

CISI Modern Slavery Statement

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Introduction

The Chartered Institute for Securities & Investment (CISI) is committed to preventing slavery and human trafficking in all aspects of its operations and supply chains. CISI recognises the importance of ethical conduct and human rights standards in our industry and are dedicated to upholding these principles. This policy outlines our commitment to combating modern slavery and human trafficking risks within our organisation and throughout our supply chains.

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 document explains the procedures through which CISI can maintain its high ethical standards and protect its supply chain against instances of modern slavery. The action and conduct of CISI officers, Directors and employees as well as others acting on the Institute's behalf are essential to maintaining these standards.

Change History

Version Number	Summary of Changes	Approval	Date of Issue
1	Version 1		
2	Version 2 Revised and updated (pending approval)	ExCo	28 February 2025

This document is the responsibility of the CISI Executive Committee ('ExCo') and is reviewed

in-line with internal, legal and regulatory requirements, at least once annually. This version was approved by the ExCo on 28 February 2025.

1. Aim and Implementation

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

Setting out a clear anti-modern slavery statement.

Training all employees so that they can recognise and avoid the use of modern slavery anywhere in CISI's supply chain.

Encouraging its employees to be vigilant and to report any suspicion of modern slavery, 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 is a global professional body with members based around the globe and exams taken across more than 100 countries every year. Modern slavery is very unlikely to exist within CISI, and the greatest risk of exposure to modern slavery lies within CISI's supply chain and its indirect suppliers.

In instances where CISI identifies potential greater exposure to risks of modern slavery, contracts, supplier agreements and memorandums of understanding will include a clause noting the risks of modern slavery, that parties are vigilant about any areas of risk in this regard and will report any concerns about modern slavery.

All contracts are regularly reviewed by CISI Legal Counsel to ensure compliance with all applicable laws, including the Modern Slavery Act 2015.

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 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 training to employees to increase awareness of modern slavery risks and ensure compliance with the Modern Slavery Act 2015.

5. Risk Management

The CISI Audit and Risk Committee oversees risk governance, reporting to the Board. CISI maintains a risk register that includes compliance with laws and regulations and has zero tolerance of any violations.

CISI also has a centralised database where all contracts are recorded and reviewed by CISI legal counsel to identify any risks and ensure compliance with all applicable laws.

6. Ownership and Accountability

The CISI Executive Committee team has overall accountability for ensuring that CISI complies with the Modern Slavery Act 2015 and reflects our ongoing commitment to ethical practices.

This statement was approved by the CISI Executive Committee on 28 February 2025.