



Canaccord Genuity

CANACCORD GENUITY GROUP INC.

ESG Report: Commitment to Sustainability and Corporate Social Responsibility

SEPTEMBER 2022

A message from our CEO



At Canaccord Genuity, we occupy an increasingly important role in supporting the global growth economy. In our efforts to foster a vibrant marketplace for growth companies and investors, we recognize that our values and actions also have an impact on the world around us. We are also acutely aware that generating sustainable value for our shareholders requires us to advance our strategic priorities in ways that provide benefits for both business and our communities.

Our leadership team and Board of Directors have underscored our commitment to all matters pertaining to environmental, social and governance issues. During fiscal 2022, ESG was added to the formal mandate for our Board of Directors, and we will also be incorporating ESG considerations into our executive compensation framework. Knowing that our ability to advance these important priorities requires a firmwide culture of accountability, we have also implemented a series of initiatives across the organization to advance diversity and inclusion and increase employee engagement, as we strive to build a more sustainable and inclusive future.

While our direct environmental footprint is small relative to more carbon intensive industries, and we do not engage in corporate lending or principal investing activities which would increase our exposure to climate change, we view the transition to net-zero as a responsibility for all businesses. As such, we are investigating and developing ways to reduce consumption and waste, and minimize our greenhouse gas emissions, primarily from our facilities and travel.

As you will read in this report, we are also making targeted advancements in our capital markets and wealth management offerings, with a focus on helping companies and investors advance their sustainability objectives and contribute to a better world.

While the [CG Principles of Corporate Social Responsibility and Sustainability](#) apply to all our businesses and geographies, we have found that our impact is stronger when we empower our businesses to take responsibility for identifying and advancing the Corporate Social Responsibility (CSR) and Environmental, Social and Governance (ESG) approaches that will deliver the most meaningful impacts in their respective regions.

In preparing this report, we listened to feedback from a broad range of stakeholders, and we also drew upon the extensive expertise of colleagues throughout the Canaccord Genuity Group to help gather and organize the content relative to the areas we have identified in our benchmarking.

Our approaches and actions will continue to evolve as we listen closely to our key stakeholders, including existing and potential shareholders, our communities and the many talented professionals who currently work with us, or are considering building a career with CG.

Thank you for your continued support.

Dan Daviau
President & CEO
Canaccord Genuity Group Inc.

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Key reporting frameworks

To help inform our decision-making regarding the content and our strategy of our ESG reporting initiative, we performed extensive benchmarking analysis to help us understand what other firms in our peer group were reporting. We relied upon the **Sustainability Accounting Standards Board (SASB)** to help us understand the areas that may be of most relevance to our investors, and we referred broadly to the **United Nations Sustainable Development Goals** to help guide our progress in areas that are not directly covered by SASB.

SASB MATERIALITY MAP

SASB was founded as a non-profit organization in 2011 to help businesses and investors develop a common language about the financial impacts of sustainability. Over the years, the corporate sustainability disclosure landscape has become very complex. Many global businesses and investors have been calling for simplification and clarity in this landscape. In response, in November 2020 the International Integrated Reporting Council (IIRC) and the Sustainability Accounting Standards Board (SASB) announced their intention to merge into the Value Reporting Foundation, which was officially formed in June 2021. By integrating two entities that are focused on enterprise value creation, the merger signaled significant progress towards simplification. The Value Reporting Foundation offers a comprehensive suite of resources—including Integrated Thinking Principles, the Integrated Reporting Framework, and SASB Standards—designed to help businesses and investors develop a shared understanding of enterprise value.

UNITED NATIONS SUSTAINABLE DEVELOPMENT GOALS

The UN Sustainable Development Goals were established in 2015 by world leaders to end poverty, protect the planet, and seek to ensure prosperity for all.

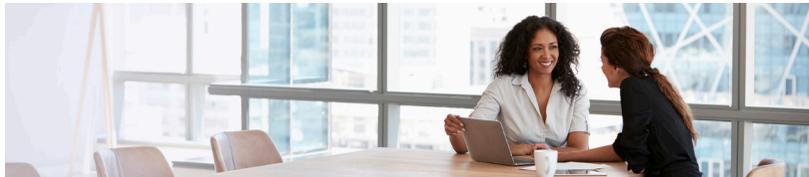
The 17 Goals were adopted by all UN Member States in 2015, as part of the 2030 Agenda for Sustainable Development which set out a 15-year plan to achieve the Goals.

