan DataQuery	J.P. Morgan (JPM) is a global leader in financial services, offering solutions to the world's most important corporations, governments, and institutions in more than 100 countries. JPM will re-distribute RepRisk Metrics Data Feed and Incident Data Feed through DataQuery, a multi-asset pre-trade analytics and data platform featuring proprietary financial market data from J.P. Morgan's Research and Trading businesses, specifically through the Timeseries application. RepRisk benefits from a passive sales and quarterly remittance of variable fees. In addition to this, RepRisk has extensive promotional/marketing benefits and access to qualified leads and new channel clients via JPM.
Wharton Research Data Services (WRDS)	Wharton Research Data Services (WRDS), which is the award-winning research Platform and business intelligence tool for over 50,000+ corporate, academic, government, and non-profit users at 500+ institutions in 35+ countries. RepRisk data

	is available on the WRDS Platform for all WRDS subscribers since Oct 2015
Google Cloud Analytics Hub	Google Cloud Analytics Hub is a data exchange that allows efficient and secure exchange of data assets across organizations to address challenges of data reliability and cost. Clients may access and integrate RepRisk Data through Google Cloud Analytics Hub.
Snowflake	Snowflake Marketplace is powered by Snowflake's ground-breaking cross-cloud technology, Snowgrid, allowing companies direct access to raw data products and the ability to leverage data, data services, and applications quickly, securely, and cost-effectively. RepRisk and Snowflake are working together to help customers make informed business decisions and drive innovation by enabling effective data security, scalability, assessment, and governance. Making the Zurich-based company's data more seamlessly available will result in more flexibility in data processing and manipulation for new and existing clients that include asset managers, banks, hedge funds, corporates, insurance providers, and governments
Nasdaq	Nasdaq provides the infrastructure, tools and strategic insights tailored for the capital-market. It is known for its stock exchange, which is ranked second on the list of stock exchanges by market capitalization of shares traded, behind only the New York Stock Exchange.
B3 SA	B3 (Brasil, Bolsa, Balcão S.A.) is the main stock exchange in Brazil and one of the largest financial market infrastructure companies in the world. RepRisk risk data on 1,000 Brazilian companies is now integrated into the selection and scoring algorithm of ISE B3, and will be used in portfolio screening and monitoring processes by B3. The enhanced ISE B3 index algorithm leverages ESG risk criteria for deploying more impactful passive investment strategies and drives sustainable capital allocation in the South American market.

RepRisk

Product Integration Partners

Partners of RepRisk integrate portions of RepRisk data into an existing or new product/service.

eFront/BlackRock Solutions (BRS)	eFront helps investors manage the alternatives investment lifecycle, from due diligence and portfolio planning to performance and risk analysis, across a range of alternative asset classes. With eFront, users can manage private assets in their portfolio, understand risk and performance attribution, and gain transparency into every level of their investments. BlackRock delivers RepRisk risk metrics data for up to 80,000 private companies via eFront. Clients use the data to manage their private assets in their portfolio, understand risk and performance attribution, and gain transparency into every level of their investments.
BlackRock Aladdin	Aladdin allows teams across investments, trading, operations, administration, risk, compliance, and corporate oversight to use a consistent process and share the same data. Using consistent data from the desktop to financial models, trading systems, compliance and reporting applications would not only enhance portfolio management but also improve risk and compliance practices. On July 2025, RepRisk's data is now integrated into the BlackRock Aladdin® technology platform
APEX (Holtara)	Apex Fund Services provides fund administration services to the traditional fund, hedge fund, and private equity industries. Apex administers about USD 650bn in AUM and is among the top 5 largest fund administrators in the world. As part of Apex's fund administration offering, Apex offers a newly launched ESG reporting service.

