



DFIN



ESG Factsheet



2023

Table of Contents

Message from the CEO	3
About Us	4
2022 ESG Highlights	6
Environmental	7
Climate	8
Conserve Natural Resources	9
Legal Obligations	9
Social	10
Data Privacy and Cybersecurity	11
Diversity, Equity, and Inclusion	12
Learning and Leadership Development	16
Employee Engagement	17
Safety, Health, and Well-Being	18
Governance	20
Professional Integrity	21
Board Responsibility and Structure	22
Annex	23
SASB Table	24
EEO-1 Table	28

About This Report

This is the 2nd year for DFIN's ESG Factsheet. This report takes a materiality-based approach to disclose our progress from January 1, 2022, to December 31, 2022, unless otherwise stated. This report was 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.

Assorted photos featured in this report are credited to Rodney Wright (www.imphoto.net)

Message from the CEO



“

I am excited that this report reflects our commitment, the manner in which we achieve it, and the positive results generated thus far.”

I am pleased to present DFIN’s second global ESG Factsheet. It is the continuation of a promise we made last year to regularly communicate our ESG actions and performance as we work to maintain and enhance our sustainability efforts.

We exist to serve the interests of our three main constituents: investors, clients and employees as we pursue our aspiration to be the market-leading provider of regulatory and compliance solutions. In executing our strategy, we are investing to drive a more favorable sales mix, while managing our business in a disciplined manner. We cannot achieve our goals without treating people fairly with concern for their well-being; and by adhering to rigorous governance standards while running our business with transparency. Our ESG program is aligned with our strategy; oriented around the environment, the well-being of people, and sound governance. I am excited that this report reflects our commitment, the manner in which we achieve it, and the positive results generated thus far. I am proud of our accomplishments and even more excited about where we are headed.

We appreciate your confidence and support.

Sincerely,

Dan Leib

President and Chief Executive Officer

About Us

[Donnelley Financial Solutions, Inc.](#) (NYSE: DFIN) is a leading 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 end-to-end risk and compliance solutions, visit us online at DFINSolutions.com, or you can also 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

2,150

Employees Operating in 12 Countries

\$834M

Net Sales



200+

Fortune 500 Clients



AA

MSCI ESG Rating

As of December 31, 2022.

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

Capital Markets

- **Software Solutions:** 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.
- **Compliance & Communications Management:** 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.

Investment Companies

- **Software Solutions:** 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®.
- **Compliance & Communications Management:** 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.

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.

2022 ESG Highlights

Our ESG strategy is aligned with the transformation of our business and includes three key pillars. Highlighted below are results from our ESG initiatives.



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
- **25%** reduction in physical footprint worldwide (0.2 million sq. ft. less compared to prior year)



Social

The well-being, safety, and equity of people

- Implemented **Zero Trust Strategy** to guide technology investments, architectures, and system operation models
- **51%** representation of women and people of color in managerial positions (supervisors and above) within our U.S. employee base
- **#59** ranked in Newsweek Magazine's list of 100 Most Loved Workplaces for 2022
- Certified as a **Most Loved Workplace** by the Best Practice Institute 2 years in a row
- Established **Women's Impact Network (WIN)** employee resource group



Governance

Transparent management and oversight of our company

- Assigned ESG oversight to **Corporate Responsibility and Governance Committee** of the Board
- **Zero** monetary losses as a result of legal proceedings associated with professional integrity
- **99%** employee completion rate for compliance training, which includes certifying the Company's Principles of Ethical Business Conduct

DFIN

Environmental: Protect our Planet

Climate

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 do not anticipate any material direct impacts from climate-related regulations, physical effects of climate change or material expenditures for climate-related projects. We are, however, prepared for the unexpected. We operate under a Business Continuity Management (BCM) program with resilient strategies that are tested regularly to mitigate unexpected disruptions that may impact critical operations. Our BCM program focuses on the loss and recovery of people, property and technology, and aligns with ISO 22301, ISO 22313, and ISO 22317 as well as guidelines from the Federal Financial Institutions Examination Council. Although DFIN's climate risk is low, we believe it is important to do our part because changing climate affects the environment and the communities where we live. 2023 marked the 6th year DFIN has purchased wind renewable energy credits (RECs) to match 100% of the electricity used in manufacturing operations. We also disclose the Company's Scope 1 and Scope 2 emissions from manufacturing through the annual Carbon Disclosure Project (CDP) Climate Change Questionnaire.