As a result of our review, we have determined that our current activities most closely align with the goals set forth here.



CG Principles of Corporate Social Responsibility and Sustainability

Our firm wide approaches to supporting the well being of our employees, clients and communities



OPERATE WITH INTEGRITY

We are committed to conducting our business in accordance with all applicable laws, rules and regulations and the highest ethical standards.

We maintain safe working environments and maintain policies to ensure the protection of human rights in our business and supply chains.

Our firmwide risk management framework is critical to maintaining our company's ongoing financial stability and business continuity.



RESPECT PEOPLE AND COMMUNITIES

We think locally and globally, understanding the impact that our actions and behaviours may have on the success and wellbeing of our colleagues, clients, and partners in all the regions where we operate.

We take care to respect the culture and customs in the regions where we operate and where we travel. We are compliant with all applicable laws governing equal employment and anti-discrimination.

Our firmwide Diversity Policy is centred on valuing the rich diversity among our employees and all those with whom we do business.

We empower our businesses and individuals to direct their charitable and volunteer efforts towards the causes and initiatives that will have a meaningful impact in their respective communities.



RESPECT OUR PLANET

In our efforts to create enduring value, we take care to reduce the impact of our day-to-day business activities on the environment.

Canaccord Genuity has also had a long-standing commitment to supporting companies and investors that are committed to positively impacting the planet.

We are committed to supporting the continued growth of capital markets and wealth management segments which focus on helping companies and investors advance their sustainability objectives and contribute to a better world.

As we endeavour to increase the value of our business, CG employees and partners incorporate our principles of corporate social responsibility and sustainability into every aspect of our business activities.



Operate with Integrity



Operate with Integrity

Our first step in operating with integrity is ensuring that all CG employees, directors and officers adhere to our [Code of Business Conduct & Ethics](#) which embodies our commitment to conducting our business in accordance with all applicable laws, rules and regulations and the highest ethical standards.

All Canaccord Genuity employees, officers, directors and consultants are expected to adhere to the principles and procedures set forth in the Code of Business Conduct and Ethics and are required to review and certify acknowledgement and understanding of the Policy in writing on an annual basis.

We encourage all employees to feel comfortable engaging in a dialogue with their supervisor, senior management, or the Appropriate Ethics Contacts in each geography on matters related to violations of law, securities regulations, firm policies and the Code.

The Code outlines the process for reporting violations and covers the following topics:

- Personal conflicts of interest
- Public disclosure
- Compliance with laws, rules and regulations
- Corporate opportunities
- Confidentiality
- Fair dealing
- Equal employment opportunity and harassment
- Protection and proper use of firm assets
- Social media

Commitment to Human Rights

Canaccord Genuity Group Inc. and its operating subsidiaries are committed to conducting our business operations in ways that respect, protect and promote the full range of human rights, such as those described in the United Nations Universal Declaration of Human Rights. Our firm wide [Human Rights Statement](#) sets out some of the key steps we have taken to uphold our commitment to human rights in all CG businesses and geographies.

Modern Slavery Act

Our [Modern Slavery Act Statement](#) confirms our commitment to conducting business ethically and ensuring that there is no slavery or human trafficking in any of our supply chains. In the UK, staff are provided training to ensure they have a high level of understanding of the risks of modern slavery in our business and supply chains. We expect our suppliers to meet the same high standards.

Anti Money- Laundering /Anti Terrorist Funding

We have anti-money laundering programs, policies and procedures in place designed to prevent money laundering and any activity that facilitates money laundering or the funding of terrorist or criminal activities through CG's facilities, and to comply with all reporting obligations in each jurisdiction.

Our ability to contribute to positive and lasting change can only be effective if we incorporate our ESG priorities into the day-to-day responsibilities of our leadership team and all employees.

Commitment to Governance Standards

As outlined in our annual [Management Information Circular](#), the Company understands the importance of regular and constructive engagement to encourage shareholders to express their views on corporate governance and other matters, compensation philosophy and disclosure matters. Over the past five years, the Company has had extensive discussions with its largest shareholders about compensation philosophy and corporate governance which have shaped the Company's practices. More recently, issues of Environmental and Social practices have moved to the forefront of these discussions. As a result of these discussions, ESG was added as a formal mandate for our Board of Directors, and we will also be incorporating ESG considerations into our executive compensation framework.