Bloomberg Finance LP	As of January 2025, RepRisk's AI-powered business conduct and reputational risk data is now accessible on Bloomberg, further equipping the global financial industry with actionable insights on companies' business conduct risks and real performance. Bloomberg customers can access RepRisk's data via Bloomberg Terminal, DL + ESG Manager and Bloomberg Data License
FTSE Russell	The FTSE Group is a British provider of stock market indices and associated data services, wholly owned by the London Stock Exchange (LSE). It operates the well-known UK FTSE 100 Index as well as several other indices. The FTSE4Good Index Series provides investors with a transparent and objective benchmark to measure the performance of companies demonstrating strong ESG practices. Companies meeting specific thresholds in relation to ESG practices are included in the index series. Companies are assessed throughout the year across over 300 data points to ensure they continue to meet the criteria. FTSE Russell, manager of prominent ESG-focused index series, uses RepRisk data in their company review and selection process for the FTSE4Good Index Series. FTSE uses RRI scores to screen a universe of approximately 15,000 stocks. Those companies with a score above a defined threshold are flagged for further manual review. Companies in the high-risk universe that are reviewed by FTSE would be removed from this universe. FTSE uses the resulting company assessments as an input into their indices.
PwC Germany	PwC Germany has been using RepRisk's data since 2017 or screening projects under the German Federal Investment Guarantee Scheme, relying on RepRisk's extensive analysis of media, blogs, and public sources for deep ESG/business conduct risk insights beyond traditional data, showcasing a strong integration of RepRisk's risk intelligence into PwC's advisory services for transparency and compliance in developing markets.
Environmental Resources Management (ERM)	ERM is a leading global consulting firm specializing in sustainability, environmental, health, safety (EHS), and risk management services, helping large corporations and governments manage their environmental impacts, comply with

	regulations, and integrate sustainable practices into their operations for long-term success.
JPX-Nikkei Indices	RepRisk's data is now used for the periodic review of eligible constituents of the JPX-Nikkei Index 400 and the JPX-Nikkei Mid and Small Cap Index. Powered by two decades of human-labeled data and a consistent, rules-based methodology, RepRisk uniquely combines advanced AI with deep human expertise to empower the global investment and index community with trusted risk insights.
KPMG Consulting Co Ltd	KPMG Consulting (part of KPMG's Advisory services) helps businesses solve complex challenges by offering expertise in Technology, Management, and Risk Consulting, focusing on digital transformation, data analytics, cybersecurity, strategy, and operational efficiency to improve performance, mitigate risks, and seize growth opportunities, working across various industries like finance, tech, and public service
S&P Dow Jones Indices	S&P Dow Jones Indices is the world's largest global resource for index-based concepts, data, and research, and being home to iconic financial market indicators, such as the S&P 500 and the Dow Jones Industrial Average. As of July 2018, S&P Dow Jones Indices use RepRisk data to screen and monitor companies for reputational and business conduct risks, and as a criterion for company exclusion in one or more of S&P DJI's proprietary and/or custom indices.
S&P Global Sustainable1	S&P Global Sustainable1 is the central source for sustainably intelligence from S&P Global. Sustainable1 matches customers with the ESG products, insights and solutions from across S&P Global's divisions to help meet their unique needs. They have been RepRisks's partner since 2012 (formerly RobecoSAM). Sustainable1 is using RepRisk data in their Media and Stakeholder Analysis (MSA) which is part of their Corporate Sustainability Assessment (CSA), which also serves as the

	starting point for the company selection of the Dow Jones Sustainability Index.
S&P Global Ratings	S&P Global Ratings provides a variety of products and services that offer intelligence, risk research and credit ratings essential to decision making for individuals, companies, and governments. It also launched the ESG Evaluation, opinion of a company's ability to effectively manage future risks and opportunities extended to banks and insurance companies in 2020. They have been RepRisk's partners since 2021. S&P Global Ratings is using Insight derived from RepRisk Data, as one qualitative input for their commentary reports and risk evaluations on financial instruments, companies, countries, and industry sectors.

2. Products and services

RepRisk offers a suite of premium risk management and compliance solutions that helps prevent and manage business conduct and reputational risks.

2.1 RepRisk main solutions



RepRisk Platform

- Born as a due diligence tool, the RepRisk Platform is our flagship product and the world's largest database on reputational and business conduct risks
- Delivered as a Data as a Service (DaaS), with access anytime, anywhere
- Allows you to conduct in-depth risk research and monitor your risks daily via Watchlists and a tailored email Alert customizable Service

For more details, see the Platform product overview and other facts and figures.



