



ESG Factsheet



2024

DFIN

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About This Report

This report takes a materiality-based approach to disclose our progress from January 1, 2023, to December 31, 2023, unless otherwise stated. This report was generally prepared in accordance with the Sustainability Accounting Standards Board (SASB) standards for two industries which are relevant to our Company — Professional & Commercial Services and Software & IT Services.

This report contains forward-looking statements, including our commitments, targets, and other statements that are not historical facts. These statements are subject to risks and uncertainties as further set forth in our SEC filings and are not guarantees of future performance. Statements regarding materiality and other terminology used herein may not be comparable to similarly titled measures reported by other companies or by DFIN in other contexts (e.g. SEC filings). All forward-looking statements are based on management's current assumptions, estimates, and projections. We do not intend to update or revise any forward-looking statements, whether as a result of new information, future events, or otherwise.

Message from the CEO

We are pleased to present DFIN's third annual Factsheet, sharing our Company's latest efforts and results on our ongoing commitment to support the environment, engage our people, and adhere to sound governance principles.

This Factsheet demonstrates how our core values and corresponding leadership behaviors guide our interaction with clients, shareholders, and employees. We believe that sustainable success is achieved when all three of those groups benefit and win as one. Clients can count on market-leading technology, services, and insights that allow them to confidently comply with regulations. Shareholders can count on DFIN to maximize their financial returns. Employees can count on us to deliver a world-class experience that motivates and engages them to deliver their best work every day in support of our clients and one another.

As we continue to build upon a solid foundation, we are on course for an even stronger future in 2024 and beyond. More than ever, we remain focused on fostering long-term value for our shareholders, strengthening relationships with our clients, and valuing our employees. We appreciate your confidence and support.

Sincerely,

Dan Leib

President and Chief Executive Officer



“This Factsheet demonstrates how our core values and corresponding leadership behaviors guide our interaction with clients, shareholders, and employees.”

About Us

Donnelley Financial Solutions, Inc. (NYSE: DFIN) is a leading global provider of innovative software and technology-enabled financial regulatory and compliance solutions. We provide regulatory filing and deal solutions to public and private companies, mutual funds, and other regulated investment firms. Our business strategy centers around accelerating growth in software solutions and tech-enabled services while we continue to serve our clients, employees, and shareholders well.

DFIN is headquartered in Chicago, Illinois. To learn about our services and solutions, visit us online at DFINSolutions.com, or follow us on LinkedIn, Instagram, Facebook, and X (formerly Twitter) @DFINSolutions.



#1

SEC Filing Agent for Corporations

#1

SEC Filing Agent for Fund Companies

#1

Content Management Software (Arc Suite®)

#2

Compliance Filing Software (ActiveDisclosureSM)

#3

Virtual Data Room Software (Venue®)

500+

Industry Experts Worldwide

1,900

Employees Operating in 12 Countries

\$797M

Net Sales

200+

Fortune 500 Clients

AA

MSCI ESG Rating

As of December 31, 2023

We partner with our clients to provide a comprehensive suite of offerings.

Capital Markets

<p>Software Solutions</p>	<p>ActiveDisclosure is a SaaS-based product utilized by corporate clients who wish to manage their own SEC filings using purpose-built financial reporting software. Venue Data Room is a secure storage and collaboration platform largely utilized in capital market transactions (IPO, debt, and M&A) by investment banks, law firms, and Company deal teams.</p>
<p>Compliance & Communications Management</p>	<p>We assist corporate clients in compiling, formatting, filing, and distributing documents related to ongoing regulatory requirements (10-Ks, 10-Qs, 8-Ks, and Proxies). DFIN also provides these services to private and public companies undergoing IPOs, secondaries, debt issuances, and M&A transactions. Print products are provided to clients on an as-needed basis.</p>

Investment Companies

<p>Software Solutions</p>	<p>Arc Suite offers a complete end-to-end suite of global software solutions to help our clients manage their front-, middle-, and back-office functions via integrated workflow tools that simplify the creation, management, and distribution of their financial regulatory compliance. Arc Suite consists of four industry-leading products: ArcReporting®, ArcPro®, ArcRegulatory®, and ArcDigital®.</p>
<p>Compliance & Communications Management</p>	<p>We assist mutual funds, hedge and alternative investment funds, and insurance companies in creating, formatting, and filing SEC required registration forms and subsequent ongoing disclosures. We also assist with the creation and physical/digital distribution of marketing documents. Print products are provided to clients on an as-needed basis.</p>

Our values enable us to provide a positive impact to our employees, clients, and shareholders.



Purposeful Agility

We navigate constantly changing market conditions in order to help our clients succeed.



Collective Genius

We create the best solutions by leveraging diverse perspectives, sharing knowledge, and fostering an inclusive environment in which all voices are heard.



Uncompromising Integrity

We adhere to the highest standards of integrity, quality, and transparency in all that we do.



Bold Action

We are confident and willing to push boundaries to pursue innovative and unconventional solutions.

2023 ESG Highlights

Our ESG strategy is aligned with the transformation of our business and includes three key pillars.



Environmental

Protect our planet

- **6th consecutive year** purchasing wind renewable energy credits to match 100% electricity in manufacturing.
- **Zero** notices of environmental violations with fines since becoming a publicly traded Company in 2016.
- Established **Compudopt™** partnership to reuse and donate end-of-life Company computers to under-resourced families and individuals.



Social

The well-being, safety, and equity of people

- Launched **Employee Stock Purchase Plan** for U.S. employees.
- Achieved **ISO 27001 certification** for information security management system.
- Leverage **Zero Trust Maturity metrics** to prioritize technology initiatives and investments across the enterprise, with specific goals to implement secure architectures and system operation models.
- Established **Commitment to Supplier Diversity** and had a 6-fold increase in 2023 spend among certified diverse suppliers compared to 2022.
- Established 2nd employee resource group — **DFIN MINDS** — which is focused on employee mental health.