Employee Training & Engagement

As you will learn in the pages of this report, all Canaccord Genuity employees are encouraged to participate in a broad range of training and continuing education programs in connection with our ongoing business continuity planning, regulatory and employer commitments. While we have introduced several programs to increase employee engagement and education on key corporate social responsibility topics, beginning in 2022 we will enhance our mandatory training for all employees on ethical standards and key ESG priorities.

Supporting our Clients in Making Informed Choices

In response to increasing demand from clients, we are doing our part to encourage robust ESG disclosure from the companies and dealers of investment products that we introduce to our clients. Our equity research teams provide insights about potential opportunities for our clients across sectors and geographies, complemented by timely and thematic conferences. While we acknowledge that many of the early-stage of the businesses that we work with may not have extensive resources to commit to formal ESG disclosures, even small steps can lead to meaningful impact over time.

Operate with Integrity

Our ethical commitments extend into all areas of our business, and we embrace the importance of conducting our business in full compliance with all applicable laws and regulations. We employ extensive Know your Client (KYC) measures, and we have continued to invest in advancing these measures to keep pace with the rapidly evolving industry landscape.

Whistleblower Policy

Canaccord Genuity has a [Whistleblower Policy](#) in place which includes procedures for reporting any complaints regarding accounting, internal controls and other financial reporting matters. The Audit Committee has established procedures for the receipt, retention and treatment of complaints received by the Company, and for the confidential, anonymous submission if an employee has any concerns regarding any practice or policy within the firm.

Conflict of Interest Policy

In keeping with our commitment to treating customers fairly, we will never knowingly put ourselves into a position where our own interests, or our responsibilities to another client, prevent us from undertaking our duty to our clients. Across the organization, we have internal policies and procedures specifically established to manage potential conflicts of interest, and they are subject to ongoing monitoring and review processes.

Privacy Policy

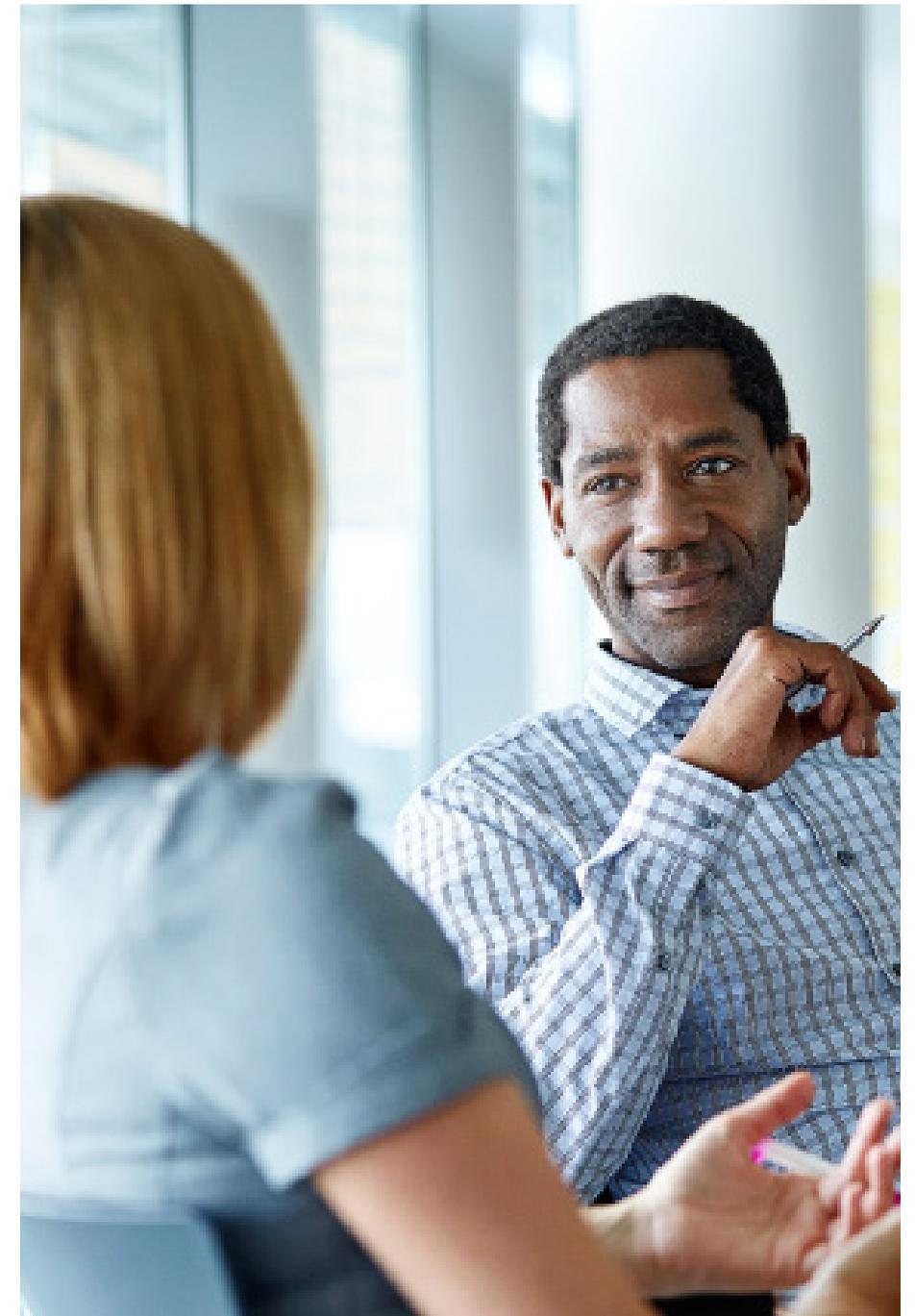
We have adopted policies and procedures that are designed to ensure the security and confidentiality of customer information. In addition, these policies and procedures are designed to prevent unauthorized access or use of client records and information.