Our physical footprint continues to decline globally since adopting a fully flex work environment in 2021. Over 80% of our employees now work remotely. By the end of 2022, DFIN had 28 locations in Asia, Canada, Europe, and the United States compared to 50 at the end of 2020. Based on square footage, only 60% of the Company's space was available to employees at the end of 2022. Our workspaces are used primarily for team collaboration, client meetings, and employee events. These changes to our business have resulted in a reduced carbon footprint where less building energy is consumed and fewer emissions result from commuter travel.



Conserve Natural Resources

The world’s natural resources are limited. As a software solutions and tech-enabled services company, DFIN has a role to play in conserving resources to help leave our planet healthy for future generations.

Reuse/Recycle: We follow the global Sustainability Electronics Reuse & Recycling (R2) Standard for the responsible management and processing of used electronics. The e-waste standard was created specifically for the electronics recycling industry and is a company requirement for all IT hardware/electronic equipment disposal suppliers who manage our obsolete electronics.

Forests: As our business mix continues to shift away from print services, our paper use on behalf of clients also declines. For those paper requirements that remain, we offer clients the ability to select recycled paper and paper sourced from well-managed forests that provide ESG benefits. Our commitment is further demonstrated 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 trees that are harvested from forest products grown in ecologically and ethically sound ways that benefit local communities and biodiversity.

Renewable Energy: At the end of 2022, our manufacturing footprint stands at one-quarter the square footage that was in operation at the time the Company went public. For the remaining footprint, we continue to purchase wind RECs for our manufacturing operations. Using renewable energy reduces DFIN’s electricity-based carbon footprint and our reliance on natural gas.

Cloud and Managed Service Providers: As a software-centric company, DFIN outsources the majority of its data center needs using several, 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.



The mark of responsible forestry



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



DFIN

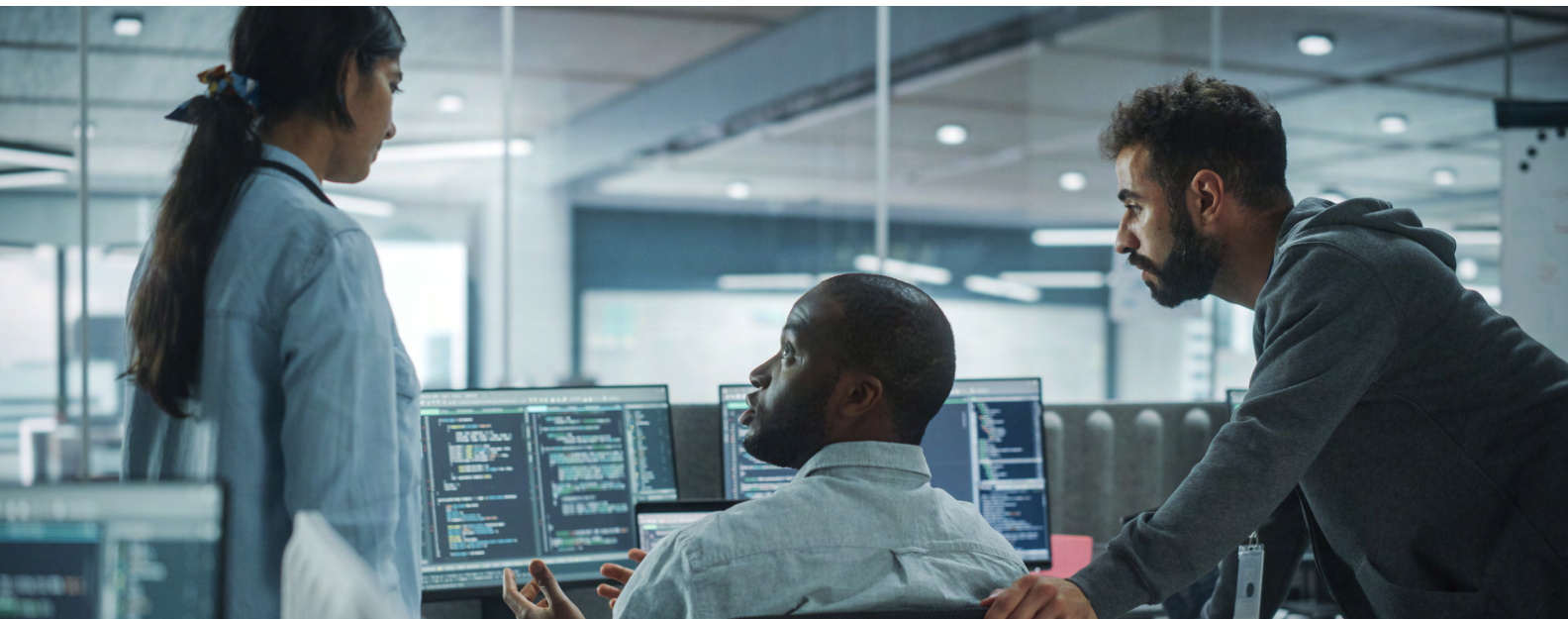
Social:
The well-being, safety,
and equity of people

Data Privacy and Cybersecurity

Security matters. Over 10,000 businesses trust DFIN to safeguard their data. 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 to store and exchange large volumes of information, much of which is confidential.