Governance

Transparent management and oversight of our Company

- **Amended Company by-laws** to comply with SEC’s universal proxy rules and provide clarity for shareholder nominations.
- **Zero** monetary losses as a result of legal proceedings associated with professional integrity.
- **100%** employee completion rate for compliance training, which includes certifying the Company’s Principles of Ethical Business Conduct.



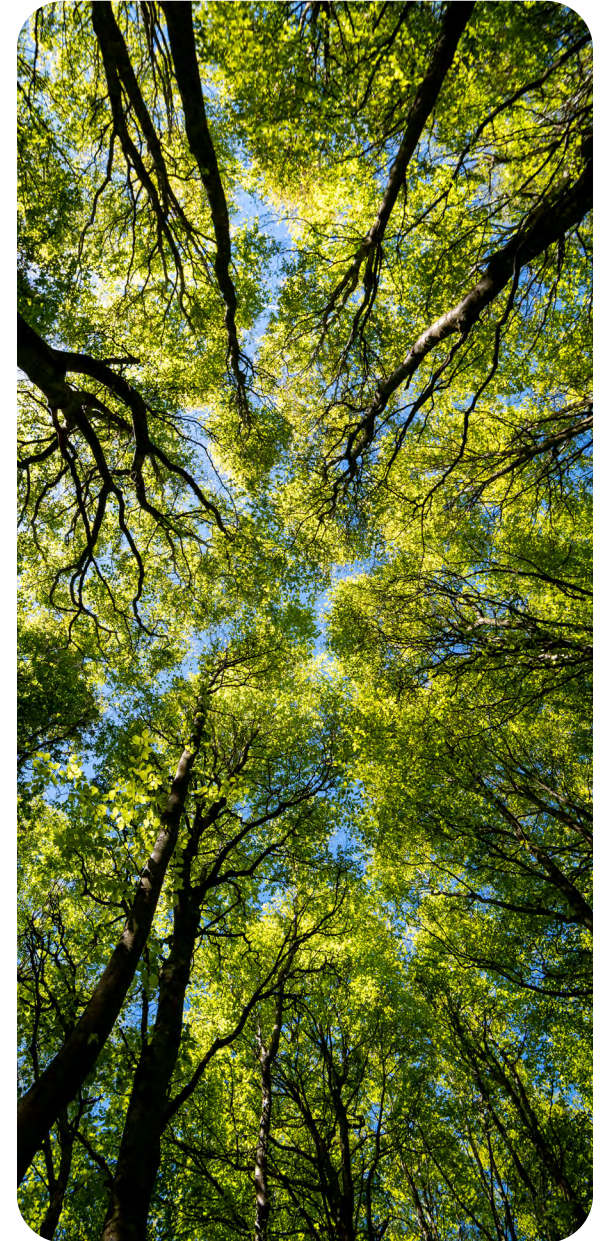
Environmental

Protect our Planet

Climate

The evidence is clear. Climate change is a global reality that poses physical risks such as extreme weather events and transitional risks as economies and society adapt. Due to the nature of our business, we believe our climate risks are low and do not anticipate any material direct impacts from climate-related regulations, physical effects of climate change, or material expenditures for climate-related projects. Our climate resilience — the ability to recover from and adapt to climate events — is underpinned by the Company's successful transition to a tech-enabled SaaS business. With the closure of some of our former manufacturing facilities, and the adoption of a fully flex work environment, DFIN has few fixed assets and a mostly remote workforce. Approximately eighty percent of our employees work from home to deliver our innovative products and services. By the end of 2023, DFIN had 20 locations in Asia, Canada, Europe, and the United States compared to 50 at the end of 2020. These changes to our business limit the risk of property damage from extreme weather and have resulted in a reduced carbon footprint where fewer emissions result from building infrastructure and daily commuter travel.

Even as our business has transformed, we have continued a long-standing commitment to purchase wind renewable energy credits (RECs) to match 100% of the electricity used in manufacturing operations. We also disclose an estimate of the Company's Scope 1 and Scope 2 greenhouse gas emissions from manufacturing through the annual Carbon Disclosure Project (CDP) Climate Change Questionnaire. In 2024 we will refine our estimation of the Company's climate profile and will use that assessment to further safeguard our operations in a low carbon world.

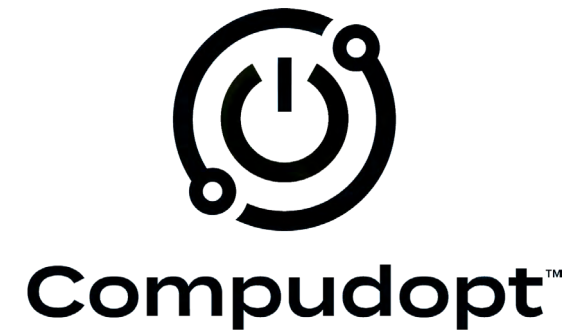


Conserve Natural Resources

The world's natural resources are limited, and overuse can harm the environment. DFIN has a role to play by using renewable energy, reducing waste, and managing natural resources wisely.

Reuse/Recycle

The life cycle of a computer in a corporate environment is typically three years or less. In 2024, DFIN established a partnership with Compudopt, the largest and only 501(c)(3) nonprofit in the U.S. that provides technology access and education to under-resourced youth and their communities. DFIN donates its end-of-life (EOL) computers to Compudopt, which distributes them free of charge to schools, families, and individuals after they have been cleaned of Company information and refurbished. Donating EOL laptops and desktops gives the devices a second chance at supporting local communities and also reduces our environmental footprint.



Water Use

Water stress occurs in regions where demand exceeds the available renewable supply. DFIN has no operations in countries designated by the World Resources Institute as High or Extremely High Baseline Water Stress. Due to the nature of our business with a mostly remote workforce, the Company's global water consumption from operations is not material. DFIN's only manufacturing facility is in a low water stress area. Water used at the facility in 2023, was 3.51 million gallons compared to 4.07 million gallons in 2022, representing a 14 percent decrease in consumption. Mechanical, electrical, and plumbing systems in the facility are carefully monitored to avoid water loss, and internal building temperatures are managed to minimize the amount of cooling load needed.