RepRisk Data Feed

- Seamlessly integrate RepRisk's proprietary risk metrics into your internal systems and processes

- Supports the systematic screening and monitoring of large portfolios to flag companies with high risk exposure
- Customizable metrics according to your risk criteria, company, or country universe

For more details, see the Data Feed product overview.



RepRisk Monitor

- A cutting-edge portfolio monitoring tool optimized for risks
- Comprehensively identify and monitor risks within your portfolio by efficiently and seamlessly creating custom reports, performing risk factor analysis to empower decision-making, and leveraging visual analytics providing quick insights into risk incidents in your portfolio

For more details, see the RepRisk Monitor product overview.

RepRisk Geospatial

- An extension of RepRisk's existing risk dataset, RepRisk Geospatial includes:
  - insights on the proximity of 65,000+ Mining and Oil & Gas projects to 270,000+ protected areas and 16,000+ Key Biodiversity Areas
  - insights on 15,000+ companies linked to the Mining and Oil & Gas projects
- Offered with a subscription from Integrated Biodiversity Assessment Tool Alliance, an organization comprising BirdLife International, Conservation International, IUCN, and UNEP-WCMC, and RepRisk's partner in developing Geospatial.
- Accessible through the RepRisk Platform

Click here for more details about RepRisk Geospatial.

RepRisk Due Diligence Scores

- Industry-first thematic risk scores now available via the RepRisk Platform, API, and Data Feeds
- Proactively identify and mitigate reputational and business conduct risk for your investments, customers, and suppliers based on criteria that matter
- Evaluate risk for individual factors on a scale of 0 to 100

- Gain access to the underlying methodology for a clear understanding of the factors influencing a company's risk exposure
- Built on two decades of due diligencegrade data, trusted by the world's leading banks, investment managers, fortune 500 companies, sovereign wealth funds, and organizations such as the OECD and UN

  Click here for more details about RepRisk Due Diligence Score.

2.2 RepRisk reports



RepRisk Company Report

RepRisk Company Reports provide an in-depth look at the reputational and business conduct risk exposure of an individual company through a combination of quantitative data – our proprietary risk analytics and metrics – and qualitative research that covers ten years of history. For more details, please refer to the product overview and product sample.



RepRisk Benchmarking Report

The RepRisk Benchmarking Report is a corporate benchmarking report. It assesses your company's exposure to reputational and business conduct risks, and benchmarks it with a customizable peer list. For more details, please refer to the product overview and product sample.



RepRisk Portfolio Monitoring Report

- A comprehensive qualitative research report that systematically identifies companies most likely to violate internal policies and international standards

- Used in screening, monitoring, exclusion, and engagement processes
- Fully customizable to your investment universe and delivered on an ongoing basis

For more details, please refer to the product sample.

3. RepRisk Methodology

3.1 RepRisk research approach

RepRisk combines the best of two worlds: AI and machine learning empower the size and scale of our dataset, while human intelligence adds depth and relevance.

On a daily basis, RepRisk screens over 100,000 media, stakeholder, and third-party sources. Since 2007, RepRisk has produced the largest, high-quality annotated (human-labeled) dataset that allows us to train our machine learning algorithms to be more accurate and effective in identifying reputational and business conduct risks. Our highly trained team of analysts curates and analyzes each risk incident according to our transparent rules-based methodology that ensures data depth and quality.

The sources include print and online media (including local, national, regional, and international), NGOs, government bodies, regulators, think tanks, newsletters, social media including Twitter and blogs, in 23 languages – allowing to capture risk early at the local level – and then captures, filters, analyzes, and quantifies the data using a systematic, rules-based approach. RepRisk has an exclusive focus on risks – i.e., criticism and negative incidents (e.g., factory fires or worker injuries).

For further information please refer to the RepRisk Methodology document.