Commitment to Best Execution

As a participant in multiple major marketplaces around the globe, we are committed to the best execution of each client order available under the circumstances. Our policies and procedures for best execution apply equally to all orders from retail clients, institutional clients and other dealers to which we provide trading services.

Risk Management Framework

Our firmwide Enterprise Risk Management (ERM) framework is critical to maintaining our company's ongoing financial stability and business continuity. The framework employs a holistic approach to identifying significant risks that may impact the strategic objectives of the business and developing a process to manage risks within our overall risk appetite. The Audit Committee of CG's Board of Directors has oversight over the ERM program, which serves as an important element of the firm's risk governance. The ERM group is responsible for identifying material risks inherent to the business, setting appropriate tolerance levels, monitoring risk management processes, and taking corrective actions, where necessary, to manage and mitigate such risks, including, but not limited to, market, credit, operational, and liquidity risks.



Operate with Integrity

Cybersecurity

The Company is developing and implementing a third-party risk management framework as part of onboarding new vendors and other third parties as well as vetting existing vendors. The purpose of these procedures is to ensure all parties interacting with the Company are adhering to high standards related to cybersecurity.

In addition, we devote considerable effort and resources to defend against and mitigate cybersecurity risk, including increasing awareness throughout the organization through an established firm-wide cybersecurity training program for all employees. Our global Cybersecurity Committee monitors and reviews the appropriateness and effectiveness of our controls.

The Company's management of cybersecurity risk, as well as any reported incidents, is regularly presented to both senior management through the Cybersecurity Committee and the Audit Committee of the Board of Directors