Forests

Our end-to-end solutions include print and distribution services to meet the regulatory and sustainability needs of clients. We offer clients the ability to select recycled paper and paper sourced from well-managed forests by participating in the certified chain of custody (CoC) programs for the Forestry Stewardship Council® (FSC), Sustainable Forestry Initiative® (SFI), and the Program for the Endorsement of Forestry Certification™ (PEFC). Compliance with these rigorous international standards assures our clients that their print orders originate from sustainable and legal sources.



Renewable Energy

Wind power is a clean and renewable energy source. Our 6-year commitment to purchase renewable energy credits produced from wind power helps DFIN reduce its electricity-based carbon emissions.

Cloud and Managed Service Providers

DFIN outsources the majority of its data center needs using third party on-demand providers. We own one, 2,256 sq. ft. onsite data center which benefits from the use of renewable energy. The providers we partner with are committed to preserving environmental quality by efficiently managing their energy consumption, water use, and waste disposal practices.

Legal Obligations

Our [Global Sustainability Policy](#) commits us to fully comply with the applicable legal obligations in all countries in which we operate. We strive to maintain zero environmental incidents from operations that result in fines.

Zero notices of environmental violations with fines since becoming a publicly traded Company in 2016



Social

The well-being, safety,
and equity of people

Data Privacy and Cybersecurity

Security matters. More than 10,000 businesses trust DFIN to safeguard their data as we support their regulatory and compliance needs. As a result, maintaining the confidentiality, integrity, and availability of our systems is an issue of critical importance for us and those who rely on DFIN systems to store and exchange large volumes of information, much of which is confidential.

To safeguard against the risk of cyber-threats, we invest in technology that improves the reliability and quality of our IT infrastructure. We also invest in our people who are the first line of defense. All employees and contractors are assigned IT training quarterly. In Q1 2024, employees were trained on the use and risk of Artificial Intelligence Chatbots. We also deploy phishing exercises regularly and assign additional training to those who fail their phishing simulations.

2024 IT Training

Audience

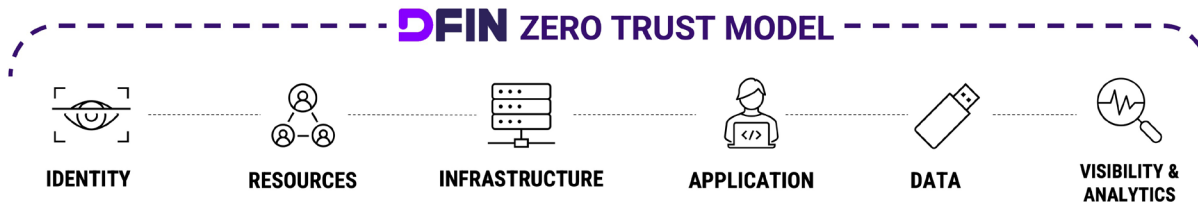
Course

All Employees & Contractors

- Q1** AI Chatbots: Understanding Their Use, Risks, and Limitations in the Workplace
- Q2** Common Threats
- Q3** Your Role: Internet Security & You
- Q4** Data Privacy



Dannie Combs, Senior Vice President & Chief Information Security Officer



In 2023, the Board of Directors (Board) participated in a cybersecurity tabletop exercise simulating real-world attack scenarios. The exercise covered many topics and key decisions including internal and external communications, compliance with notification laws, business-continuity planning, and system recovery. Conducting regular tabletop exercises further demonstrates DFIN’s commitment to cybersecurity best practices.

Our Cybersecurity Program is based on industry-leading frameworks, which include ISO 27001, Control Objectives for Information Technology (COBIT), and the National Institute of Standards and Technology Cybersecurity Framework (NIST CSF). Key cybersecurity controls include:

- **Multi Factor Authentication (MFA)** for remote access and privileged access helps minimize the likelihood of ransomware attacks. MFA validates a user’s request to access an asset on the DFIN network, by requiring the user provide two or more pieces of evidence to be authenticated.
- **Endpoint Detection and Response technology** allows DFIN to continuously monitor end-user devices, such as services and workstations, to remotely respond to cyberthreats and prevent data leakage.
- **Secured, encrypted, and tested backups.** DFIN conducts secure backups through encryption and isolation from the network and regularly tests backups and recovery plans.
- **Privileged Account Management.** We limit the number of privileged accounts and mandate that employees use strong password security practices.



Our adherence to global cybersecurity certifications and frameworks demonstrates a commitment to data privacy and responsible business conduct.



- **Email filtering and web security are an important line of defense against cyberthreats.** We filter incoming emails, block malicious sites or downloads, and test suspicious content in a secure environment.
- **Patch management and vulnerability management.** When technology environments are not patched in a timely fashion, attackers may seek to exploit their vulnerabilities. DFIN completes regular scans and annual penetration tests to simulate cyber attacks on the network. Such actions allow us to uncover vulnerabilities and address them before they can be exploited.
- **Cyber incident response planning and testing.** We maintain a cybersecurity incident response plan with a trained team that provides efficiency, speed, and quality in response to cyber incidents.
- **Cybersecurity awareness training and phishing training.** Our employees have quarterly cybersecurity training and we conduct monthly phishing campaigns to increase vigilance and reduce cyber risks.
- **Hardening techniques, including Remote Desktop Protocol mitigation.** DFIN is continuously managing the secure configurations and change control processes of its enterprise assets and software to prevent cyberattacks.
- **Logging & Monitoring/Network Protections.** Logging and monitoring network activities allow us to detect potential incidents or anomalous user behavior at an early stage.
- **End-of-life (EOL) systems replaced or protected.** EOL hardware and software is prioritized for replacement. Until EOL systems are replaced, they are hardened and limited to restricted access to prevent unauthorized use and access.
- **Vendor/Digital Supply Chain Risk Management.** We manage our cyber supply chain by monitoring risks and dependencies, and maintaining business continuity/disaster recovery plans to lessen our cyber risk exposure.
- **Responsible use of AI Technologies.** Careful consideration is given to the use of AI technologies and its use is closely governed.

