

SASB Index

The Sustainability Accounting Standards Board (SASB) is a nonprofit organization that develops and publishes industry-specific sustainability accounting standards. The standards provide guidance on how to disclose material sustainability information that is financially material to a company's financial statements. The goal of SASB is to help companies integrate sustainability information into their financial reporting and to provide investors with better information to make informed investment decisions.

Topic	Category	Category	Units	Code	2022 Disclosure
Commercial Banks					
Data Security	(1) Number of data breaches, (2) percentage involving personally identifiable information (PII), (3) number of account holders affected	Quantitative	Number, Percentage (%)	FN-CB-230a.1	Except as a matter of public record or regulatory compliance, we do not disclose this information.
	Description of approach to identifying and addressing data security risks	Discussion and Analysis	n/a	FN-CB-230a.2	See Stifel's Annual Report for risk factors related to data security.
Financial Inclusion & Capacity Building	(1) Number and (2) amount of loans outstanding qualified to programs designed to promote small business and community development	Quantitative	Number, Reporting Currency	FN-CB-240a.1	Number: 77 Amount: \$40,591,269
	(1) Number and (2) amount of past due and nonaccrual loans qualified to programs designed to promote small business and community development	Quantitative	Number, Reporting Currency	FN-CB-240a.2	Number: 0 Amount: \$0
	Number of no-cost retail checking accounts provided to previously unbanked or underbanked customers	Quantitative	Number	FN-CB-240a.3	This is not relevant to Stifel's community investment activities.
	Number of participants in financial literacy initiatives for unbanked, underbanked, or underserved customers	Quantitative	Number	FN-CB-240a.4	1,957 participants benefited from financial literacy events that were sponsored by Stifel's banks or our staff volunteered in. However, we provide financial literacy materials on a much broader basis. In 2022, we provided 2,792 Budget Bunny coloring books and 3,181 comic books to local elementary school classrooms, nonprofit partners, and individuals. In 2022, Stifel Bank & Trust launched an improved budgetbunny.com, a financial education resource for children. Additionally, we sponsor online financial education access for underbanked and underserved community members. Stifel also sponsored five editions of the <i>St. Louis American's</i> Newspaper in Education papers. These newspapers are delivered to more than 8,000 students in classrooms in St. Louis Public Schools and St. Louis County with a large African American population, who are also on the USDA free and reduced lunch program. Stifel's ad pages included activities for children themed around Budget Bunny's Spend, Save, and Share lesson. We are a lead sponsor of the St. Louis Financial Empowerment Coalition, which provides financial literacy resources and classes year-round to consumers within the St. Louis region. As a result, we are able to reach a broader audience each year.

Topic	Category	Category	Units	Code	2022 Disclosure
Commercial Banks (Continued)					
Incorporation of Environmental, Social, and Governance Factors in Credit Analysis	Commercial and industrial credit exposure, by industry	Quantitative	Reporting Currency	FN-CB-410a.1	Please reference page 14 of Stifel's Q4 2022 Earnings Slide Deck.
	Description of approach to incorporation of environmental, social, and governance (ESG) factors in credit analysis	Discussion and Analysis	n/a	FN-CB-410a.2	Please refer to page 12.
Business Ethics	Total amount of monetary losses as a result of legal proceedings associated with fraud, insider trading, antitrust, anticompetitive behavior, market manipulation, malpractice, or other related financial industry laws or regulations	Quantitative	Reporting Currency	FN-CB-510a.1	2022 firm-wide losses as the result of legal proceedings totaled \$9,318,875.33; \$7,500,000 of which were related to a single settlement.
	Description of whistleblower policies and procedures	Discussion and Analysis	n/a	FN-CB-510a.2	Non-retaliation policies protect the rights of individuals who report issues in good faith, either through one of the reporting means described in the Obligation to Report Violations section (pages 10-11, Code of Ethics) or to government authorities. The company maintains a reporting hotline (866-514-5292), where employees and individuals outside the company can anonymously submit a complaint or concern regarding compliance with applicable laws, rules or regulations, the Code of Ethics, as well as accounting, auditing, ethical or other concerns.
Systemic Risk Management	Global Systemically Important Bank (G-SIB) score, by category	Quantitative	Basis Points (bps)	FN-CB-550a.1	Stifel and its affiliates are not designated a G-SIB.
	Description of approach to incorporation of results of mandatory and voluntary stress tests into capital adequacy planning, long-term corporate strategy, and other business activities	Discussion and Analysis	n/a	FN-CB-550a.2	We conduct an annual idiosyncratic enterprise-wide stress test and other specific stress tests for market, credit, liquidity, and capital in accordance with Federal Reserve Supervisory Guidance 12-7: Supervisory Guidance on Stress Testing for Banking Organizations with More Than \$10 Billion in Total Consolidated Assets.
Activity Metrics	(1) Number and (2) value of checking and savings accounts by segment: (a) personal and (b) small business	Quantitative	Number, Reporting Currency	FN-CB-000.A	Given our business model, this is not a meaningful aspect of our banking activities.
	(1) Number and (2) value of loans by segment: (a) personal, (b) small business, and (c) corporate	Quantitative	Number, Reporting Currency	FN-CB-000.B	Please reference page 14 of Stifel's Q4 2022 Earnings Slide Deck.
Investment Banking & Brokerage					
Employee Diversity & Inclusion	Percentage of gender and racial/ethnic group representation for (1) executive management, (2) non-executive management, (3) professionals, and (4) all other employees	Quantitative	Percentage (%)	FN-IB-330a.1	Please refer to our diversity data here .