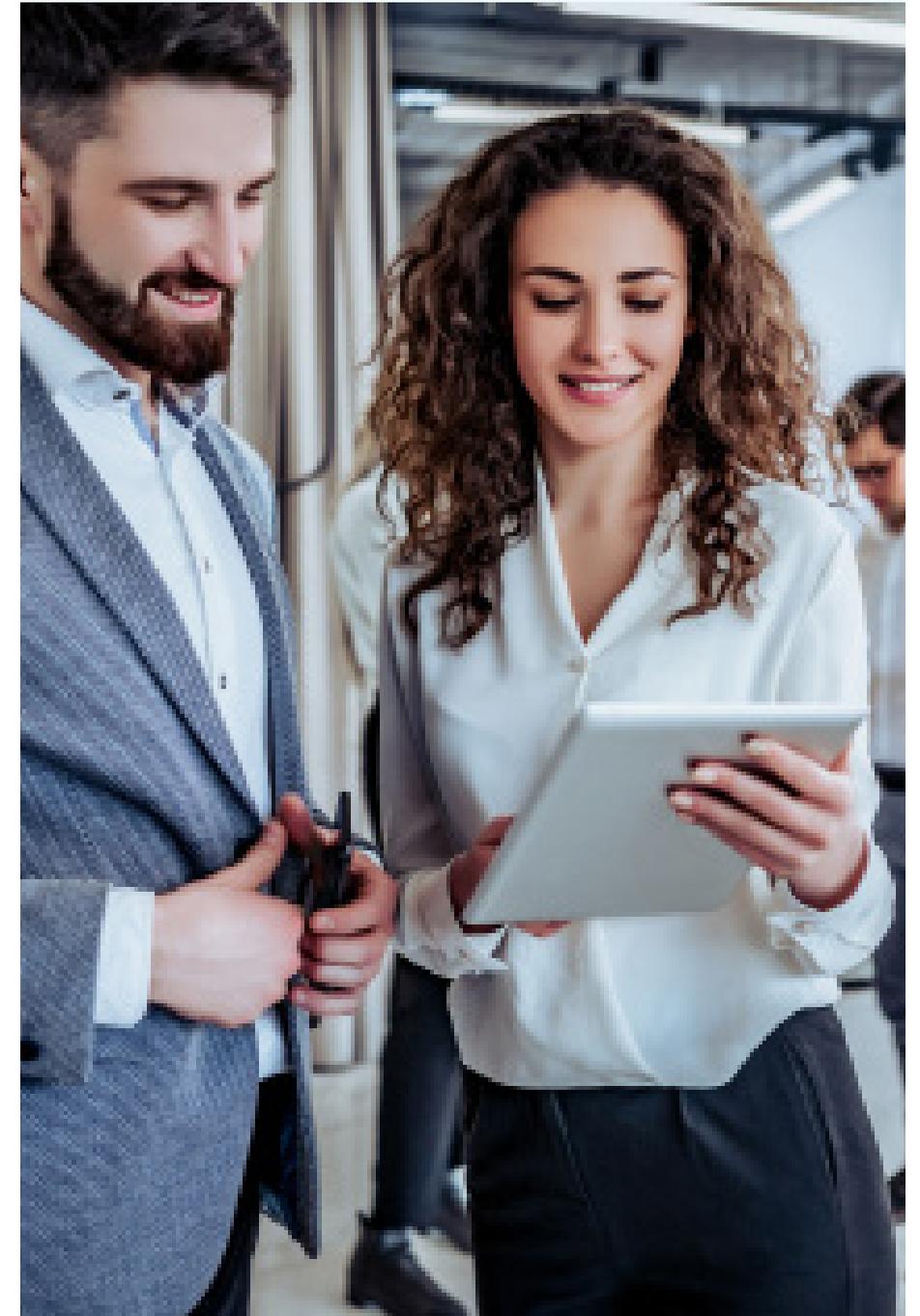
Our Global Cybersecurity Committee assists the Board of Directors in protecting our assets, records and information from cyber threats. By taking a risk-based approach, utilizing technology and appropriate practices and procedures, the Committee ensures that the following goals are met:

- **Confidentiality:** All information stored should be kept private and should only be available to and used by people (or systems) that Canaccord Genuity has explicitly authorized and given permission to do so.

- **Integrity:** Maintain the integrity of information to keep all systems and data complete, intact, and free from corruption.
- **Availability:** Maintain the availability of systems, services, and information when required by the Company and/or its clients.

Supplier Code of Conduct

Vendors and Suppliers of goods and services to Canaccord Genuity Group and its operating subsidiaries are expected to be committed to the principles of operating with integrity, respecting people and communities and respecting our planet. The vendors and suppliers we work with are encouraged to have policies and procedures in place that are consistent with these principles, as further described in our [Supplier Code of Conduct](#) and otherwise are expected to adhere to the principles in the Code that apply to them.





Respect People & Communities



Respect People & Communities

We think locally and globally, understanding the impact that our actions and behaviours may have on the success and wellbeing of our colleagues, clients, and partners in all of the regions where we operate.

Talent Management & Development

We strive to make CG a place where employees can pursue the most productive years of their careers. Performance Management plays an important role across our organization. Our continuous performance management commitment ensures that employees receive annual performance reviews and an opportunity to work with their manager to set goals for future performance. This approach, developed with the goal of fostering a culture of shared feedback and open communication, ensures that we are able to support all employees in performing their roles to the best of their ability.

Training, Mentoring & Education

In today's modern, competitive environment, employees need to engage in ongoing training and education to develop and enhance their knowledge and skills to meet increasing demands within a changing landscape. We want our employees to feel confident about improving efficiency and productivity, as well as advancing their personal development and success.

Anti-Violence, Bullying & Harassment

In keeping with our commitment to preserve a safe, productive and healthy working environment for employees based on mutual respect, Canaccord Genuity will not tolerate any form of harassment or discrimination against job candidates and employees. In our effort to prevent discrimination, harassing or bullying behaviour, we provide training to ensure that employees, contractors and consultants understand our policy and know

how to recognize and report incidents of violence, harassment or bullying so that we can intervene and provide the necessary support for affected employees.