Diversity, Equity, and Inclusion

Workforce

We seek a global workforce that is diverse in background, knowledge, skill, and experience. Since 2021, a portion of executive annual performance incentive pay is tied to increasing gender and racial diversity across the business, especially at the management level. Through recruiting, development, and promotion, the Company has made progress in bringing more diverse perspectives into leadership. In 2023, 37% of U.S. employees in Supervisor and above roles were women and 25% were people of color. Over the last three years, the Company has seen an increase from 43.9% to 51.1% in representation for women and people of color at the level of supervisor and above.



Employees get together during Product Engineering Meeting.

Worldwide

40%
of the global workforce are female

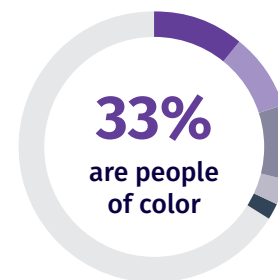
39%
of executive management are female

United States

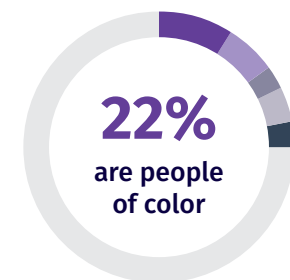
37%
of all employees are female

44%
of executive management are female

EMPLOYEE DIVERSITY



EXECUTIVE MANAGEMENT DIVERSITY



● Asian ● Black or African American ● Hispanic or Latino ● Other ● NA ● White

We use the SASB definition for Executive Management which includes Executives/Senior Level Officials and Managers who plan, direct, and formulate policies, set strategy, and provide the overall direction of DFIN. Other includes the racial/ethnic classifications of Native American or Alaska Native, Native Hawaiian or Pacific Islander, and "Two or More Races." NA represents information not available or disclosed by our employees.

Board of Directors

Our Board currently consists of 9 members who bring a unique set of skills, experience, and cultural backgrounds to promote the sustainability of the Company. Two of our nine directors are women and two identify as ethnically diverse.

44%
of the Board
is diverse

22%
of the Board
is female

22%
of the Board is
ethnically diverse

Employee Resource Groups

Our Diversity, Equity, and Inclusion (DEI) Council, which is CEO sponsored, was created in 2021 to keep DEI at the forefront of our culture. An important function that the Council fulfills is to support the development of employee resource groups (ERGs). On World Mental Health Day in 2023, the Company welcomed its second ERG: DFIN MINDS which stands for Mental Inclusivity and NeuroDiversity Support and focuses on the importance of self-care and employee mental health.

The Women’s Impact Network (WIN), DFIN’s first ERG, continues its mission to create a forum where women employees can network and share information. In 2023, WIN organized regional meetups in four U.S. cities; hosted guest speakers; and closed the year with a four-part learning series covering Health & Wellness, Career Reflections, Financial Well-being, and Setting Intentions and a Vision Board for the New Year.



Senior leaders attend Chicago event.



Chief People & Administrative Officer Kirk Williams with DFIN employees at a fall 2023 social gathering at the Chicago office.



The Product I Engineering team met in Schaumburg, Illinois.

Supplier Diversity

At DFIN, we prioritize supplier diversity as part of our sourcing strategy because we know more competitive sourcing options improve the resilience of the Company's supply chain. In 2023, we issued our [Commitment to Supplier Diversity](#), which includes the Company's vision and mission for the program.

To gain more visibility into the composition of our supplier network, in 2023 we issued assessments to 31% of our supply base. These questionnaires collected data on the supplier's diversity certifications as well as other information to ensure these firms were well-suited to meet DFIN's needs. From this process, DFIN's certified diverse spend increased to \$14.6M in 2023, compared to \$2.4M in 2022.

We also incorporated supplier diversity considerations into the Request for Proposal (RFP) process. DFIN uses suppliers that offer competitive bids in terms of price, quality, services, and financial stability. We strive to engage a wide array of suppliers including, but not limited to, small- to medium-scale suppliers from underrepresented groups. In 2024, we plan to issue supplier assessments to the remainder of the Company's domestic supply base.

Through supplier engagement, the Supplier Diversity program aims to grow our diverse supplier base, source inclusively, and increase Company purchases from businesses that are at least 51% owned, operated, and controlled by a member(s) from the following targeted enterprises:

- *Woman-Owned Business Enterprise*
- *African American/Black*
- *Asian American*
- *Hispanic/Latin American*
- *Veteran-Owned Business Enterprise*
- *LGBTQ-Owned Business Enterprise*
- *Native American*
- *Disability-Owned Business Enterprise*
- *Service-Disabled Veteran-Owned Business*
- *Small Business*
- *Minority-Owned Business Enterprise*

Learning and Leadership Development

Employee Learning

All employees have access to our e-Learning platforms that host over 216,000 courses and 800 learning pathways to build technical skills and empower individuals in developing a career they love. We offer targeted programs that strengthen key skills and accelerate the development of our leaders. In 2023, we invested more than \$600k in non-compliance related learning. 62% of employees engaged in self-directed learning and development activities, completing over 7,475 hours of self-directed learning through our on-demand e-Learning platforms.*

Leadership Development

We recognize everyone’s potential to lead, no matter their title or role. We offer learning paths and programs to support this inclusive approach to building a diverse pipeline of capable leaders. For example, in 2023, DFIN piloted a Women in Leadership interactive development workshop series focused on Strategic Leadership, Effective Delegation, Confidence & Executive Presence, and Financial Acumen. The series was for all women leaders at the Director level and above.