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 IT resource, 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. These measures are designed to prevent hackers from deleting backups prior to launching a potential ransomware attack.
- ✓ **Privileged Account Management.** We limit the number of privileged accounts and compel employees to use strong password security practices.
- ✓ **Email filtering and web security** are the first lines 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 remediate 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 reduce cyber risks and remain vigilant.
- ✓ **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.

To further enhance transparency, we launched the Trust Center in 2022 to give clients access to the latest data privacy and security information regarding our products and services.



Diversity, Equity, and Inclusion

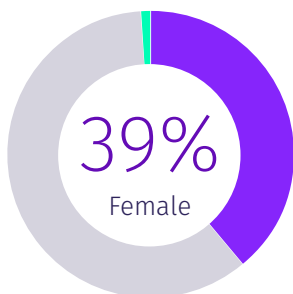
We value **Collective Genius** as a way to develop the best solutions for our clients, deliver value to our shareholders, and engage our employees. We believe there is power in understanding diverse perspectives and fostering an environment in which all voices are represented and heard.

Workforce Representation

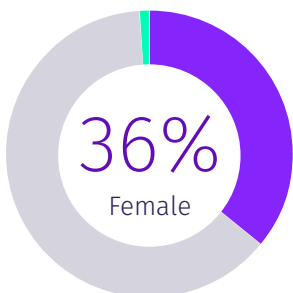
Our commitment to diversity, equity, and inclusion (DEI) starts with our goal of developing a workforce that is diverse in background, knowledge, skill, and experience. Being transparent with workforce representation helps us implement impactful initiatives and drive change. For example, a portion of executive, annual performance incentive pay is tied to increasing gender and racial diversity across the business, especially at the management level. In 2022, executive annual incentive pay was linked to DFIN achieving 51% representation of women and people of color in managerial positions (supervisors and above) within its U.S. employee base, and represents a percent change of 16% over the last two years.

Worldwide

All Employees



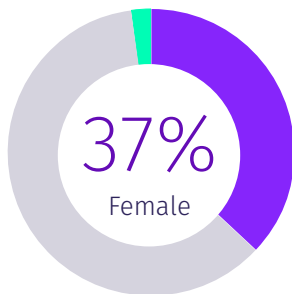
Executive Management



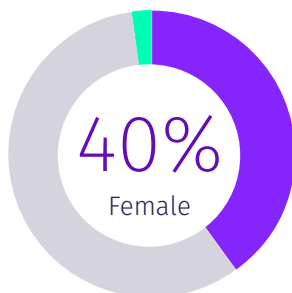
- Female
- Male
- NA

United States

All Employees

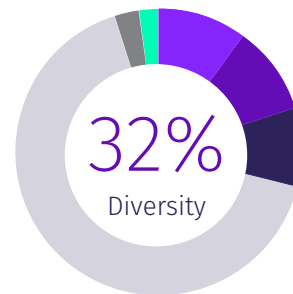


Executive Management

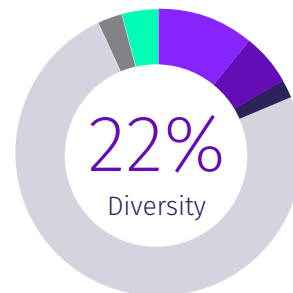


- Female
- Male
- NA

All Employees



Executive Management



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

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.



Cultivating a Diverse Workplace

DFIN’s commitment to cultivating a diverse and inclusive work environment unfolds on many fronts. First, there is education and training. Employees complete Anti-Harassment and Discrimination training annually which helps raise the awareness of unconscious bias. In 2022, 2,150 employees completed 2,372 total hours for this course. Second, there is an active DEI Council whose mission is to keep DEI at the forefront of our culture. The Council is a champion for mental well-being and promoted World Mental Health Day on October 10, 2022, and Mental Health Awareness Month in May 2023. Third, employee resource groups are being formed at the grassroots level. In 2022, DFIN welcomed the Company’s first employee resource group — the Women’s Impact Network (WIN). WIN sponsors quarterly programs featuring both internal and external speakers and maintains an online forum for women employees to network and share information. Finally, the Company has evolved its benefits offerings to address the varying needs of our employees. For example, we expanded sick and disability policies so that moms, dads, and adoptive parents have six weeks of leave time and birth mothers have 12 weeks. For the upcoming year, we are expanding our already inclusive medical plan to include treatment for infertility among other medical services.

