

# System for Human Rights

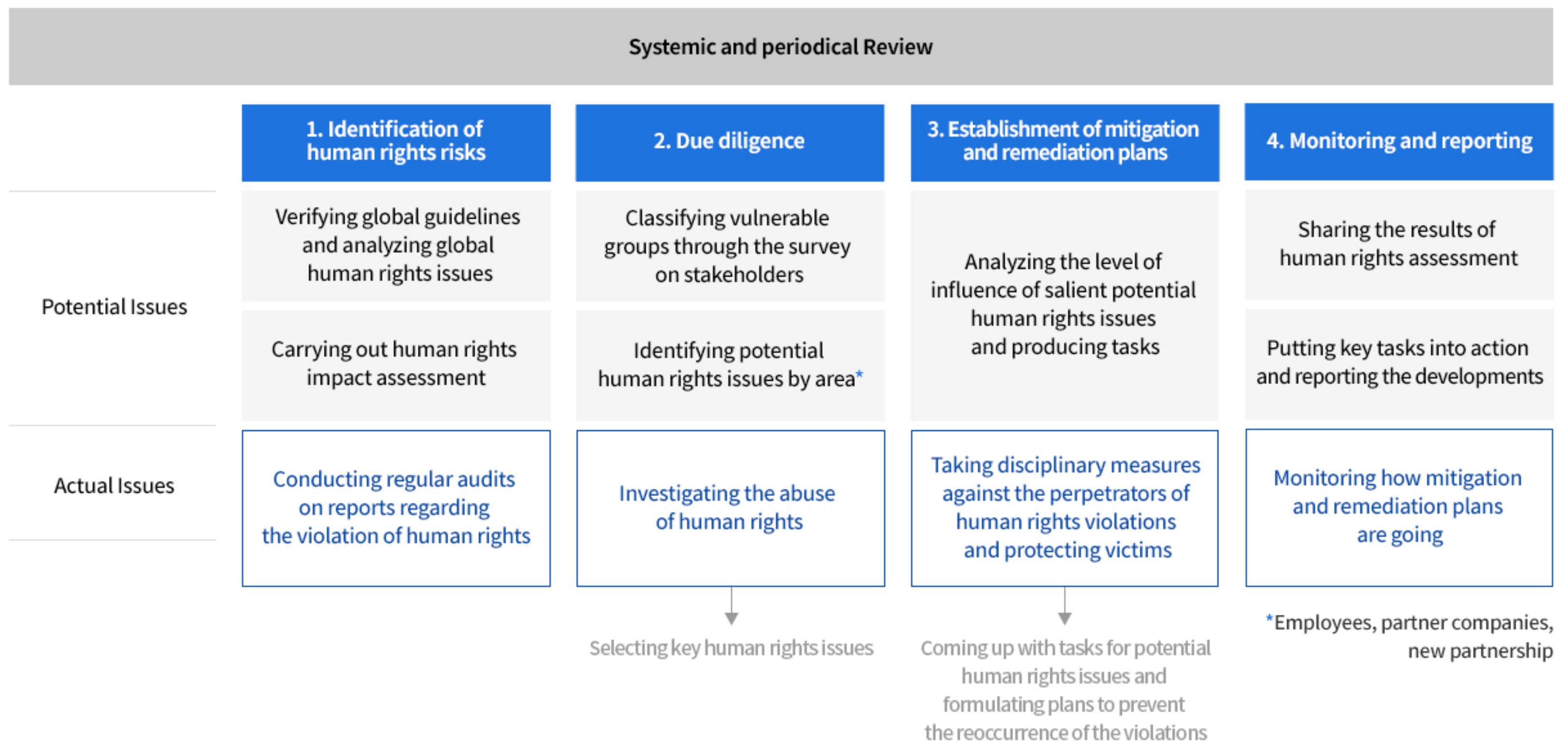
## Human Rights Policy

As part of endeavors to protect and respect the human rights of stakeholders involved in our management operation, Samsung Securities endorses the standards and principles of international human rights and labor which are embodied in the Ten Principles of UN Global Compact. To align with this, we have drawn up our policy for human rights built on UN Guiding Principles on Business and Human Rights. The policy governs regulations on various issues including ban on discrimination, forced labor, child labor and human trafficking, equal remuneration, freedom of association, and the guarantee of the right to collective bargaining. And all of our stakeholders engaged with our management, such as our employees, local residents, consumers, suppliers and partner companies are subject to this policy.

## Management of Workplace Harassment

Samsung Securities has set up and announced our internal regulations on sexual and non-sexual harassment in the workplace, which are common types of human rights abuse that can frequently occur at work, thereby creating a safe work environment where our employees' human rights are protected. As part of the efforts, we have adopted and declared zero-tolerance policy for workplace harassment and discrimination. In the event of occurrence, we take measures, such as change of work place, redeployment or paid leave, according to the opinions of victims after investigations, thereby putting the protection of victims as our top priority. As a result, the number of cases regarding harassment was zero in 2020.

## Conducting Human Rights Assessment



## **Identification of Human Rights Risks and Due Diligence**

Samsung Securities makes every effort to respect the human rights of diverse stakeholders. To this end, we have formulated a process for due diligence for human rights, which allows us to deliver our human rights policy, figure out actual and potential human rights issues company-wide and prevent these issues from occurring. Accordingly, regular audits targeting the headquarters and all branches are conducted while the status of client management and workplaces are regularly monitored. Moreover, actual and potential human rights issues within our operation are examined. As part of efforts to curtail the risks of human rights abuse, we incorporate potential issues of branches and partner companies we newly establish partnerships with into the scope of our due diligence and the selection of salient human rights issues.

## **Mitigation Process for Human Rights Risks**

We analyze the level of leverage of salient human rights issues selected through the process of identification and due diligence, and then produce tasks to be done to relive these risks. And the tasks, such as establishment of revision of regulations, operation of programs, or the provision of human rights education, are conducted at each division level. How tasks are implemented is reported and inspected in a constant manner. Especially for the case of human rights violation occurred, we take a disciplinary action in accordance with the internal regulations. On top of that, plans for the prevention of reoccurrence are also established in order to recover the rights of victim as well as prevent the risks of human rights.