3.2 Risk Scope

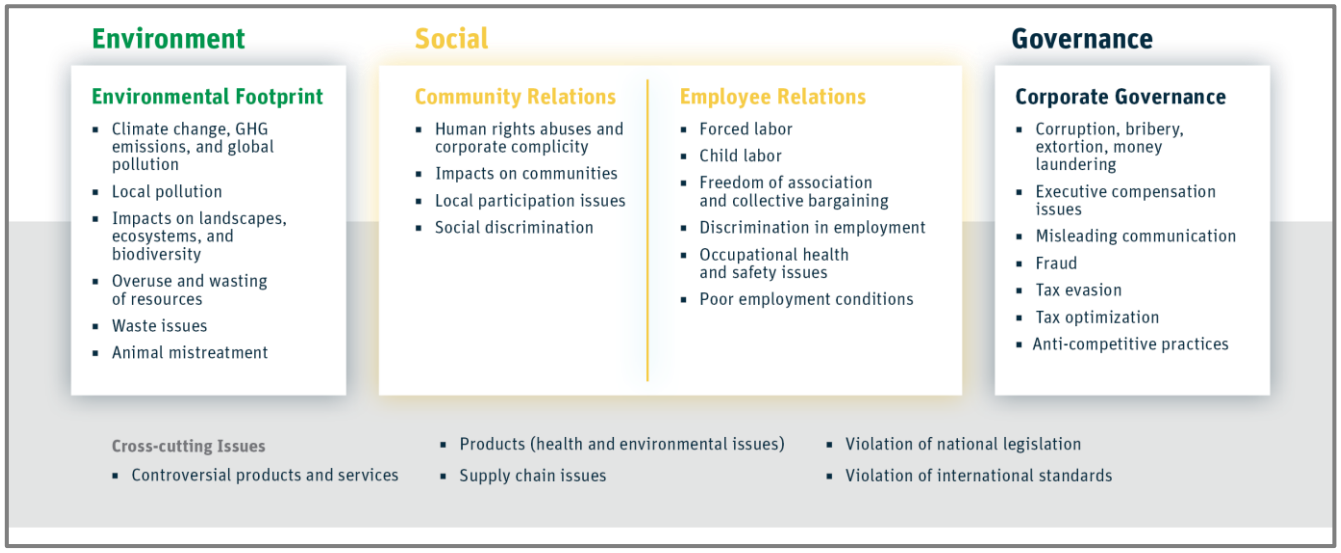
Issues

RepRisk tracks 28 Risk Issues (see Figure 1 below). The 28 Risk Issues cover the Ten Principles of the UN Global Compact.

Please refer to the Risk Issues Definition document for the definition of each of the 28 Risk Issues.

RepRisk

Figure 1



Topic Tags

Topic Tags are environmental, social, and governance "hot topics" that are an extension of RepRisk's core research scope of 28 Risk Issues. Topic Tags are specific and thematic, and one Topic Tag can be linked to multiple Risk Issues, i.e., Protected areas can be linked to Impacts on ecosystems and Impacts on communities.

Topic Tags are a dynamic concept, with the list expanding over time in response to client feedback and emerging trends. Currently, RepRisk covers 73 Topic Tags.

Clients can research the Topic Tags within the RepRisk Platform, and to analyze which companies, projects, sectors, countries, and other entities are exposed to risk incidents related to the Tags.

Please refer to the Topic Tags Definitions document for the definition of each of the 73 Topic Tags.

3.3 Industry Risk Frameworks

- **UNGC Principles**

RepRisk currently uses UN Global Compact (UNGC) Violator Flag as one of our metrics (more info in 2.6.3) which allows clients to easily identify companies that have a high risk or potential risk of violating one or more of the ten UNGC Principles. With the Flag, it is also possible to see if the UNGC violations are primarily linked to the operations (O) or to the supply chain (S) of a company.

- **SDGs**

Please refer to this document for integration methodology of the SDG.

- **SASB Materiality Map and General Issue Categories**

Please refer to this document for integration methodology of the SASB Materiality Map.

- **Australian Modern Slavery Act**

Please refer to this document for the integration methodology of the Australian Modern Slavery Act.

- **California Transparency in Supply Chains Act**

Please refer to this document for the integration methodology of the California Transparency in Supply Chains Act.