12 weeks paid leave for birth mothers and **6 weeks paid** leave for moms, dads, and adoptive parents in the U.S.



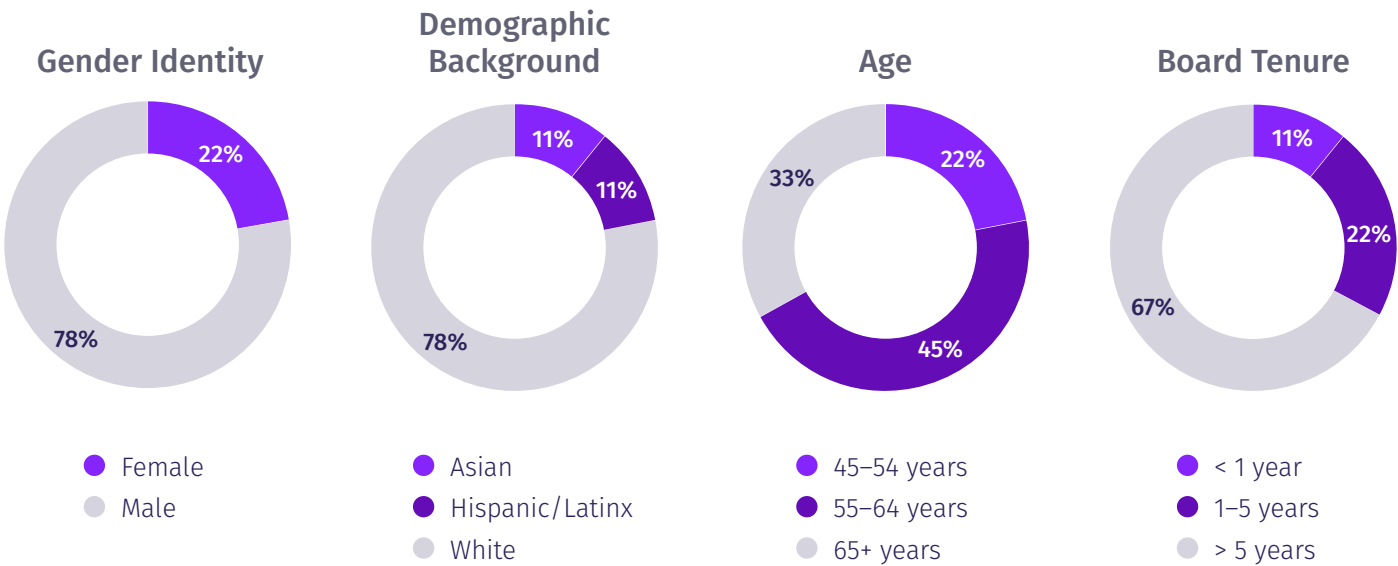
Regional Women’s Impact Network (WIN) MeetUp in New York City.

Board Diversity

Cultivating a diverse and inclusive culture at DFIN is as important for our workforce as it is for the Board of Directors (Board). 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. Four of nine directors (44%) are diverse in gender and/or ethnicity. The Board values the contributions of both newer perspectives as well as directors who have developed, over a period of time, an increased understanding of, and insight into, the governance and business of the Company and the issues confronting it. As a result, the Board does not have term limits or age limits for directors.

44%

Four of nine directors are diverse in gender and/or ethnicity.



Fireside Chat with DFIN's Board directors and former General Counsel in Chicago.

Learning and Leadership Development

DFIN believes employee growth, career mobility and performance are enhanced through continuous learning. To invest in our employees’ skills and professional development, we leverage the 70/20/10 Development Model that blends three learning approaches: (1) learning on-the-job (70%), (2) executive exposure, observing, coaching, and mentoring (20%), and (3) online and traditional learning methods (10%). Employees are offered:

✓ **On-Demand eLearning** Employees have access to on-demand eLearning platforms that cater to their diverse learning preferences and support their individual career goals. In 2022, approximately 66% of employees engaged in self-directed learning and development activities through the Company’s on-demand eLearning platform.

DFIN also continues to focus on leadership development and has launched leadership development programs aligned to the Company’s values, leadership behaviors, and skills for effective leadership.

