

TP ICAP Group ESG Reporting Framework

The 15 data disclosure areas on which we report are categorised into three sections: Environmental, Social and Governance and are shown below. Reported data follows the framework and is within the ESG section of the 2020 TP ICAP Annual Report, which can be found here.

By focusing on these areas we can ensure we are investing resource in the areas that matter most and will help us to deliver positive impact across our operations and our communities.

Environmental	Social	Governance
<ul style="list-style-type: none"> > Carbon emissions > Energy use 	<ul style="list-style-type: none"> > Employee Diversity & Inclusion > Charitable donations > Staff turnover rates > Share of temporary staff > Employee training hours 	<ul style="list-style-type: none"> > Incorporation of ESG Factors in Brokerage Activities > Business Ethics – Professional Integrity > Systemic Risk Management > Promoting Transparent & Efficient Capital Markets > Managing Conflicts of Interest > Managing Business Continuity and Technology Risks > Political contributions > ESG fines

Environmental

Data Disclosure	Core Metric(s)	Standard	Executive Owner(s)
Carbon emissions	> Three years of total operational Green House Gas (GHG) emissions data (Scope 1 and 2).	> CDP > GRI section 305-1 and 305-2	Martin Ryan, Group Chief Operating Officer
Energy use	> Three years of total energy consumption data.	> GRI section 302-1 > CDP	Martin Ryan, Group Chief Operating Officer

Social

Data Disclosure	Core Metric(s)	Standard	Executive Owner(s)
Employee Diversity Inclusion	<ul style="list-style-type: none"> > Percentage of gender representation for: <ul style="list-style-type: none"> – Executive Management – Non-executive Management – Professionals – All other employees > Percentage of racial/ethnic group representation for: <ul style="list-style-type: none"> – Executive Management – Non-executive Management – Professionals – All other employees. 	> SASB Investment Banking & Brokerage Sustainability Accounting Standard	Sue Maple, Group HR Director
Charitable donations	> Total amount of corporate or Group donations and community investments made to registered not-for-profit organisations.	> GRI (Global Reporting Initiative) section 201-1	Richard Newman, Group Head of Marketing & Communications
Staff turnover rates	> Full-time staff voluntary turnover rate calculated against the average number of full-time employees during the year to create a consistently comparable figure year-on-year.	> The UN PRI > GRI (Global Reporting Initiative) section 401-1	Sue Maple, Group HR Director
Share of temporary staff	> The percentage of the workforce that is employed temporarily or on a contract basis.	> GRI section 102-8	Sue Maple, Group HR Director
Employee training hours	> Hours spent on employee development training to enhance knowledge or individual skills (not including training time on Company policies (e.g. safety, code of conduct).	> GRI section 404-1	Sue Maple, Group HR Director

Governance			
Data Disclosure	Core Metric(s)	Standard	Executive Owner(s)
Political contributions	> Disclosure of total amount of political contributions made.	> GRI section 415.1	Robin Stewart, Group Chief Financial Officer
ESG fines	> Provisions for fines and settlements specified for ESG (Environmental, Social or Governance) issues in audited accounts.	> The UN PRI > GRI section 307-1	Robin Stewart, Group Chief Financial Officer
Incorporation of ESG Factors in Brokerage Activities	> Description of approach to incorporation of ESG factors in brokerage activities.	SASB Investment Banking & Brokerage Sustainability Accounting Standard	Heads of Global Broking: Don McClumpha, EMEA; Shawn Bernardo, Americas; Tom Lovell, APAC; Energy & Commodities: Andrew Polydor, CEO
Business Ethics – Professional Integrity	> Total amount of monetary losses as a result of legal proceedings with fraud, insider trading, anti-trust, anti-competitive behaviour, market manipulation, malpractice, or other financial industry laws or regulations > Description of whistle-blower policies and procedures.	SASB Investment Banking & Brokerage Sustainability Accounting Standard	Philip Price, Group General Counsel Amir Zaidi, Group Head of Compliance
Systemic Risk Management	> Description of approach to incorporation of results of mandatory and voluntary stress tests into capital adequacy planning, long-term corporate strategy, and other business activities.	SASB Investment Banking & Brokerage Sustainability Accounting Standard	David Goodchild, Group Chief Risk Officer
Promoting Transparent and Efficient Capital Markets	> Number and average duration of a) halts to public release of information and b) pauses related to volatility > Description of alert policy regarding timing and nature of public release of information	SASB Security and Commodity Exchanges Sustainability Accounting Standard	Philip Price, Group General Counsel Amir Zaidi, Group Head of Compliance
Managing Conflicts of Interest	> Total amount of monetary losses as a result of legal proceedings with fraud, insider trading, anti-trust, anti-competitive behaviour, market manipulation, malpractice, or other financial industry laws or regulations > Description of processes for identifying and assessing conflicts of interest.	SASB Security and Commodity Exchanges Sustainability Accounting Standard	Philip Price, Group General Counsel Amir Zaidi, Group Head of Compliance
Managing Business Continuity and Technology Risks	> Number of significant market disruptions and duration of downtime > Number of data breaches, percentage involving personally identifiable information, and number of customers affected > Description of efforts to prevent technology errors, security breaches and market disruptions.	SASB Security and Commodity Exchanges Sustainability Accounting Standard	Martin Ryan, Group Chief Operating Officer