<p>Living Our Values Learning Path</p> <p>To bring our values to life and foster a cohesive, purpose-driven culture, we offer a learning path where each course builds learners’ knowledge of our Leadership Behaviors. As of 2023, 59% of employees completed this learning path.</p>	<p>Manager Development Program</p> <p>This program builds core management skills, including topics that enable inclusive talent practices. As of 2023, 60% of first-time and front-line managers, who are new to remote work, have completed this program.</p>	<p>Foundational Leader Program</p> <p>This course builds coaching skills to enable employees’ continuous learning and sustained performance. As of 2023, 64% of experienced, mid-level leaders have completed this program.</p>	<p>Accelerated Development Program</p> <p>These targeted offerings ensure that our exceptional talent receives development relevant to their individual needs, while also supporting succession planning and our commitment to representation in leadership. As of 2023, 35% of senior leaders completed these programs.</p>	
DFIN Leadership Behaviors	Grow Self & Others	Drive Collaboration	Deliver Results	Embrace Change
Rewards & Recognition				
Compliance Training				

* These figures exclude function specific training such as sales, EHS, product training, and other certifications.

Employee Engagement

Engaging with our employees regularly is essential to the health of the Company’s culture. We appreciate the recognition we have received year after year for our efforts to create a thriving and inclusive community.



Best Practice Institute (BPI) certified DFIN as a Most Loved Workplace® for the second year in a row. Approximately 600 DFIN employees participated in BPI’s Love of Workplace Index™, a survey which measures employee satisfaction across

14 benchmarked areas. DFIN continued to be “most loved” in the areas of Trust, Teamwork, Competence, Perseverance, and Honesty.



Newsweek ranked DFIN to its list of the Top 100 Most Loved Workplaces® in America for the second year in a row. The award recognizes companies that have created a workplace where employees feel respected,

inspired, and appreciated and are at the center of their company’s business model. DFIN ranked #63 on *Newsweek’s* 2023 list of The Top 100 Most Loved Workplaces among U.S. companies.



Built In honored DFIN for the fifth year in a row as a Best Place to Work. The award recognizes companies that offer the best compensation packages, total rewards, and culture programs among

their peers. DFIN was recognized this year as one of the best in the following categories: Chicago Best Large Places to Work, Chicago Best Places to Work, U.S. Best Places to Work, and U.S. Best Large Places to Work.



Sales Kickoff Awards Night in Orlando, Florida.



Executives and employees in DFIN's Singapore office in 2023.



2024 DFIN Product Engineering Kickoff (DPEK) in Schaumburg, Illinois.

In a 2023 survey sponsored by DFIN's DEI Council, 90% of employees agreed with the statement "In my team, we have a working environment in which different views and perspectives are valued." In 2021, 80% of employees agreed with the statement.

DFIN maintains a peer-to-peer recognition platform that allows employees to be recognized for their impact and expertise by others across the organization. With this tool, we amplify the connection between employees' impact and expertise making it visible for all to see and celebrate. In 2023, 69% of employees and 81% of managers sent others recognition and employees were tagged over 34,000 times with different skills or behaviors.

DFIN continues to celebrate Company culture with the annual Pinnacle Awards which launched in 2020. Employees from across the Company are recognized each year for their contributions in six categories: community service; data privacy & security; diversity, equity & inclusion; the environment; living the values; and safety, health, and well-being. In 2023, 46 employees were nominated for awards.



2024 DFIN Product Engineering Kickoff (DPEK) in Schaumburg, Illinois.



DFIN's Annual Sales Kickoff Meeting in Orlando, Florida.



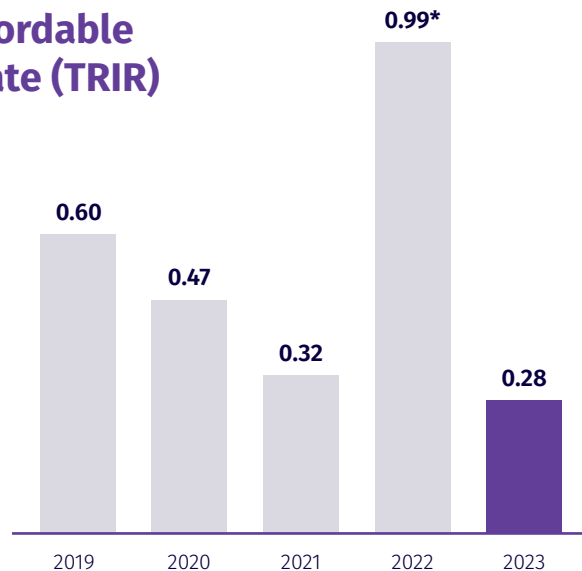
DFIN Sales team ready for a full day of training at the 2024 Sales Kickoff in Orlando, Florida.

Safety, Health, and Well-being

Health and Safety

The health and safety of our employees continues to be the highest priority at DFIN. With a global workforce that works across time zones, on-site, and remotely, we focus on their physical safety and emotional health. Our Environmental and Safety (EHS) Management System aligns with ISO 14001 and 45001. Each year the Company sets leading and lagging indicators to improve its health and safety performance and in 2023, manufacturing employees achieved a 100% completion rate for job-specific safety training. In 2023, DFIN achieved a workforce total recordable incident rate (TRIR) of 0.28 (per 200,000 hours worked).

Total Recordable Incident Rate (TRIR)



* 2022 TRIR increase resulted from employees testing positive for COVID-19 after attending onsite meetings. At the time, DFIN had safety protocols in place that included the requirement for employees to be fully vaccinated.