Employee Health & Wellness

- Competitive individual and family health plans
- Travel assistance and health coverage
- Employee wellness discounts, access to fitness opportunities
- On-site flu shots in some of our Canadian offices as well as shots being covered under our employee health plans
- Smoking cessation aids
- Accommodations and job continuity for new parents. CG offers competitive maternity, parental or adoption benefits to support our employees as they care for their families, without fear of a negative impact on their employment status or future opportunities. Additionally, we provide tools, connections and resources to support new parents as they transition through and back from parental leave

Safe & Accessible Workplaces

Our health and safety initiatives are comprised of employee and employer representatives working together to identify and resolve health and safety problems in the workplace. Canaccord Genuity is committed to providing employees and clients with publicly available emergency information in an accessible way upon request. We will also provide employees with disabilities individualized emergency response information when necessary.



CASE STUDY

Respect People & Communities: COVID-19 Response



The onset of the Covid-19 pandemic had a profound impact on our daily lives, both personally and professionally. Making the health and well being of our employees our top priority, we quickly adapted to new ways of fostering our connections, as we supported our employees and clients.

Within a matter of days, our teams in all geographies transitioned to a remote work setting, with all businesses collaborating seamlessly in a secure environment. The response from employees across the organization was and continues to be extraordinary.

In the days and weeks following the historic market activity in the spring of 2020, our teams mobilized quickly to identify the clients that needed us most and put forth remarkable efforts to support them, all while looking out for one another. It was a remarkable demonstration of our core CG values.

Understanding the added pressures that a prolonged remote work environment has placed on our employees and their families, we expanded our support system to include resources to keep employees happy and healthy while working from home, increased mental wellbeing support with videos, inspirational speakers, online social events, and opportunities to be connected and focused on staying motivated, building resilience and managing stress.

As we move through a carefully managed return phase, we are continuing to rethink the employee experience in more targeted and dynamic ways that respect changing attitudes toward work-home balance and individual needs and circumstances.



- ◆ BrainSHIFT: 3 steps to break the stress-success cycle
- ◆ COVID-19 Supporting Children’s Mental Health
- ◆ COVID-19: Loneliness & Isolation Fatigue - Self-Care Strategies
- ◆ COVID-19: Dealing with Seasonal Affective Disorder
- ◆ Mindfulness and Mitigating the Stress Response to COVID-19
- ◆ COVID-19: Strategies for Managing Stress
- ◆ COVID-19: Calming Your Mind in Challenging Times
- ◆ Building Resilience in the Face of COVID-19

Protecting the health and safety of our employees and clients is our top priority

- » Rapidly transitioned >90% of employees to a secure, remote access environment
- » All aspects of our business remained fully operational with no technology interruptions
- » Dedicated Covid-19 response teams in every business and geography
- » Implemented protective health and safety measures at all office locations
- » Frequent and transparent town halls and communications with employees
- » Enhanced our digital capabilities to optimize remote collaboration and workflow
- » Implemented client-centric virtual solutions for due diligence, data rooms, conferences and events

Respect People & Communities: Diversity & Inclusion

Our people are our greatest asset, which is why we will always be focused on fostering a diverse and inclusive culture, where talented people can have enriching experiences and develop to their full potential.

Corporate Governance

As our Company has evolved, our Board of Directors has continued to prioritize strong governance and diverse perspectives. Beginning in fiscal 2022, our Board of Directors has 56% female representation at the independent level. The Board takes an active role in setting and supporting our Diversity & Inclusion priorities.

Equal Opportunity Employer

Canaccord Genuity practices equal opportunity and fair hiring processes when filling positions, and hires only the most qualified individuals, based on their knowledge, skills, abilities and other competencies. Canaccord Genuity has adopted this policy to ensure that all employees and potential candidates are considered for employment opportunities through a consistent, fair and barrier free approach.

Across the organization, Canaccord Genuity has implemented policies and measures focused on non-discrimination, harassment prevention, accessibility, health and safety, training and education.

Diversity Policy

Our firmwide [Diversity Policy](#) serves as a guideline to promote equal opportunities for all current and potential CG employees. We know that diverse teams create better business outcomes, and we are committed to fostering an inclusive environment where all employees and clients can thrive, and where opportunities are based on skill and merit, without bias. We have made steady progress on embedding this into our firm-wide culture and talent management processes, but we also recognize that there is a profound difference between intention and action. We are committed to continuous education and advancement of the policies and processes that address inequality as they relate to both the employee and client experience.