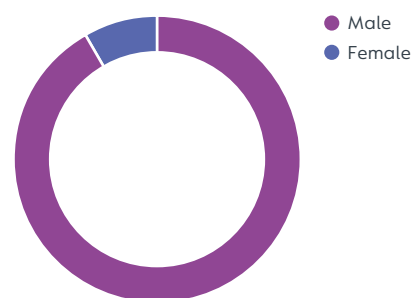
Charitable Donations

GBP'm at actual rates	2020	2019
ICAP Charity Day funds raised	3.6	4.6
Other charitable donations (see detail below)	0.2	0.1
Total	3.8	4.7

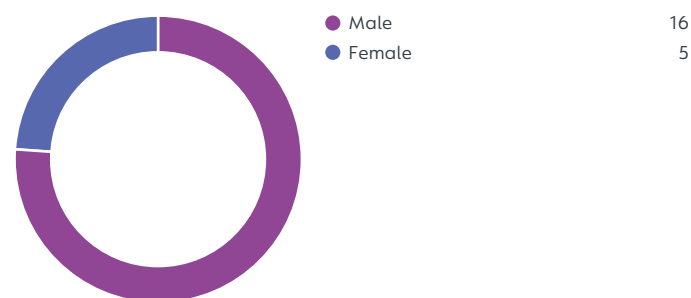
Further breakdown of "Other"	GBP	
Covid-19 Solidarity Response Fund	50,000	
Covid-19 UK National Emergencies Trust	25,000	
US CDP Covid-19 Response Fund.	25,000	
Small matching charity payments: UK	25,839	
PVM Petroleum Markets, LLC annual donation	13,358	
Small matching charity payments: Singapore	9,129	
Ronald McDonald House	5,349	
Other small donations	7,522	
Total	161,197	113,000