- **UK Modern Slavery Act**

Please refer to this document for the integration methodology of the UK Modern Slavery Act.

- **Sustainable Finance Disclosure Regulation (SFDR)**

Please refer to this document for the integration methodology of the Sustainable Finance Disclosure Regulation (SFDR).

4. IT and Information Security

RepRisk monitors all its applications 24 hours per day, 7 days per week. Uptime of the Platform was 99.5%+ in the last 3 years.

4.1 Data Protection and Privacy

Client Data storage

RepRisk stores and use (e.g., to send emails related to the contract) certain personal data of our contacts from the client for the purposes of negotiating the agreement, finalizing the agreement, and then performing under the agreement, as well as addressing any issues relating to renewals or requests for assistance from the client. Our storage and access parameters require that access to data be on a need-to-know basis only, that data is processed only for the designated purpose(s) for which we have received/collected it and is deleted if and when a legal basis for retaining it no longer applies.

Data Protection and Privacy

a. **Protection**

RepRisk has several controls in place to ensure data protection:

- Non-disclosure agreements (NDA) are signed between RepRisk and employees
- NDA and contract agreements between RepRisk and clients
- Access control to our systems employing Least Privilege access for our critical systems and data
- Authentication and multi-factor authentication is mandatory for all employees and to access internal systems.
- Clear identification and classification of data, how it is labelled and handled.
- Data encryption for data at rest and in motion using industry standard encryption.
- Logging and monitoring of internal systems where logs are kept indefinitely.
- Regular network scanning checking for abnormal communication, traffic and open ports with automated alerts.
- Vulnerability and patch management

b. End User Protection

RepRisk has a number of security measures deployed to the systems of end users. These include antivirus and malware endpoint protection, drive encryption, host-based firewalls, multi-factor authentication and a regular patching schedule.

We do not allow the use of removable media to store or process company information and prevent the disablement of end point security tools.

All employees go through a mandatory Information Security Awareness & Training session covering topics including Phishing and other malware, Information Classification and Handling, Social Engineering, Safe Internet Habits, Working Securely at Home and on the Go. Current employees attend mandatory refresher course in Information Security Awareness & Training every calendar year.

RepRisk also conducts quarterly phishing campaigns to ensure users are taught to identify potential phishing email and how to report them with re-training required for those that need.

Employees are required to follow RepRisk's clean desk policy and ensure sensitive documents are stored securely. Our IT assets are stored in a secure environment. Our offices have lockable entryways with some having additional fingerprint and badge-based access systems. Visitors to our offices are always registered and always accompanied by the host employee.

c. Privacy

Our Privacy Policy can be found on our website. This document details the type of information we collect, when we collect it, how we use the data and how we protect it.

RepRisk follows local regulations for data retention. Depending on the type of data, data can be retained by up to 10 years (e.g., financial, audit records etc.). All client data can be deleted upon request or when the contract ends and will no longer be included in our backups.

d. Confidentiality

RepRisk has an information classification system with specific handling rules, processes for each classification type and clear examples. It defines responsibilities and information labelling and handling of information for creation, storage, and destruction. All RepRisk employees are informed and trained on the company classification levels and appropriate handling.

Client's data would be "confidential", or "strictly confidential" (e.g., the watchlist, i.e., list of companies the client wants to monitor for risks with the help of RepRisk). Only those involved in providing service to the Client have access to the data.

General Data Protection Regulation (GDPR)

General Data Protection Regulation (GDPR) is a European regulation dealing with data privacy that came into force on May 25, 2018. RepRisk AG is a Swiss company, however our clients are global, and we are proud to serve many EU companies. Therefore, RepRisk has reviewed its responsibilities with regards to GDPR and has taken measures to ensure compliance in all material respects. For example, our website now requires an actively opt-in for the use of cookies and an ability to switch them off at any time directly on the website. We also continue to be transparent about what data we collect and how we use it. We respect the request for being removed from further communications.

a. Privacy-related codes of conduct

We adhere to industry requirements related to data protection, in particular the General Data Protection Regulation (GDPR). Due to the very limited nature of data collection and processing, there has been no need for additional certifications.

b. Data processing in accordance with GDPR

It is consent, contract performance, and in some cases both consent and contract performance. In addition to ensuring we have a legal basis for any and all processing, we

also have stringent safeguards in place to ensure that our data processing meets the seven principles applicable to data processing under the GDPR.