Listening, Learning and Continuously Improving

We are committed to continuous education, and advancement of the policies and processes that address inequality, as they relate to both the employee and client experience. The pandemic has highlighted the importance of inclusion and we have deployed several learning and engagement events to equip leaders and future leaders with tactics and resources to help us build a stronger future which includes a diverse pipeline of high-potential talent.

The Importance of Diversity & Inclusion at CG

At Canaccord Genuity, we know that many of our greatest opportunities arise when we bring together the diverse and differentiated perspectives from across our talent pool. We strive to operate as an organization that celebrates partnership and is free from discrimination and bias.

On the initiative of the CEO and the Global Operating Committee, a Core Diversity Council was established in 2016. It is composed of mid- to senior-officer level individuals from each of the regions and reports regularly to the Chief Executive Officer. In connection with the mandate of the Council and on the recommendation of the Corporate Governance and Compensation Committee, the Board adopted a formal board diversity policy for directors in connection with Canaccord Genuity's global diversity policy in fiscal 2017 to reflect the Company's commitment to diversity and inclusion throughout its organization.

In its Management Information Circular, the Company discloses:

- the initiatives for achieving diversity set by the Board in accordance with our policy and the progress towards achieving them;
- the proportion of female employees at CG, in senior executive positions and on the Board

Several of the existing policies and programs outlined in this report support Diversity and Inclusion, but we know that our collective success requires us to sustain a culture that where everyone at CG shares this responsibility and has the tools to harness opportunities to drive measurable, long-term improvement.

Diversity & Inclusion Advancements

In all CG geographies, we have formed partnerships with leading organizations to help us advance our D&I priorities as we look to drive positive change in our workforce, and also in the communities where we operate.



In 2021, Canaccord Genuity joined the leaders of over 300 Canadian companies in pledging to take action to end systemic anti-Black racism and increase representation of BIPOC talent across our industry.



The Canaccord Genuity Diversity Award for Excellence is an academic scholarship to benefit Black students at the Schulich School of Business. Two awards will be offered each year to an undergraduate and an MBA candidate who demonstrate academic excellence and an interest in pursuing a career in capital markets or wealth management. Our 2021 recipients will receive financial support, mentorship and opportunities to interview for summer roles.



CG Australia is endorsed by WORK180 alongside leading global brands. This organization provides transparency to female job seekers on equal pay, professional development, family leave/flexible work policies.



In the UK, we are participating in 10,000 Black Interns, an initiative to provide paid work experience and world-class training and development across a range of industries. Interns joining CG receive experience and mentorship with a view towards a potential permanent role.



Our U.S. capital markets team has had a long-standing partnership with Youth INC, a unique venture philanthropy model that empowers, develops, and educates nonprofit organizations serving young people. For eight years, this team has donated commissions on its annual Trading Week for Kids, in addition to hosting Mentor Day for Kids, to provide high school students with an opportunity to meet senior executives and learn about our day-to-day business activities.



CG's wealth management business in the UK & Crown Dependencies is a member of InterInvest, a network of LGBT+ people and allies who care about the LGBT+ experience in investment.



The Canaccord Genuity Advisory Program for Women Entrepreneurs pairs high-potential female CEOs with members of a carefully selected Advisory Group comprised of successful entrepreneurs and leading business innovators. In addition, senior CG capital markets and wealth management professionals volunteer time and relevant expertise to help each leader achieve their business goals. Following the success of our Canadian launch, the program has been expanded to applicants in all CG geographies.



Our relationship with CareerEdge provides Canadian jobseekers facing a barrier to employment with an opportunity to succeed and provides employers with the opportunity to hire diverse, qualified talent. This includes skilled candidates who are newcomers to Canada, people with self-declared disabilities, Canadian armed forces members, and recent postsecondary graduates.

Despite the challenges presented by the prolonged remote-work environment, we have made significant progress in advancing our D&I priorities in all our businesses and geographies

- Continued emphasis on **inclusion of diverse candidates on hiring slates** across all businesses and geographies.
- Expanded the **Canaccord Genuity Advisory Program for Women Entrepreneurs** to applicants from all CG geographies.
- Initiated the CG **"Spotlight Series"** campaign to showcase our **diverse talent mix** across geographies and highlight people as our most valued asset.
- As part of CG's **Pride Month** celebrations, Dr. Lee Airton spoke on the topic of gender diversity and mindset/practices for **cultivating a gender-friendly company culture**.
- September 30, 2021 was Canada's inaugural **National Day for Truth and Reconciliation**. In our efforts to honour Truth and Reconciliation Week, we invited Indigenous Educator Shannon Monk to lead employees on an educational journey entitled **The Indigenous Circle Approach to Cultural Confidence™**.