Gender Diversity

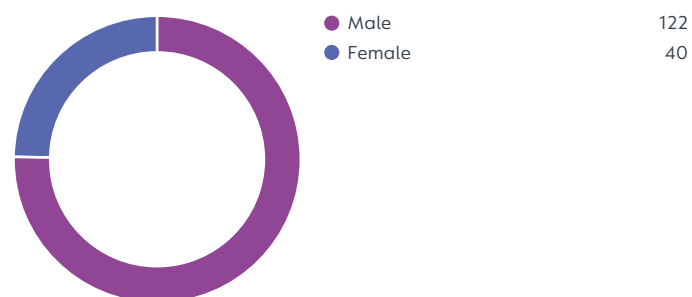
Executive Management 2019



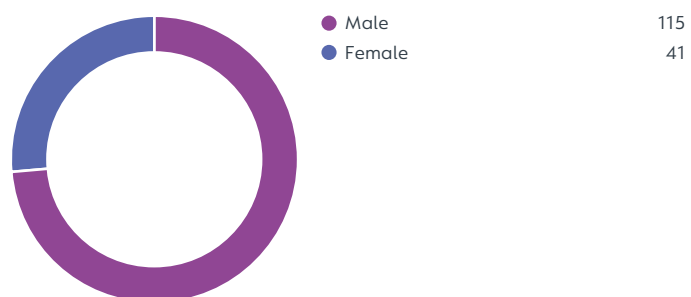
Executive Management 2020



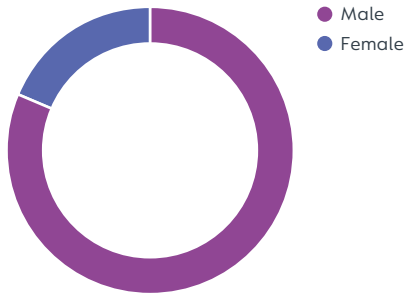
Non-executive Management 2019



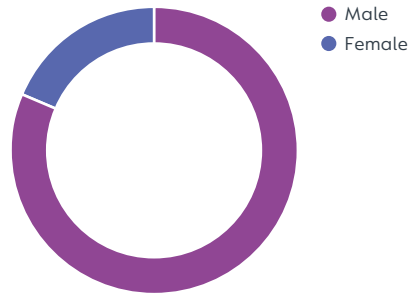
Non-executive Management 2020



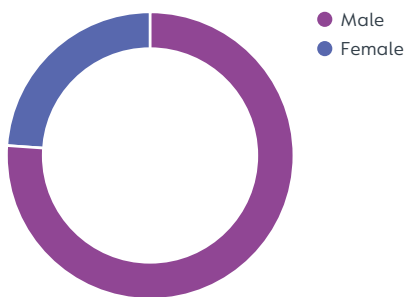
Professionals
2019



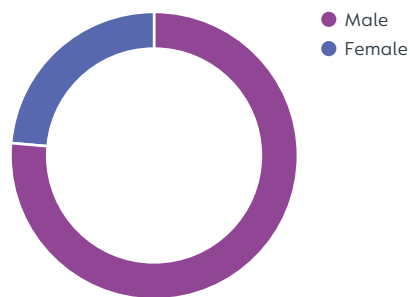
Professionals
2020



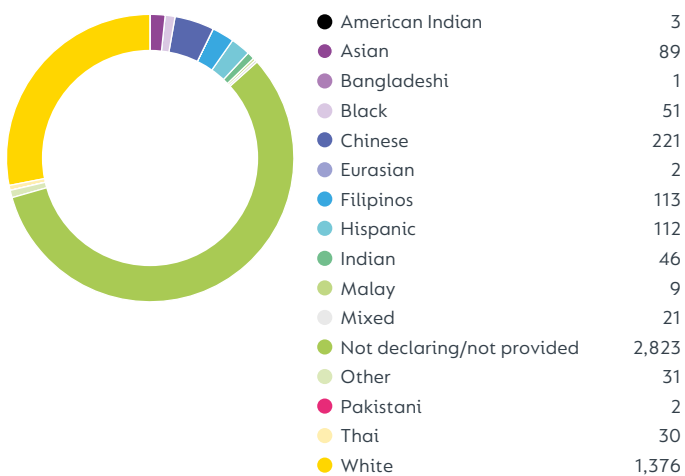
All other employees
2019



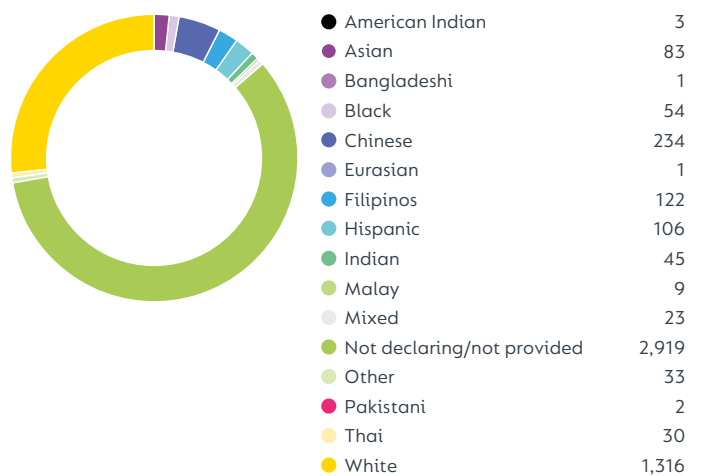
All other employees
2020



Ethnicity
2019



Ethnicity
2020



Staff Turnover Rates

2019

JL	AVG EE Count	Total	% Total	Female	% Female	Male	% Male
Joiners	4,874	987	20.25%	281	28.47%	706	71.53%
Leavers	4,874	826	16.95%	227	27.48%	575	69.61%

JL	Under 30 years old	% Under 30 years old	30-50 years old	% 30-50 years old	Over 50 years old	% Over 50 years old
Joiners	343	34.75%	526	53.29%	111	11.25%
Leavers	209	25.30%	417	50.48%	172	20.82%

JL	APAC	% APAC	EMEA	% EMEA	Americas	% Americas
Joiners	228	23.10%	531	53.80%	228	23.10%
Leavers	186	22.52%	399	48.31%	241	29.18%

Staff Turnover Rates

2020

JL	AVG EE Count	Total	% Total	Female	% Female	Male	% Male
Joiners	4,998	718	14.37%	195	27.16%	522	72.70%
Leavers	4,998	654	13.09%	197	30.12%	457	69.88%

JL	APAC	% APAC	EMEA	% EMEA	Americas	% Americas
Joiners	149	20.75%	451	62.81%	118	16.43%
Leavers	153	23.39%	359	54.89%	142	21.71%