*DFIN Safety Week returns again in June 2024, our 6th year observing the importance of employee health and safety among our global workforce. This year, the theme selected by employees is **Win as One, the safe way.** Activities will include Ergonomic webinars, Somatics mind-body exercises with DFIN MINDS to improve mental health, and a 5-day Activity Challenge where employees work together to achieve an overall Company goal of at least 3.5 million steps.*

Win as One **DFIN**
the safe way

Well-being and Equity

DFIN strives to deliver a world-class experience to our 1,900 employees that motivates and engages them to give their best work every day while they help our clients succeed. In 2023, the Company continued its strategy to reward and incentivize employees through the “My Total Well-being” program that was established in 2021.

My Money

DFIN offers market-driven pay and comprehensive benefits programs. In our pay-for-performance culture, we encourage employees to take ownership of business outcomes and accountability for their efforts to clients and one another. When the Company does well, employees also do well. In 2023, the Company launched an Employee Stock Purchase Plan, which allowed eligible employees based in the U.S. to purchase DFIN stock at a 10% discount through payroll deductions. The plan was well received with participation by 18% of the eligible population.

My Time

DFIN operates as a fully flexible environment in which employees work remotely (with the exception of essential employees whose roles require them to be on-site) and are welcome to come into physical offices to collaborate on an as-needed basis. We foster strong relationships and opportunities for connection through in-person gatherings. In 2023, the executive team hosted events in several markets around the U.S. and in Asia to connect leaders and employees. Also, in 2023, we implemented a Flexible Paid Time Off policy in which U.S. salaried employees can take as much time as needed for vacation or personal issues not covered by other sick or disability policies.

My Health

DFIN offers comprehensive health benefits including medical insurance, prescription drug benefits, dental insurance, and vision insurance. In 2023, DFIN absorbed higher benefit costs to limit the burden on employees by: keeping health premiums the same for two years in a row, lowering the cost of prescription drugs across all medical plans, and maintaining dental and vision premiums unchanged for four years in a row. In response to the evolving needs of employees, we introduced new offerings in 2023, such as coverage for gender dysphoria and the diagnosis and treatment of infertility conditions.

My Career

DFIN provides the tools and resources employees need to take ownership of their careers and achieve their professional goals.



- Base Pay
- Bonuses
- 401(k) Contributions
- HSA Contributions



- Fully Flex Work Arrangement
- Paid Time Off
- Paid Holidays
- Paid Sick Leave
- Paid Parental Leave



- Medical, Dental, and Vision Benefits
- Programs That Focus on Emotional/Mental Health
- Employee Assistance Programs



- Career Map
- Learning and Development
- Leadership Programs
- Recognition Platform



Governance

Transparent management
and oversight of our Company

Professional Integrity

The culture of our Company is driven by a set of core values which includes **Uncompromising Integrity**.

As we transform the business and deliver for our clients, we remain steadfast in our commitment to adhering to the highest standards of integrity and transparency. In support of this commitment, DFIN maintains a number of policies to guide decision making and outline our expectations of appropriate conduct. Foremost among these is DFIN's [Principles of Ethical Business Conduct](#) (PEBC), which apply to all directors, officers, and employees worldwide and covers many areas of professional conduct, including, but not limited to, conflicts of interest, anti-corruption, disclosure obligations, and confidential information, as well as compliance with all laws, rules, and regulations applicable to our business. This foundational policy is supported by other policies on specific topics such as political activities, insider trading, information security, and anti-harassment. We regularly review our policies to assess material risk in an evolving landscape and to meet the needs of our changing business. The Board's Corporate Responsibility and Governance Committee oversees the Company's Ethics and Compliance Program and any material violations of DFIN's policies are escalated to the Board.

Ethics and Compliance Training

Audience	Course
All Employees & Contractors	Anti-Harassment & Discrimination Data Protection (including EU General Data Protection Regulation) IT Security Awareness Principles of Ethical Business Conduct Records Management
Applicable Employees	Anti-Corruption Americans with Disabilities Act Modern Slavery Act



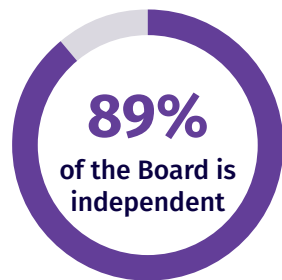
DFIN’s compliance training supports our commitment to protecting the organization’s values, policies, and adherence to laws and regulatory requirements. Employees, contractors, and new hires are required to complete a series of compliance courses tailored to their role and responsibilities. Other courses are served up in select circumstances. For example, additional IT security training for people who have failed phishing simulations or curriculum for first time managers. In 2023, the employee completion rate for these courses was 100% and required 11,399 total hours.

While DFIN’s Ethics and Compliance Program aims to cover the most critical topics through these policies, DFIN encourages employees to seek clarification before taking action or when new situations arise. Should anyone become aware of an illegal practice or violation of Company policies, we encourage employees to promptly report the information to their supervisor, manager, the Chief Compliance Officer, or a member of the Legal Department. Alternatively, concerns can be reported confidentially and anonymously using the Company’s independent Ethics Hotline. The hotline is available 24 hours per day year-round. Reports submitted to the hotline are thoroughly investigated, and if appropriate, corrective action is taken. Our Chief Compliance Officer supervises the handling of any internal and external complaint in accordance with the Company’s Whistleblower Policy. The Whistleblower Committee is comprised of the Chief Compliance Officer, Chief Financial Officer, Chief People and Administrative Officer, and the Vice President of Internal Audit. No person will be penalized for making a good-faith report of misconduct and DFIN does not tolerate retaliation against an employee who makes such a report and/or participates in an investigation.



Frank Kelley & Leah Trzcinski presenting at the 2024 General Counsel Conference Midwest in Chicago, Illinois.

Board Independence



Board Tenure



● <1 year ● 1-5 years ● >5 years

A key component of DFIN’s **Win as One** initiative is governance, which describes our disciplined approach to investment decisions to provide the best long-term financial return and constantly measure performance to deliver long-term value to investors. DFIN’s Board supports this mission by providing independent oversight and relevant expertise. DFIN has adopted a number of governance best practices including: no stockholders rights plan (poison pill), annual election of directors, no super majority voting, all independent directors except for the CEO, non-executive chairperson, clawback policy, and stock ownership guidelines for senior officers and directors. We value the independence of our active and experienced Board members while leveraging the expertise and deep commitment of our CEO, the only non-independent member of the Board. The following charts provide data regarding DFIN’s 2023 Board.