✓ **Manager and Leadership Development** Our manager development program builds essential management skills needed to navigate the transition from individual contributor to manager as well as build skills to effectively manage in a hybrid work environment. Our leadership development program is a critical waypoint in a leader’s development journey with DFIN. This program is grounded in our Leadership Behaviors and builds coaching skills to enable employees’ continuous learning and sustained performance.

✓ **Accelerated Development Programs** We prioritize accelerating the development of exceptional talent to build a pipeline of diverse capable leaders, nurturing their potential and advancing their careers. By offering access to targeted programs and platforms that accelerate skill development and foster connections and exposure, we are driving innovation, sustainability, and excellence, ensuring a bright future for both our employees and our organization.

Our Leadership Behaviors are deeply rooted in our Core Values. The alignment between values and actionable leadership behaviors fosters a cohesive and purpose-driven culture that propels us toward our shared vision.

- **Grow Self & Others**
- **Drive Collaboration**
- **Deliver Results**
- **Embrace Change**

2022	Program	Number of Employees	Total Hours Completed
On-Demand eLearning	LinkedIn Learning	1,500	4,047
	Manager Development	35	231
Leadership Development	Leadership Development	61	810
	Accelerated Development	8	232

Employee Engagement

Employees love working at DFIN. We know because our employees have told us so. The Best Practice Institute certified DFIN as a “Most Loved Workplace” for two years in a row, based in part on employee response. Employees shared hundreds of open-ended comments about what they appreciated most: strong bonds with coworkers, flexible work schedules, and strong leadership. In 2023, the Company was again named to Newsweek’s list of the Top 100 Most Loved Workplaces® in America for putting respect, care, and appreciation at the center of its business model. In 2022 we also earned certifications from Great Place to Work® based on a survey measuring employees’ level of trust at work. For the fourth year in a row, the Company was chosen as one of the Best Places to Work by Built In, for going above and beyond in terms of compensation, benefits, and cultural programs, nationally and in the largest tech markets. Built In is the online community for startups and tech companies.

Most Loved Workplace



DFIN ranked #63 on Newsweek’s 2023 list of The Top 100 Most Loved Workplaces among U.S. companies. According to scores, DFIN is “most loved” in the following areas:

- 4.6/5 Trust
- 4.4/5 Honesty
- 4.5/5 Team Work
- 4.3/5 Contribution
- 4.5/5 Competence
- 4.3/5 Perseverance



Built In



The online community for startups and tech companies recognizes companies, nationally and in the eight largest tech markets, who go above and beyond in terms of compensation, benefits, and cultural programs. DFIN was recognized as one of the best in the following categories:

- 100** Chicago Best Places to Work
- 50** Chicago Companies with the Best Benefits
- 100** Best Large Companies to Work (National)
- 50** Chicago Best Paying Companies

Great Place to Work™



Great Place to Work is the only recognition based entirely on what employees report about their workplace experience. It specifically measures employees' level of trust at work.

- 98%** People believe DFIN is a physically safe place to work.
- 86%** People here are given a lot of responsibility.
- 93%** People here are treated fairly regardless of their sexual orientation.
- 83%** Management trusts people to do a good job without watching over their shoulders.
- 90%** People here are treated fairly regardless of their race.

ESG Pinnacle Awards

In 2022 we expanded our Safety Pinnacle Awards to include employee contributions in Community Service, Data Privacy & Security, Diversity, Equity & Inclusion, and the Environment. In addition to Safety, Health, and Well-being, these categories underpin the Company's ESG practices. Forty-six (46) employees were recognized globally across the Company.

Safety, Health, and Well-Being

We continue to deliver enhanced benefits to our employees with the "My Total Well-being" program which launched in 2021. **My Time:** In January 2023, DFIN moved to a new Flexible Paid Time Off policy. The policy gives exempt and salaried non-exempt U.S. employees the ability to take unlimited time off as needed for vacation, relaxation, personal, religious, family needs, bereavement, and non-extended illnesses. Twelve weeks of paid maternity leave is also now available.

My Money: In 2022, the Company began a 401(k) match of 50 cents for every dollar an employee contributes up to 6% of eligible compensation (along with the potential of a future discretionary match). In May 2023, DFIN began offering an Employee Stock Purchase Program that allows U.S. employees to purchase DFIN stock at a 10% discount through payroll deductions. We also cultivate a "pay for performance" culture in which when we do well, we share those rewards with our employees. In addition, we have absorbed benefit cost increases to U.S. employees by either holding medical, dental, and vision premiums constant or lowering them in some cases.