As part of negotiating the agreement between the client and RepRisk, each party will have access to the names, email address, and job titles of certain representatives of the other party. These names and email addresses are, by default, stored in our IT systems so the parties can email each other for purposes of discussing the agreement. As we take a very stringent view of our obligations under the GDPR and similar privacy laws, we consider this use of names and email addresses to be within the GDPR's definition of processing, and have safeguards in place to ensure that access to the names and email addresses is limited to only those individuals within RepRisk who have a need-to-know the personal data, only for the purpose of negotiating the contract, and that we retain the information only as long as necessary to negotiate, enter into, and then perform under the agreement. The basis for processing here is two-fold: (i) consent, in that the parties are voluntarily exchanging their contact information for the purpose of negotiating and entering into the agreement and (ii) contract, in that the processing is necessary in furtherance of the agreement.

As part of setting up Platform access for your designated Users, RepRisk receives ("collects) those Users' names. Receiving this data and storing it (with very limited access, as the personal data is encrypted, for the limited purpose of setting up User accounts, and only for the time period necessary before it is deleted), also constitutes processing under the GDPR. The two legal bases for processing here are, again, (i) consent, in that the parties are consenting to the use of their names for purposes of setting up their User accounts and (ii) contract, in that we need to know who the Users are so that we can fulfill our obligations under the agreement.

To the extent you may receive personal data of any RepRisk employees (e.g. individuals on our Client Services team or account management), or RepRisk receives personal data of other client personnel, any storage or other processing of that data is subject to the same safeguards on our end that minimize data access, restrict data processing only to the designated purpose, and rely on one or both of the consent and contract performance legal bases.

c. Data transferring in accordance with GDPR

The Terms & Conditions states that the parties must ensure that all persons have given their permission for the transfer of data. We are headquartered in Switzerland and work closely with our team members in several other offices. As a result, we may have to

provide some of our colleagues in our Manila office with the names and email addresses of client contacts so our colleagues can set up User access for the relevant individuals within those clients. We deem the legal basis for those transfers of data to our colleagues, for the purpose of setting up and maintaining access to our Platform, to be consent and performance of a contract.

4.2 Information Security

Access Control and Cryptography

RepRisk employs strict, role-based access control with a least-privilege concept to our systems and information. Access is periodically reviewed by owners and to reflect any organizational changes. Please see below the security measures implemented for administrator level access:

- Multi-factor authentication (MFA) is mandatory and enabled for all employees. We also provide MFA functionality to our clients that use our Platform.
- Cryptographic keys are managed by a centralized, secure key management tool. This includes the creation and storage of client public keys used to access our SFTP server. As part of the key lifecycle management, we regularly review our cryptographic keys, revoke keys when required and refresh keys on an annual basis.
- Monitoring and logging of accessing RepRisk resources are enabled for all systems, and logs are kept indefinitely.
- RepRisk uses industry standard encryption and hashing algorithms for data at rest and in motion - AES-256, TLS 1.2, TLS 1.3, SHA-256 and SHA-256 with RSA.
- RepRisk uses the Azure AD password policy. This has the following requirements: minimum 8 characters; maximum 256 characters of which requires 3 out of 4 of the following – lowercase, uppercase, number and symbols.
    - Initial temporary passwords must be changed at first login. Passwords expire after 180 days and the last password cannot be used again. Accounts are locked after 5 failed attempts.

Backups

RepRisk conducts scheduled backups of our key databases and systems. Backup copies are stored at separate locations, validated and encrypted. For our Platform, we have a Recovery Time Objective (RTO) of <4 hours and Recovery Point Objective (RPO) of <6 hours. We conduct annual recovery tests of our backup data.

