

# SAXO GROUP CORPORATE STATEMENT

## GOAL

To be the world's most profitable and professional facilitator in the global capital markets.

## STAKEHOLDERS

### SHAREHOLDERS

To generate superior, consistent returns on our capital.

### EMPLOYEES

To motivate, challenge, fulfill, and reward employees, enabling us to develop and excel in our professional careers and reach our personal goals.

### CLIENTS AND PARTNERS

To build successful relationships and to meet or exceed expectations through superior service and support, innovation, excellent systems and respectful and fair treatment.

## SEVEN VALUES

RATIONALITY | INDEPENDENCE | INTEGRITY | HONESTY | JUSTICE | PRODUCTIVITY | PRIDE

## RULES OF ENGAGEMENT

### OWNERSHIP

Think and act like a business-owner. Become a role model.

### CLIENT FOCUS

Treat our clients as your partners – remembering that it is only through true partnership that we will all succeed in reaching our goals.

### EXECUTION

Retain our competitive advantage by ensuring that you are uncompromising in your focus on successful execution.

### TEAM PLAYER

Engage actively and openly with your colleagues to combine and benefit from our individual talents.

### IMPROVEMENT

Seek constantly to improve processes, procedures and performance.

### COMPLIANCE

Comply diligently with our business procedures and security instructions, and report observed breaches immediately.

### QUALITY

Ensure that the work you deliver meets appropriate standards of quality.

### COMMUNICATION

Ensure that all your communication whether written or verbal, is relevant, honest, accurate and timely.

### PASSION

Be passionate about your work and be proud of both your own and Saxo Group's achievements.

### DISCIPLINE

Take a disciplined and structured approach to the task in hand.

# RULES OF ENGAGEMENT

OWNERSHIP	<p>THINK AND ACT LIKE A BUSINESS-OWNER. BECOME A ROLE MODEL.</p> <ul style="list-style-type: none"> <li>■ You are empowered to take responsibility and should accept the accountability that comes with this.</li> <li>■ Lead by example – inspire others through your professional and business-like behaviour, remembering always that you are an ambassador for the bank.</li> <li>■ Create business value by being proactive and innovative.</li> </ul>
CLIENT FOCUS	<p>TREAT OUR CLIENTS AS YOUR PARTNERS – REMEMBERING THAT IT IS ONLY THROUGH TRUE PARTNERSHIP THAT WE WILL ALL SUCCEED IN REACHING OUR GOALS.</p> <ul style="list-style-type: none"> <li>■ Work to empower our clients in reaching their goals through close cooperation and support.</li> <li>■ Respond to and communicate effectively with existing and potential clients in a timely manner.</li> <li>■ Handle complaints and errors with diligence and fairness, and learn from them.</li> </ul>
EXECUTION	<p>RETAIN OUR COMPETITIVE ADVANTAGE BY ENSURING THAT YOU ARE UNCOMPROMISING IN YOUR FOCUS ON SUCCESSFUL EXECUTION.</p> <ul style="list-style-type: none"> <li>■ Make and keep commitments and deadlines, prioritising your resources accordingly.</li> <li>■ Create a practical plan for realising your goals.</li> <li>■ Remain committed to achieving your outcome – and act without delay.</li> </ul>
TEAM PLAYER	<p>ENGAGE ACTIVELY AND OPENLY WITH YOUR COLLEAGUES TO COMBINE AND BENEFIT FROM OUR INDIVIDUAL TALENTS.</p> <ul style="list-style-type: none"> <li>■ Work and create a boundaryless organisation, open, flexible and efficient in all our dealings.</li> <li>■ Your own success is essential, but not sustainable if your team and the bank as a whole fails to achieve the same. You have responsibility for all three levels of success.</li> <li>■ Interact in a constructive, friendly and benevolent manner across departments, geographies and positions. Share rewards, praise and credit generously with your colleagues.</li> </ul>
IMPROVEMENT	<p>SEEK CONSTANTLY TO IMPROVE PROCESSES, PROCEDURES AND PERFORMANCE.</p> <ul style="list-style-type: none"> <li>■ Be alert to opportunities for improvement and address these accordingly.</li> <li>■ Seek to enhance your own level of expertise, both through company-sponsored education and by your own initiative.</li> <li>■ Take personal responsibility for thinking innovatively when you identify a need for improvement.</li> </ul>
COMPLIANCE	<p>COMPLY DILIGENTLY WITH OUR BUSINESS PROCEDURES AND SECURITY INSTRUCTIONS, AND REPORT OBSERVED BREACHES IMMEDIATELY.</p> <ul style="list-style-type: none"> <li>■ Be vigilant in following the laws, rules and regulations that serve as the Bank's legal framework.</li> <li>■ Follow our business and security procedures and ensure that you report any breaches immediately.</li> <li>■ Recognise and live up to the responsibility placed upon you as a result of our clients' trust – both in terms of confidentiality and fair treatment.</li> </ul>
QUALITY	<p>ENSURE THAT THE WORK YOU DELIVER MEETS APPROPRIATE STANDARDS OF QUALITY.</p> <ul style="list-style-type: none"> <li>■ Make rational decisions about the level of quality required for the particular task, ensuring that this meets your client's expectations.</li> <li>■ Strive to identify where and how clients and colleagues might directly benefit from higher standards.</li> <li>■ Execute all of your tasks to the optimal level of quality, taking the necessary time to do so.</li> </ul>
COMMUNICATION	<p>ENSURE THAT ALL YOUR COMMUNICATION WHETHER WRITTEN OR VERBAL, IS RELEVANT, HONEST, ACCURATE AND TIMELY.</p> <ul style="list-style-type: none"> <li>■ Communicate only relevant information, and do so in a concise and logical manner to all the involved stakeholders.</li> <li>■ Give others the benefit of your honest, considered feedback using the appropriate medium and at the right time.</li> <li>■ Ensure that you contribute to any relevant dialogue in a timely manner.</li> </ul>
PASSION	<p>BE PASSIONATE ABOUT YOUR WORK AND BE PROUD OF BOTH YOUR OWN AND SAXO GROUP'S ACHIEVEMENTS.</p> <ul style="list-style-type: none"> <li>■ Embrace your work with energy and enthusiasm.</li> <li>■ Work persistently to overcome challenges – recognising them as a valuable part of your personal and professional development.</li> <li>■ Energise and motivate those around you – both colleagues and clients.</li> </ul>
DISCIPLINE	<p>TAKE A DISCIPLINED AND STRUCTURED APPROACH TO THE TASK IN HAND.</p> <ul style="list-style-type: none"> <li>■ Loyal accept and follow through on corporate decisions.</li> <li>■ Ensure that all meetings have a clear agenda and focus on always achieving a valid and documented outcome.</li> <li>■ Respect your colleagues' time and efforts, and cooperate in an efficient and disciplined manner with them.</li> </ul>