The health and safety of our employees continues to be the highest priority at DFIN. With a global workforce that works across time zones, onsite, and remotely, we focus on their physical safety and emotional health. Our Environmental, Health, and Safety (EHS) Management System aligns with ISO 14001 and 45001.



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



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



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

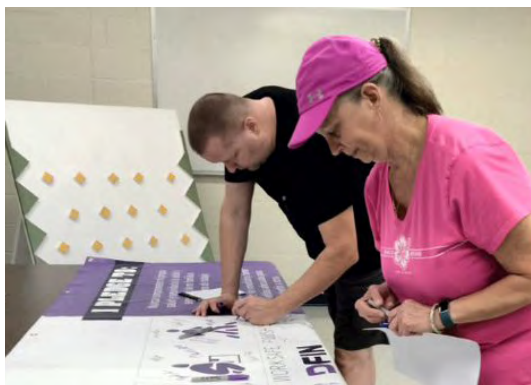


- Base Pay
- Bonuses
- 401(k) Contributions
- HSA Contributions

The Company sets annual leading and lagging indicators to improve its sustainability performance. In both 2022 and 2023, manufacturing employees achieved a 100% completion rate for job-specific safety training. In 2022, DFIN achieved a workforce total recordable incident rate (TRIR) of 0.99 (per 200,000 hours worked). Compared to prior years, the 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. We continue to monitor for COVID-19 in the communities where we operate, promote awareness of personal health precautions, and provide flexibility so that employees do not need to work when they are feeling unwell.



DFIN Safety Week June 2023 marks the 5th year DFIN has observed the importance of employee health and safety among its global workforce. This year, the theme selected by employees was *Start Safe, Work Safe, Finish Safe*. Activities included blood pressure screenings, a 5-day Activity Challenge where 134 employees collectively moved 8,528,674 total steps (3,928 miles/6,322 kilometers) and 55 employees participated in science-based PeopleFuel® sessions to learn how to manage their personal energy in order to sustain high performance.



DFIN

**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. To do so, DFIN maintains a set of Principles of Ethical Business Conduct (PEBC), which apply to all directors, officers, and employees worldwide. In accordance with the NYSE listing requirements and SEC rules, we also maintain a Code of Ethics that applies to the CEO and senior financial officers. The PEBC and the Code of Ethics serve as the foundation upon which we conduct business and covers all areas of professional conduct, including, but not limited to, conflicts of interest, anti-corruption, disclosure obligations, insider trading and confidential information, as well as compliance with all laws, rules, and regulations applicable to our business.

To reduce the risk of unethical business practices, the Board’s Corporate Responsibility and Governance Committee monitors compliance with the Company’s Ethics and Compliance Program. Employees, contractors, and new hires are required to complete a series of compliance courses annually. In 2022 and 2023, the employee completion rate was 99% and 100%, respectively.

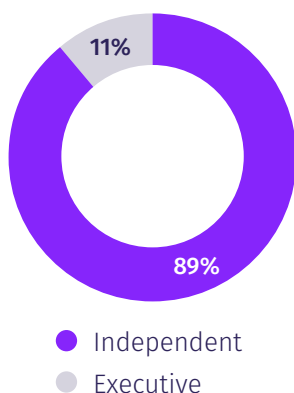
Audience	Course
Ethics and Compliance Training	
All Employees & Contractors	Anti-Harassment & Discrimination
	Data Protection (including EU General Data Protection Regulation)
	IT Security Awareness
	Principles of Ethical Business Conduct Records Management
Managers and Employees in Finance, HR, Sales, and Legal	Anti-Corruption
UK Employees	Modern Slavery Act

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. Our Chief Compliance Officer supervises the handling of any internal and external complaint in accordance with the Company’s Whistleblower Policy and an internal Whistleblower Committee. The Whistleblower Committee is comprised of the Chief Compliance Officer, Chief Financial Officer, Chief People and Administrative Officer, and the Head 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.

Board Responsibility and Structure

Our Board of Directors has an independent majority, a best practice that allows members to objectively govern the affairs of the Company without a conflict of interest. DFIN has also split the roles of CEO and chair and has named a non-executive fully independent chairperson.

Board Independence



In July 2022, we increased the size of our Board to nine members with the addition of Chandar Pattabhiram, Chief Marketing Officer for Coupa Software, Inc. (NASDAQ: COUP). He is a highly regarded, well-rounded software executive with more than 20 years of B2B enterprise marketing leadership in high growth SAAS product offerings.

The Board has three independent standing committees, and the Corporate Responsibility & Governance Committee is responsible for ESG oversight. Board directors who serve on each committee and written charters can be found [here](#). Additionally, DFIN's [Principles of Corporate Governance](#) outline the Board's role and responsibilities.