Board Responsibility and Structure

DFIN’s Board values having directors who reflect a diverse set of skills, professional and personal backgrounds, perspectives, and experiences. We believe that regular continuing education programs enhance the skills and knowledge directors use to perform their responsibilities and we encourage our directors to take advantage of these opportunities. The Company provides financial and administrative support to directors to attend qualifying academic or other independent programs.

DFIN has identified specific business characteristics that it believes should be represented on its Board. It is the policy of the Corporate Responsibility & Governance Committee to consider candidates for director recommended by stockholders. DFIN amended its by-laws to provide additional procedural clarity to stockholder nominators and to implement the SEC’s universal proxy rules. More details on the director nomination process can be found in our Proxy Statement. The following matrix sets out a summary of the director nominees’ primary qualifications, relevant skills, or experience. The biography for each director is available on DFIN’s Investor Relations website and notes the specific attributes for each director.

	Accounting & Corporate Finance	Marketing or Brand Management	Transformation Experience	Strategy and Management	Software Technology Expertise	Corporate Governance	Risk Management (including Cybersecurity Expertise)	Industry Knowledge
Richard L. Crandall			✓	✓	✓		✓	
Daniel N. Leib	✓		✓	✓				✓
Luis A. Aguilar				✓		✓	✓	✓
Charles D. Drucker	✓	✓	✓	✓				
Juliet S. Ellis	✓			✓		✓		✓
Gary G. Greenfield	✓			✓	✓	✓		
Jeffrey Jacobowitz	✓			✓				
Lois M. Martin	✓			✓	✓		✓	
Chandar Pattabhiram		✓	✓	✓	✓			

The lack of a mark for a particular item does not mean that the director does not possess that qualification, characteristic, skill, or experience.

The Board has three independent standing committees each of which play a role in certain ESG topics among their other areas of responsibility. The Audit Committee has oversight of the Company’s risk management policies and practices, and reviews plans in the event of the failure of information technology systems. The Compensation Committee reviews and provides guidance regarding the Company’s human capital management. The Corporate Responsibility & Governance Committee reviews the Company’s corporate governance framework and evaluates the Company’s policies, practices, and initiatives with respect to key ESG issues such as climate and workforce diversity, equity, and inclusion. Written charters describe the responsibilities of each committee and can be found [here](#) along with DFIN’s [Principles of Corporate Governance](#).

Board Structure and Responsibilities



Annex



SASB Table

Professional & Commercial Services Standard

SASB Metric	SASB Code	DFIN Disclosure
Data Security		
Description of approach to identifying and addressing data security risks.	SV-PS-230a.1	<p>DFIN incorporates various technologies into our applications to streamline data-gathering and reporting processes, protect and secure data, enhance user experience, and efficiently improve performance, and employs stringent data security and privacy practices to provide that information is encrypted. The Company also engages third parties to perform annual SOC2 Type II compliance audits and penetration/vulnerability testing.</p> <p>The DFIN Cybersecurity Program is based upon industry-leading frameworks, which include ISO 27001, Control Objectives for Information Technology (COBIT), and the National Institute of Standards and Technology Framework for Improving Critical Infrastructure Cybersecurity (NIST). The Company’s technologies and software must also comply with domestic and international regulatory and legal requirements.</p> <p>The Company leverages cybersecurity technologies designed to provide for the security of client, employee, and business confidential data. The Company’s cybersecurity portfolio is inclusive of, but not limited to, data encryption, data masking, leading secure software development methodologies, application and network penetration testing, incident response, digital forensics, least-privileged access controls, antimalware, end-point detection and response, virtual private networks, and cyber threat intelligence. Additionally, the Company manages a 24x7 Security Operations capability that monitors and responds to cyber threats in real time.</p> <p>To demonstrate transparency, in pursuit of continuous improvement, the Company undergoes a series of third-party security reviews, including third-party penetration tests.</p>
Description of policies and practices relating to collection usage, and retention of customer information.	SV-PS-230a.2	<p>DFIN respects customer privacy. Our Privacy Notice describes how the Company collects, shares, uses, and protects personal information in accordance with the requirements of privacy laws in the jurisdictions that we operate in, including but not limited to, the EU and UK General Data Protection Regulation (GDPR) and California Consumer Privacy Act (CCPA) as amended by the California Privacy Rights Act (CPRA).</p> <p>For more information, see DFIN’s Privacy Notice.</p>

Professional & Commercial Services Standard (cont.)

SASB Metric	SASB Code	DFIN Disclosure					
Workforce Diversity & Engagement							
Percentage of gender and racial ethnic group representation for (1) executive management and (2) all other employees	SV-PS-330a.1	Gender Representation of Global Employees (%)					
		Executive Management	39% Female	61% Male	0% NA		
		All Other Employees (non-contingent)	40% Female	60% Male	0% NA		
		Gender Representation of U.S. Employees (%)					
		Executive Management	44% Female	56% Male	0% NA		
		All Other Employees (non-contingent)	37% Female	62% Male	1% NA		
		Racial/Ethnic Representation of U.S. Employees (%)					
		<u>Executive Management</u>					
		9% Asian	6% Black or African American	3% Hispanic or Latinx	75% White	4% Other	3% NA
		<u>All Other Employees (non-contingent)</u>					
		11% Asian	9% Black or African American	9% Hispanic or Latinx	66% White	3% Other	2% NA
		Other includes the racial/ethnic classifications of Native American or Alaska Native, Native Hawaiian or Pacific Islander, and Two or More Races. NA represents information not available or disclosed by our employees.					
Voluntary turnover rate for employees.	SV-PS-330a.2	Global Workforce	6.3%				
		U.S. Workforce	5.4%				
Involuntary turnover rate for employees.	SV-PS-330a.2	Global Workforce	13.0%				
		U.S. Workforce	12.0%				
Employee engagement as a percentage.	SV-PS-330a.3	Newsweek's 2023 Most Loved Workplace Love of Workplace Index™ Company Report 2023: Average of Love Score 89.3% and Average of Spark Score 85.6%					
		2023 DEI Global Survey: 12.3%					
Professional Integrity							
Description of approach to ensuring professional integrity.	SV-PS-510a.1	See pages 24–25.					
Total amount of monetary losses as a result of legal proceedings associated with professional integrity.	SV-PS-510a.2	\$0					

Professional & Commercial Services Standard (cont.)