Topic	Category	Category	Units	Code	2022 Disclosure
Investment Banking & Brokerage (Continued)					
Incorporation of Environmental, Social, and Governance Factors in Investment Banking & Brokerage Activities	Revenue from (1) underwriting, (2) advisory, and (3) securitization transactions incorporating integration of environmental, social, and governance (ESG) factors, by industry	Quantitative	Reporting Currency	FN-IB-410a.1	For underwriting and advisory revenue, Stifel Investment Banking developed systems to track this information at the end of 2022. We will implement these mechanisms and disclose full year information in 2023.
	(1) Number and (2) total value of investments and loans incorporating integration of environmental, social, and governance (ESG) factors, by industry	Quantitative	Number, Reporting Currency	FN-IB-410a.2	We do not make material proprietary investments or loans as part of our investment banking and brokerage activities.
	Description of approach to incorporation of environmental, social, and governance (ESG) factors in investment banking and brokerage activities	Discussion and Analysis	n/a	FN-IB-410a.3	As part of our investment banking activities, Commitment Committee memos must address any relevant environmental, social, and governance (ESG) considerations affecting the issuer and the subject offering, e.g., the issuer's commitment to contribute positively to environmental or social causes and to conduct its business ethically and responsibly, climate/environmental sustainability issues, diversity, human rights, corporate governance, etc.
Business Ethics	Total amount of monetary losses as a result of legal proceedings associated with fraud, insider trading, anti-trust, anti-competitive behavior, market manipulation, malpractice, or other related financial industry laws or regulations	Quantitative	Reporting Currency	FN-IB-510a.1	Please refer to page 28, Code FN-CB-510a.1.
	Description of whistleblower policies and procedures	Discussion and Analysis	n/a	FN-IB-510a.2	Non-retaliation policies protect the rights of individuals who report issues in good faith, either through one of the reporting means described in the Obligation to Report Violations section (pages 10-11, Code of Ethics) or to government authorities. The company maintains a reporting hotline (866-514-5292), where employees and individuals outside the company can anonymously submit a complaint or concern regarding compliance with applicable laws, rules, or regulations, the Code of Ethics, as well as accounting, auditing, ethical, or other concerns.
Professional Integrity	(1) Number and (2) percentage of covered employees with a record of investment-related investigations, consumer-initiated complaints, private civil litigations, or other regulatory proceedings	Quantitative	Number, Percentage (%)	FN-IB-510b.1	189 employees, representing 3% of covered employees.
	Number of mediation and arbitration cases associated with professional integrity, including duty of care, by party	Quantitative	Number	FN-IB-510b.2	Clients: 14 Employees: 2 Other: 0
	Total amount of monetary losses as a result of legal proceedings associated with professional integrity, including duty of care	Quantitative	Reporting Currency	FN-IB-510b.3	Please refer to page 28, Code FN-CB-510a.1.
	Description of approach to ensuring professional integrity, including duty of care	Discussion and Analysis	n/a	FN-IB-510b.4	Please see Stifel's Code of Ethics.