Audit Committee

Among other responsibilities, the Audit Committee assists the Board in its oversight of (1) the integrity of the Company's financial statements and the Company's accounting and financial reporting processes and financial statement audits; (2) the qualifications and independence of the Company's independent registered public accounting firm; (3) the performance of the Company's internal auditing department and the independent registered public accounting firm; and (4) the Company's risk assessment and risk management policies and practices.

Corporate Responsibility & Governance Committee

In addition to other duties, the CRG Committee (1) makes recommendations to the Board regarding nominees for election to the Board, taking into account the overall diversity of the Board, and recommends policies and practices relating to the governance of the Company and the Board; (2) reviews and makes recommendations to the Board with respect to the Company's corporate governance framework; (3) conducts the annual review of the performance of the Board, its committees and its members; and (4) reviews and evaluates the Company's policies, practices and initiatives with respect to key ESG issues, and monitoring its progress towards its corporate responsibility goals and objectives.

Compensation Committee

Along with other functions, the Compensation Committee (1) establishes the Company's overall compensation strategy; (2) establishes the compensation of the Company's directors, Chief Executive Officer, other senior officers, and key management employees; (3) adopts amendments to, and approves terminations of, the Company's employee benefit plans; (4) reviews the Company's succession planning practices for the Chief Executive Officer and for other key senior management positions; (5) reviews and evaluates the Company's human capital management; and (6) reviews and approves compensation related disclosures for inclusion in the Company's annual proxy statement in accordance with the rules and regulations of the SEC.

Annex

This annex expands transparency through key quantitative data compiled in accordance with the SASB frameworks and standards, along with additional details on our workforce. Report data covers all global operations unless otherwise noted. In developing our Factsheet report, we have compiled metrics organized by key ESG themes incorporated within our tables and throughout our organization.

Readers are cautioned that our actual future results may vary significantly from what we expected and are subject to certain risks. These risks, uncertainties, and other factors include, but are not limited to, those set forth under Part I, Item 1A — *Risk Factors* in our Annual Report filed on Form 10-K for the year ended December 31, 2022, which is available on our website or at SEC.gov. All written and oral forward-looking statements attributable to DFIN or to persons acting on our behalf are expressly qualified in their entirety by these cautionary statements. In addition, this report uses terminology, such as materiality, which may not be comparable to DFIN's use of such terms in its financial statements or in other contexts.

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 DFIN collects, shares, uses, and protects personal information.</p> <p>Our policy and practices align with the U.S. Office of Management and Budget (OMB) Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002 (M-03-22), including use of Privacy Impact Assessments (PIAs).</p> <p>For more information, see DFIN’s Privacy Notice.</p>

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	<p>Gender Representation of Global Employees (%)</p> <table border="1"> <thead> <tr> <th></th> <th>Female</th> <th>Male</th> <th>NA</th> </tr> </thead> <tbody> <tr> <td>Executive Management</td> <td>36%</td> <td>63%</td> <td>1%</td> </tr> <tr> <td>All Other Employees (non-contingent)</td> <td>39%</td> <td>60%</td> <td>1%</td> </tr> </tbody> </table> <p>Gender Representation of U.S. Employees (%)</p> <table border="1"> <thead> <tr> <th></th> <th>Female</th> <th>Male</th> <th>NA</th> </tr> </thead> <tbody> <tr> <td>Executive Management</td> <td>40%</td> <td>58%</td> <td>2%</td> </tr> <tr> <td>All Other Employees (non-contingent)</td> <td>37%</td> <td>62%</td> <td>2%</td> </tr> </tbody> </table> <p>Racial/Ethnic Representation of U.S. Employees (%)</p> <table border="1"> <thead> <tr> <th></th> <th>Asian</th> <th>Black or African American</th> <th>Hispanic or Latinx</th> <th>White</th> <th>Other</th> <th>NA</th> </tr> </thead> <tbody> <tr> <td>Executive Management</td> <td>11%</td> <td>6%</td> <td>2%</td> <td>75%</td> <td>3%</td> <td>3%</td> </tr> <tr> <td>All Other Employees (non-contingent)</td> <td>10%</td> <td>10%</td> <td>9%</td> <td>65%</td> <td>3%</td> <td>2%</td> </tr> </tbody> </table> <p>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.</p>		Female	Male	NA	Executive Management	36%	63%	1%	All Other Employees (non-contingent)	39%	60%	1%		Female	Male	NA	Executive Management	40%	58%	2%	All Other Employees (non-contingent)	37%	62%	2%		Asian	Black or African American	Hispanic or Latinx	White	Other	NA	Executive Management	11%	6%	2%	75%	3%	3%	All Other Employees (non-contingent)	10%	10%	9%	65%	3%	2%
			Female	Male	NA																																										
		Executive Management	36%	63%	1%																																										
		All Other Employees (non-contingent)	39%	60%	1%																																										
			Female	Male	NA																																										
		Executive Management	40%	58%	2%																																										
		All Other Employees (non-contingent)	37%	62%	2%																																										
			Asian	Black or African American	Hispanic or Latinx	White	Other	NA																																							
		Executive Management	11%	6%	2%	75%	3%	3%																																							
		All Other Employees (non-contingent)	10%	10%	9%	65%	3%	2%																																							
Voluntary turnover rate for employees.	SV-PS-330a.2	Global Workforce: 9.9%; U.S. Workforce: 8.3%																																													
Involuntary turnover rate for employees.	SV-PS-330a.2	Global Workforce: 7.6%; U.S. Workforce: 6.8%																																													
Employee engagement as a percentage.	SV-PS-330a.3	2022 Great Place to Work Certification: 34% (US-only Survey) 2022 Most Loved Workplace Certification: 32% (Global Survey)																																													
Professional Integrity																																															
Description of approach to ensuring professional integrity.	SV-PS-510a.1	See page 21.																																													
Total amount of monetary losses as a result of legal proceedings associated with professional integrity.	SV-PS-510a.2	\$0																																													
Activity Metrics																																															
Number of employees by: (1) full-time and part-time, (2) temporary, and (3) contract.	SV-PS-000.A	1) 2,136 (full-time); 3 (part-time); 11 (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	4.6 million employee hours worked in calendar year 2022.																																													