JML	Under 30 Years Old	% Under 30 Years Old	30-50 Years Old	% 30-50 Years Old	Over 50 Years Old	% Over 50 Years Old
Joiners	218	30.36%	391	54.46%	103	14.35%
Leavers	141	21.56%	344	52.60%	165	25.23%

Share of temporary staff

Employment contract by gender

2019

Worker Type	EE	Female	% Female	Male	% Male	Unknown	% Unknown
Contingent worker	554	47	8.48%	122	22.02%	385	69.49%
Employee	4,930	1,130	22.92%	3,800	77.08%	0	0.00%

Employment contract by gender

2020

Worker Type	EE	Female	% Female	Male	% Male	Unknown	% Unknown
Contingent worker	502	31	6.18%	77	15.34%	394	78.49%
Employee	4,981	1,136	22.81%	3,844	77.17%	1	0.02%

Employment contract by region

2019

Worker type	EE	APAC	% APAC	EMEA	% EMEA	Americas	% Americas
Contingent Worker	554	10	1.81%	448	80.87%	96	17.33%
Employee	4,930	1,045	21.20%	2,329	47.24%	1,556	31.56%

Employment contract by region

2020

Worker type	EE	APAC	% APAC	EMEA	% EMEA	Americas	% Americas
Contingent Worker	502	26	5.18%	391	77.89%	85	16.93%
Employee	4,981	1,044	20.96%	2,422	48.62%	1,515	30.42%

Full-time and part-time by gender

2019

Employment Type	EE	Female	% Female	Male	% Male
Full-time	4,851	1,077	22.20%	3,774	77.80%
Part time	79	53	67.09%	26	32.91%

Full-time and part-time by gender

2020

Employment Type	EE	Female	% Female	Male	% Male
Full-time	4,895	1,083	22.12%	3,811	77.85%
Part time	86	53	61.63%	33	38.37%

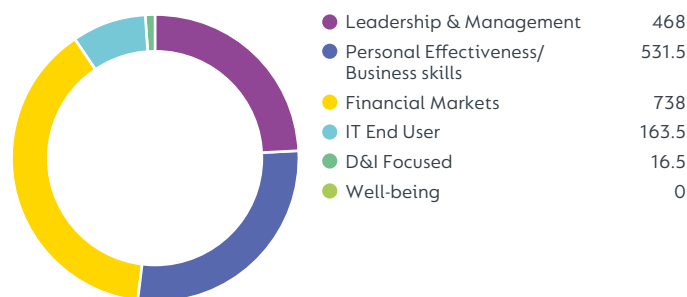
Employee training hours data disclosure

In 2020, our employee training hours increased by some 73%.

Training Attendance

Total hours

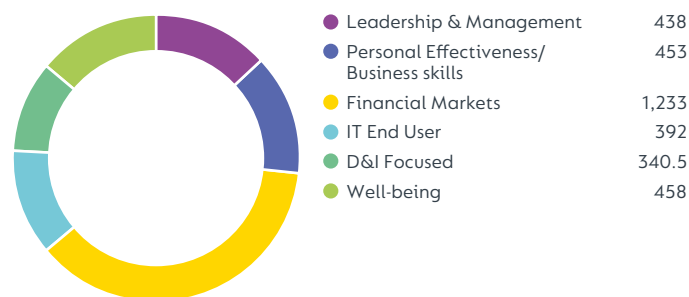
2019



Training Attendance

Total hours

2020



Metric	EMEA	AMER	APAC
<p>Total amount of monetary losses as a result of legal proceedings with fraud, insider trading, anti-trust, anti-competitive behaviour, market manipulation, malpractice, or other financial industry laws or regulations.</p>	<p>TPEL ICE US \$520k in relation to the period between March 2018 and September 2019 – https://www.theice.com/publicdocs/futures_us/disciplinary_notices/ICE_Futures_US_Tullett_Prebond_Europe_Ltd_20200814.pdf</p> <p>IEuLCME \$100k in relation to the period November 2017 and January 2018, as well as between May 2018 and May 2019 https://www.cmegroup.com/notices/disciplinary/2020/06/NYMEX-18-1012-BC-ICAP-ENERGY-LIMITED.html</p> <p>TPEL – CME – \$72,500 – in relation to the period April 2019 and October 2019, as well as August 2020 https://www.cmegroup.com/notices/disciplinary/2020/12/NYMEX-19-1144-BC-TULLETT-PREBON-EUROPE-LTD.html</p>	<p>\$239,105 See attached word doc for breakdown</p>	<p>NIL</p> <p>n.b. Legal and Compliance negotiating a fine with the CME that relates to the year 2020 for TPES. This will be c \$30-65k</p>