Vulnerability Management

RepRisk's IT team has ongoing monitoring of all our applications and servers and picks up on any unusual activity. Summary of current Vulnerability Policy is as follows. We are in the process of refining this policy as we prepare to become ISO 27001 certified.

- Clear inventory of our IT assets including hardware, software and other technologies used.
- Defined hardening baselines for our IT assets
- Clear roles and responsibilities for Vulnerability Management, Incident Management including patching and anti-malware operations.
- End-of-life hardware and software are identified and phased out. Software is updated as part of the remediatin process.
- Vulnerability details come from industry standard databases – CVE, MITRE, CISA.org etc.
- Categorization is defined and procedures for remediation are detailed.
- Critical categories are remediated within 1 month of report or detection
- Regular reviews of our assets and systems with regards to daily/weekly vulnerability and threat reports reported by industry standard databases, security interest groups etc.
- Patches are tested before full deployment to our IT assets
- Configuration management changes
- Reporting and compliance reviews of patching

Our endpoints are protected using Microsoft Defender Advance Threat Protection and is mandatory on all IT asset and devices that require access to RepRisk internal systems. The MS Defender ATP Dashboard provide configuration management to our registered assets including Windows update, group policies, application policies. Latest patches are deployed to our devices within a week of release after relevant testing.

Mobile devices are managed using Microsoft InTune.

Software Development Lifecycle (SDLC)

RepRisk uses Agile and Scrum as our development methodology for our projects. We employ Git as our software repository and version control system. All code is peer reviewed and goes through intensive quality assurance testing with clear test cases, static and dynamic testing. We employ multiple environments during the SDLC to facilitate testing and integration before deploying to production.

Scanning of the technologies we use to build our products and services are also built into our CI/CD pipelines. Trivy is used for container scanning to determine vulnerabilities in open-source dependencies and packages used in our code. Additional code scanning with Sonarqube detects vulnerabilities (OWASP Top 10), code smells, duplication etc.

RepRisk's engineering teams regularly looks for improvements to their workflows and have trainings in secure software development. They also regularly review all services, systems and deployed technologies and decommission older or unused services and systems.

Local Networks

RepRisk employs Demilitarized Zone between internal and external networks which are also protected by a hardened firewall. We segregate the guest network and currently use WPA2-PSK (AES) encryption protocol. All Wi-Fi SSIDs are hidden.

Network monitoring is deployed to detect any open and unused ports as well as extensive logging of authentication, authorization, and other events. These logs are stored indefinitely and are encrypted.

We regularly review firewall configurations and ensure all our network equipment is updated and patched with the latest firmware version.

4.3 RepRisk Infrastructure

Cloud Infrastructure

RepRisk works with reputable cloud provider Amazon Web Services (AWS) which run ISO-certified, Tier III data centers in the EU, for hosting, storing, and backups of our products, services, and databases. AWS is ISO 27001 and CSA STAR certified. No data is transferred outside of the EU.

Regarding RepRisk's Cloud Infrastructure:

a. Hardening configurations are built into our proprietary infrastructure code as we have designed our cloud infrastructure to be immutable with high availability using the latest container technologies (Kubernetes). Servers, containers running applications, and services are never managed when deployed and are re-created every week. If there is a need to update, fix, or modify our servers, new servers are built from a common image with the appropriate changes (new configuration, updates, and patches) which are provisioned to replace the old ones. After they're validated, they are put into use and the old ones are decommissioned.

b. This immutable infrastructure enables several advantages: reduction in configuration drift, simplified, safe, and reliable deployment, fast rollback and recovery process, consistent testing and debugging environments, increased scalability, simplified toolchains, increased security.

c. This immutability applies to all network appliances on our cloud as well.

All workflows and processes on our cloud is conducted on a private subnet with no public facing gateway except for our products and services that require client login. These gateways are protected by a Web Access Firewall and Access Control List (ACL). This cloud-based approach uses multi-tier (3-tier) architecture with segregated and segmented Virtual Private Clouds, subnets, Network ACLs, and Security Groups. Our workload runs on multi-tenant clusters.

All infrastructure services are designed to have high availability with 3 high availability clusters that provide load balancing and automated failover.