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 2022, DFIN purchased wind renewable energy credits (RECs) to match 100% of the electricity used by our 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	As of December 31, 2022, DFIN maintains 27 leased offices and operates one U.S.-based manufacturing facility. We have no operations in locations designated as High or Extremely High Baseline Water Stress. We do not track water use as it is not material to our business.
Discussion of the integration of environmental considerations into strategic planning for data center needs.	TC-SI-130a.3	DFIN believes in the protection and responsible use of the world’s natural resources to ensure a sustainable future. Each year we participate in the Carbon Disclosure Project (CDP) which helps us measure, manage, and disclose our Scope 1 and 2 greenhouse gas emissions from manufacturing. We own one 2,256 sq. ft. data center where renewable wind energy is used to match 100% of the facility’s electricity. The 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.
Data Privacy & Freedom of Expression		
Description of policies and practices relating to behavioral advertising and user privacy.	TC-SI-220a.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.

SASB Metric	SASB Code	DFIN Disclosure
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 products 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, DFIN's Business Continuity Management (BCM) Program adheres to ISO 22301, ISO 22313, and ISO 22317 as well as guidelines from the Federal Financial Institutions Examination Council. Our program focuses on the loss and recovery of people, workplace, equipment, and technology.
--	---------------------	--

2022 Employer Information Report U.S. EEO-1 Consolidated Report

Job Categories	Hispanic/Latino		Not Hispanic/Latino												TOTALS
			Male						Female						
			White	Black/African American	Native Hawaiian/Pacific Islander	Asian	American Indian/Alaskan Native	Two + Races	White	Black/African American	Native Hawaiian/Pacific Islander	Asian	American Indian/Alaskan Native	Two + Races	
Executive/Sr. Officials/Managers	1	0	33	0	0	2	1	2	17	4	0	5	0	0	65
First/Mid-Level Officials & Managers	10	6	128	9	0	14	0	2	63	8	1	14	0	2	257
Professionals	20	14	229	45	1	51	2	11	96	31	0	27	1	6	534
Technicians	2	0	10	1	0	4	0	0	0	1	0	0	0	0	18
Sales Workers	3	8	92	3	0	7	0	1	39	3	0	5	0	2	163
Administrative Support	46	28	224	27	1	29	3	9	167	39	1	16	2	7	599
Craft Workers	4	0	18	2	0	2	0	0	1	0	0	0	0	1	28
Operatives	3	6	25	2	0	1	0	1	9	2	0	1	0	0	50
Laborers & Helpers	0	2	1	1	0	0	0	0	4	1	0	1	0	0	10
Service Workers	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL	89	64	760	90	2	110	6	26	396	89	2	69	3	18	1724



CORPORATE HEADQUARTERS

35 West Wacker Drive
Chicago, Illinois 60601

(800) 823-5304

www.dfinsolutions.com

