

## CISI Modern Slavery and Human Trafficking Statement

### Document Control

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### Introduction

This statement constitutes CISI’s modern slavery and human trafficking statement made pursuant to section 54 of the Modern Slavery Act 2015. CISI recognises the importance of ethical conduct and human rights standards in the industry.

This statement has been adopted by CISI and is to be communicated to everyone involved in our business to ensure their commitment to it. CISI attaches the utmost importance to this statement and will apply a ‘zero tolerance’ approach to any involvement with modern slavery by any of our employees, suppliers or business partners working on our behalf.

This statement explains the procedures and controls through which CISI seeks to maintain its high ethical standards and help protect its supply chain against modern slavery and human trafficking. The actions and conduct of CISI officers, Directors and employees, as well as others acting on the Institute's behalf, are essential to maintaining these standards.

### About CISI, our operations and supply chain

CISI is a UK-based chartered professional body and charity providing education, examinations, memberships, events, publishing, training and professional standards services internationally. CISI’s supply chain includes (among other things) examination delivery providers, technology and platform vendors, recruitment agencies, consultants, event suppliers, and regional education or accreditation partners. CISI considers the nature of its activities and supplier relationships when assessing and addressing modern slavery and human trafficking risks.

### Change History

Version Number	Summary of Changes	Date of Issue
1	Version 1 Revised and updated	28 February 2025
2	Version 2 Revised and updated	14 May 2026

***This statement is reviewed in line with internal, legal and regulatory requirements, at least once every two years or more frequently if required. It was last reviewed by the CISI Executive Committee (ExCo) on 7 May 2026 and approved by the CISI Chair on 14 May 2026.***

## 1. Aim and Implementation

CISI aims to reduce its risk of exposure to modern slavery and human trafficking by:

Setting out a clear modern slavery and human trafficking statement.

Providing training and guidance to employees to help them identify indicators of modern slavery and human trafficking risks relevant to their roles and responsibilities, and to support appropriate escalation.

Encouraging its employees to be vigilant and to report any suspicion of modern slavery and human trafficking, providing them with suitable channels of communication and ensuring sensitive information is treated appropriately.

Rigorously investigating instances of alleged modern slavery and assisting the police and other appropriate authorities in any resultant prosecution.

## 2. Suppliers

CISI operates as a UK based chartered professional body providing education, examinations, memberships, events, publishing, training, and professional standards services internationally, with suppliers including examination delivery providers, technology vendors, recruitment agencies, consultants, event suppliers and regional educational or accreditation partners. Modern slavery and human trafficking are unlikely to exist within CISI, and the greatest risk of exposure to modern slavery lies within CISI's supply chain and its indirect suppliers.

Where CISI identifies an increased risk of modern slavery and human trafficking, CISI seeks to incorporate appropriate anti-modern slavery and ethical compliance provisions into material supplier agreements and undertakes risk-based supplier due diligence proportionate to the nature of the services and the jurisdictions involved.

Material supplier contracts are reviewed through CISI's legal and governance processes with a view to supporting compliance with applicable legal and regulatory obligations, including those relating to modern slavery, human trafficking and ethical business conduct.

CISI expects employees, contractors and relevant third parties to raise any concerns or suspicions of modern slavery and human trafficking promptly. Concerns may be reported via CISI's whistleblowing arrangements or escalated to line management, HR, the General Counsel/Legal Counsel. CISI seeks to ensure that reports are handled appropriately and without retaliation.

## 3. Employee Responsibilities in Preventing Modern Slavery

All employees have a duty to prevent modern slavery and human trafficking. Employees are required to:

- Understand what modern slavery and human trafficking is and recognise potential signs of exploitation
- Stay informed of modern slavery and human trafficking through training and updates on modern slavery risks
- Act with integrity and in accordance with CISI's mission, vision, purpose and values
- Conduct due diligence when working with suppliers, contractors and partners ensuring any engagements align with high ethical standards

- Promote ethical practices
- Report any suspicions or evidence of modern slavery, human trafficking or exploitation.

#### 4. Training & Awareness

CISI provides modern slavery and human trafficking awareness training to employees helping employees identify indicators of modern slavery and human trafficking relevant to their roles and responsibilities. CISI seeks to ensure that staff involved in supplier engagement and procurement, and managers with responsibility for third-party relationships, receive additional guidance proportionate to their roles.

#### 5. Risk Management

The CISI Audit and Risk Committee (ARC) oversees risk governance, reporting to the Board. CISI maintains a risk register that includes legal and regulatory compliance risks, and modern slavery and human trafficking risks are considered as part of CISI's overall risk management framework.

CISI applies a risk-based approach to identifying, assessing and mitigating modern slavery and human trafficking risks, considering factors such as geography, supplier type, outsourced and labour-intensive services, and third-party engagement models. CISI also maintains a centralised database where contracts are recorded and may be reviewed through CISI's legal and governance processes to help identify and address relevant risks.

CISI continues to monitor the effectiveness of its controls through supplier onboarding, contractual review and employee awareness.

#### 6. Effectiveness and monitoring

CISI seeks to monitor the effectiveness of its modern slavery and human trafficking controls through risk-based supplier onboarding and review, the inclusion of appropriate contractual provisions in material supplier agreements, and employee awareness and training activity. CISI will keep its approach under review and, where appropriate, will consider proportional measures such as tracking relevant training completion, supplier due diligence outcomes and reported concerns raised through escalation or whistleblowing channels.

#### 7. Ownership and accountability

The CISI Executive Committee (ExCo) is responsible for overseeing the implementation of this statement and associated controls, reporting to the Board. The Board has overall accountability for approving CISI's modern slavery and human trafficking statement in accordance with section 54 of the Modern Slavery Act 2015.

Approved on: 14 May 2026



Signed:  
Michael Cole-Fontayn, Chair  
Chartered Institute for Securities & Investment (CISI)