SASB Metric	SASB Code	DFIN Disclosure
Activity Metrics		
Number of employees by: (1) full-time and part-time, (2) temporary and, (3) contract	SV-PS-000.A	1) 1,881 (full-time); 4 (part-time); 6 (seasonal-project) 2) DFIN does not employ a large percentage of temporary employees. 3) DFIN does not employ a large percentage of contract employees.
Employee hours worked, percentage billable	SV-PS-000.B	4.3 million employee hours worked in calendar year 2023

Software & IT Services Standard

SASB Metric	SASB Code	DFIN Disclosure
Environmental Footprint of Hardware Infrastructure		
Total energy consumed, percentage grid electricity, percentage renewable.	TC-SI-130a.1	In 2023, DFIN purchased wind renewable energy credits (RECs) to match 100% of the electricity used by its manufacturing operations.
(1) Total water withdrawn, (2) total water consumed, percentage of each in regions with High or Extremely High Baseline Water Stress	TC-SI-130a.2	We have no operations in regions designated as High or Extremely High Baseline Water Stress. DFIN's only manufacturing facility is in a low water stress area. Water use at the facility In 2023, was 3.51 million gallons compared to 4.07 million gallons in 2022, representing a 14 percent decrease in consumption. Due to the nature of our business with a mostly remote workforce, we do not monitor office water consumption.
Discussion of the integration of environmental considerations into strategic planning for data center needs.	TC-SI-130a.3	We own one 2,256 sq. ft. data center where renewable wind energy is used to match 100% of the facility's electricity. The onsite data center contains 25 racks and has 0.5 petabytes of data storage. Incoming power and stability are monitored as part of an uninterrupted power supply (UPS) system. Temperature and humidity are measured and controlled by a main HVAC system for cooling and heating.

Software & IT Services Standard (cont.)

SASB Metric	SASB Code	DFIN Disclosure
Data Privacy & Freedom of Expression		
Description of policies and practices relating to behavioral advertising and user privacy.	TC-SI-230a.1	See SV-PS-230a.2 for a description
Data Security		
Description of approach to identifying and addressing data security risks, including use of third-party cybersecurity standards.	TC-SI-230a.2	See SV-PS-230a.1 for a description
Recruiting & Managing a Global, Diverse & Skilled Workforce		
Employee engagement as a percentage	TC-SI-230a.2	See SV-PS-230a.1 for a description
Percentage of gender and racial/ethnic group representation for (1) management, (2) technical staff and (3) all other employees.	TC-SI-330a.3	See SV-PS-330a.1 for workforce data
Intellectual Property Protection & Competitive Behavior		
Total amount of monetary losses as a result of legal proceedings associated with anticompetitive behavior regulations.	TC-SI-520a.1	\$0
Managing Systemic Risks from Technology Disruptions		
Description of business continuity risks related to disruptions of operations.	TC-SI-550a.2	Maintaining the confidentiality, integrity, and availability of DFIN's systems, software, and solutions is an issue of critical importance for the Company and its clients and users. A number of core processes, such as software development, sales and marketing, client services, and financial transactions, rely on DFIN's IT infrastructure and applications. Defects or malfunctions in the Company's IT infrastructure and applications can cause DFIN's services and product offerings not to perform as clients expect. In addition, malicious software, sabotage, ransomware, and other cybersecurity breaches could cause an outage in DFIN's infrastructure. In consideration of these risks, the Company has business continuity and disaster recovery plans in place in the event of system failures and these plans are tested regularly. DFIN's Business Continuity Management Program adheres to ISO 22301, ISO 22313, and ISO 22317, as well as guidelines from the Federal Financial Institutions Examination Council.

2023 Employer Information Report U.S. EEO-1 Consolidated Report

Not Hispanic/Latino

Job Categories	Hispanic/Latino		Male						Female					TOTALS	
	Male	Female	White	Black/African American	Asian	Native Hawaiian/Pacific Islander	American Indian/Alaskan Native	Two + Races	White	Black/African American	Asian	Native Hawaiian/Pacific Islander	American Indian/Alaskan Native		Two + Races
Executive/Sr-Level Officials/Managers	1	1	33	0	1	0	1	2	19	4	5	0	0	1	68
First/Mid-Level Officials & Managers	11	8	127	9	16	0	0	2	61	7	13	1	0	1	256
Professionals	14	15	215	38	56	1	1	12	93	32	26	0	2	7	512
Technicians	2	0	10	1	4	0	0	0	0	1	0	0	0	0	18
Sales Workers	3	7	87	3	7	0	0	2	36	3	4	0	0	2	154
Administrative Support Workers	39	22	186	16	20	0	2	5	134	26	11	0	2	7	470
Craft Workers	3	0	18	1	2	0	0	0	1	0	0	0	0	1	26
Operatives	3	4	25	2	0	0	0	1	11	2	1	0	0	0	49
Laborers & Helpers	1	2	0	1	0	0	0	0	3	0	2	0	0	0	9
Service Workers	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total	77	59	701	71	106	1	4	24	358	75	62	1	4	19	1,562



CORPORATE HEADQUARTERS

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