Topic	Category	Category	Units	Code	2022 Disclosure
Investment Banking & Brokerage (Continued)					
Systemic Risk Management	Global Systemically Important Bank (G-SIB) score, by category	Quantitative	Basis Points (bps)	FN-IB-550a.1	Stifel and its affiliates are not designated a G-SIB.
	Description of approach to incorporation of results of mandatory and voluntary stress tests into capital adequacy planning, long-term corporate strategy, and other business activities	Discussion and Analysis	n/a	FN-IB-550a.2	We conduct an annual idiosyncratic enterprise-wide stress test and other specific stress tests for market, credit, liquidity, and capital in accordance with Federal Reserve Supervisory Guidance 12-7: Supervisory Guidance on Stress Testing for Banking Organizations with More Than \$10 Billion in Total Consolidated Assets.
Employee Incentives & Risk Taking	Percentage of total remuneration that is variable for Material Risk Takers (MRTs)	Quantitative	Percentage (%)	FN-IB-550b.1	Variable compensation for named executive officers accounted for approximately 51% of total compensation in 2021. We provide additional information about the proportions of variable and fixed compensation to our executive officers on page 22, as well as selected information regarding potential risks posed by our compensation policies and practices on pages 40-41 of our Proxy Statement. Updated information will be included in future proxy statements.
	Percentage of variable remuneration of Material Risk Takers (MRTs) to which malus or clawback provisions were applied	Quantitative	Percentage (%)	FN-IB-550b.2	We describe our compensation recoupment policy on page 43 of our Proxy Statement under the heading Clawback and Recoupment Policies. No application of this policy has been made to date.
	Discussion of policies around supervision, control, and validation of traders' pricing of Level 3 assets and liabilities	Discussion and Analysis	n/a	FN-IB-550b.3	Our Level 3 assets were 5% of assets measured at fair value and less than 1% of total assets as of December 31, 2022. Our Level 3 liabilities were 1% of liabilities measured at fair value and approximately 0% of total liabilities as of December 31, 2022. For more information around our financial assets and liabilities at fair value, please see page 86 in our 10-K filing. Updated information will be included in future reports.
Activity Metrics	(1) Number and (2) value of (a) underwriting, (b) advisory, and (c) securitization transactions	Quantitative	Number, Reporting Currency	FN-IB-000.A	Number and value of underwriting and advisory transactions are discussed qualitatively when driving underwriting or advisory net revenues. See our Annual Report for more information. Updated information will be included in future reports.
	(1) Number and (2) value of proprietary investments and loans by sector	Quantitative	Number, Reporting Currency	FN-IB-000.B	We do not make material proprietary investments or loans as part of our investment banking and brokerage activities.
	(1) Number and (2) value of market making transactions in (a) fixed income, (b) equity, (c) currency, (d) derivatives, and (e) commodity products	Quantitative	Number, Reporting Currency	FN-IB-000.C	Market making activities are not a material component of our overall business activities.
Asset Management & Custody Activities					
Transparent Information & Fair Advice for Customers	(1) Number and (2) percentage of covered employees with a record of investment-related investigations, consumer-initiated complaints, private civil litigations, or other regulatory proceedings	Quantitative	Number, Percentage (%)	FN-AC-270a.1	Consumer-Initiated Complaints: 187, 3.3% Private Civil Litigations: 0, 0% Investment-Related Investigations: 0, 0% Other Regulatory Proceedings: 3, 0.05%
	Total amount of monetary losses as a result of legal proceedings associated with marketing and communication of financial product-related information to new and returning customers	Quantitative	Reporting Currency	FN-AC-270a.2	Please refer to page 28, Code FN-CB-510a.1.
	Description of approach to informing customers about products and services	Discussion and Analysis	n/a	FN-AC-270A.3	Please refer to page 10.

Topic	Category	Category	Units	Code	2022 Disclosure
Asset Management & Custody Activities (Continued)					
Employee Diversity & Inclusion	Percentage of gender and racial/ethnic group representation for (1) executive management, (2) non-executive management, (3) professionals, and (4) all other employees	Quantitative	Percentage (%)	FN-AC-330a.1	Please refer to our diversity data here .
Incorporation of Environmental, Social, and Governance Factors in Investment Management & Advisory	Amount of assets under management, by asset class, that employ (1) integration of environmental, social, and governance (ESG) issues, (2) sustainability themed investing, and (3) screening	Quantitative	Reporting Currency	FN-AC-410a.1	Please refer to page 11.
	Description of approach to incorporation of environmental, social, and governance (ESG) factors in investment and/or wealth management processes and strategies	Discussion and Analysis	n/a	FN-AC-410a.2	Please refer to page 12.
	Description of proxy voting and investee engagement policies and procedures	Discussion and Analysis	n/a	FN-AC-410a.3	Please refer to page 12.
Business Ethics	Total amount of monetary losses as a result of legal proceedings associated with fraud, insider trading, anti-trust, anti-competitive behavior, market manipulation, malpractice, or other related financial industry laws or regulations	Quantitative	Reporting Currency	FN-AC-510a.1	Please refer to page 28, Code FN-CB-510a.1.
	Description of whistleblower policies and procedures	Discussion and Analysis	n/a	FN-AC-510a.2	Non-retaliation policies protect the rights of individuals who report issues in good faith, either through one of the reporting means described in the Obligation to Report Violations section (pages 10-11, Code of Ethics) or to government authorities. The company maintains a reporting hotline (866-514-5292), where employees and individuals outside the company can anonymously submit a complaint or concern regarding compliance with applicable laws, rules, or regulations, the Code of Ethics, as well as accounting, auditing, ethical, or other concerns.
Activity Metrics	(1) Total registered and (2) total unregistered assets under management (AUM)	Quantitative	Reporting Currency	FN-AC-000.A	Please refer to our 10-K ending in our 10-K for fiscal year ended December 31, 2022, for total assets under management.
	Total assets under custody and supervision	Quantitative	Reporting Currency	FN-AC-000.B	Assets under management (“AUM”) was \$390 billion as of December 31, 2022.