Customer data is segmented and encrypted on the application layer and will prevent other customers from seeing each other's data.

RepRisk monitors all our products and services 24/7. Uptime of the Platform was 99.5% in the last 3 years. In an event of a critical incident, we are able to recover key products and services within 4 hours.

Monitoring of our infrastructure is provided by AWS CloudWatch where we collect telemetry data, full-stack observability, and measure data points such as response time, throughput, error-rate, CPU and memory usage etc. We also monitor network ports with automated alerts for any open ports on the network.

Subsidiaries and Third Parties

RepRisk built all its technology in-house, therefore we do not have any subcontractor to provide our service. However, we use the following subsidiaries and subcontractors for processing client information, and for storing back-ups of our databases and applications.

Name	Location of processing	Work subcontracted	Transfer Mechanism
RepRisk Philippines Inc.	Manila, Philippines	Processing of name, last name, company and email address for Sales and Client Service operations.	Microsoft SharePoint located in the EU

RepRisk North America Inc.	Toronto, Canada	Processing of name, last name, company and email address for Sales and Client Service operations.	Microsoft SharePoint located in the EU
RepRisk Germany GmbH	Berlin, Germany	Processing of name, last name, company and email address for Sales Operation and Client Service operations.	Microsoft SharePoint located in the EU
Microsoft	EU	Microsoft 365 services	Encrypted HTTPS over Internet
Amazon Web Services	Frankfurt, Germany	Cloud Infrastructure - Data storage, retrieval, backup, and recovery See the ISO certificate here	Encrypted HTTPS over Internet
Salesforce EMEA Ltd UK	United Kingdom	Data storage, retrieval, backup, and recovery	Encrypted HTTPS over Internet

4.4 Incident Management

RepRisk incident response and management cover clear roles & responsibilities; an incident playbook covering handling process and procedures and actions required per incident type; communication plans; post-incident activities.

Any security related concerns can be raised with a client's account manager and handled by the client services team with follow-the-sun support, Mondays to Fridays. Our team will endeavor to respond within the same business day.

RepRisk is obligated to communicate any identified security incident that involve the loss/breach of data to our clients. Clients will be notified by their respective account managers via email or telephone within a day of a detected incident.

Business Continuity and IT Disaster recovery plan

a. Business Continuity Management System

RepRisk has a Business Continuity Management System (BCMS) that was developed following ISO 2230.

Our current Information Security capabilities have been developed with consideration of the industry's best practices utilizing Center for Internet Security's Critical Security

Controls (CIS Controls) version 8 and referring to NIST Cybersecurity Framework and SP800 documentation. As part of our Information Security Roadmap to attain SOC2 and ISO 27001 certification, we are in the process of mapping CIS Controls to our organization processes and procedures.

We conduct regular threat assessments, staff trainings, phishing campaigns and implement modern authentication technology, enforced two-factor authentication. Our technology management team review and discuss emerging threats and mitigating actions weekly.

Scope

RepRisk BCMS covers the following activities:

- Research – the identification and analysis of risk incidents, creation and maintenance of related company project listings.
- Provision of IT databases, networks, softare and hardware that support delivery of RepRisk products and services to our clients and the workflow of our staff.
- Client services and relations, sales, marketing, and communication activities
- Key admin areas such as HR and Finance
- Company decision making and governance processes

The RepRisk BCMS Coordinator conducts annual reviews of our BCMS and company-wide test of business resumption and IT disaster recovery plans. Additional testing may be done in case of major changes to our organization, technology, facilities, or business processes.

b. Business Continuity Management Team

RepRisk's Global Management Team (GMT) is the appointed Global Business Continuity Team.

Key Personnel

Chief of Staff	BCMS Coordinator
Executive Vice President Products	Responsible for Data Protection/Information Security/Business Continuity programme
Head of Engineering	Primary information security contact. The Head of Engineering also serves as the person who is responsible for the information security policy

Information Security Specialist	Responsible in improving and implementing information and data protection governance and procedures, contributing to technical projects, and owning cybersecurity and data protraction questionnaires on behalf of Sales, Client Relations, and Legal departments.