CASE STUDY

The Canaccord Genuity Advisory Program for Women Entrepreneurs



The Canaccord Genuity Advisory Program for Women Entrepreneurs is an initiative conceived in the spirit of our commitment to fostering an inclusive, innovative and entrepreneurial environment, both within our firm and in the broader business community.

Launched in 2019, this program pairs high-potential female CEOs with members of a carefully selected [Advisory Group](#) comprised of successful entrepreneurs and leading business innovators, for one-on-one mentorship.

Additionally, senior CG capital markets and wealth management professionals volunteer time and relevant expertise to provide strategic advice with the objective of helping each leader achieve their business goals. This program demonstrates our commitment to supporting global entrepreneurs, while championing women on their path to participation in the capital markets.

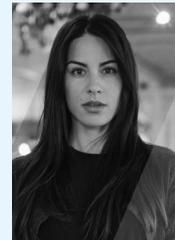
Following the success of our Canadian launch, we expanded the program in 2021 to welcome applicants from all regions where CG operates.

OUR PROGRAM OFFERS

- One-on-one mentorship from a successful entrepreneur
- Strategic advice from a dedicated team of Canaccord Genuity professionals
- Networking opportunities
- An invitation to our Annual Global Growth Conference, the premiere global event for growth companies and investors

“The Canaccord Genuity Advisory Program for Women Entrepreneurs offers a solid combination of strategic advice, networking and mentorship. We achieve this by integrating the talents of our Canaccord Genuity people, who are excellent at working with emerging businesses, and our external advisors who offer a wealth of experience as successful world-class entrepreneurs.”

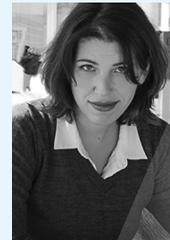
David Kassie
Chairman
Canaccord Genuity Group Inc.



Devon Brooks: CEO & Creator, Sphere



Dr. Dina Kulik: Founder & CEO, Kidcrew



Keren Moynihan: Co-Founder & CEO, Boss Insights



Saawan Logan: Co-Founder/CEO, North Water



Traci Costa: Founder CEO, PK Beans



Lucy Ayles: CEO, Never Fully Dressed



Monica Ruffo: CEO, Well Told Inc.



Katherine Vellinga: CEO, Zirkova Vodka



“I strongly recommend this program to any woman entrepreneur looking to gain insights from experienced business leaders. The team at CG did not hold back when it came to supporting this program and the participants, so it did not feel like it was going against their ethos to work with us, which was especially meaningful.”



Kate Bate
Managing Director / Partner, Tendril Design & Animation
2019 Participant.

Respect People & Communities: Giving and Volunteerism



As we increase the value of our business and generate value for our shareholders, we also endeavour to support sustainable economic development by contributing to our local communities in ways that promote to good health and well being, quality education, decent work, and economic growth in ways that benefit communities and development.

We cannot solve all of these problems alone, but with collaboration from our stakeholders, we can meaningfully contribute to lasting solutions.

By empowering our businesses and individuals to direct their charitable and volunteer efforts toward the causes and initiatives that will have a meaningful impact in their respective communities, we have seen extraordinary contributions from all regions.

HOW WE CONTRIBUTE

- Corporate giving and community partnerships
- Employee giving through volunteering, fundraising and donation matching programs
- Sharing resources and expertise to support non-profits in achieving their goals

Below are some of the organizations that we have been proud to support.

Making a positive difference in the communities where we live and work has been a long-standing priority for CG and our people, but the global pandemic brought a greater consciousness to issues of inequality.

Despite the limitations imposed by prolonged lockdowns, we have continued to find ways to provide vital funding and support for people and communities impacted by inequality, illness and natural disasters.

- ◇ US\$750,000 donation to Youth INC
- ◇ C\$100,000 donation to Food Banks of Canada
- ◇ C\$50,000 donation to Canadian Red Cross
- ◇ A\$360,000 raised for Australian Red Cross



CASE STUDY

#CANDO



Understanding the benefits of an active lifestyle in relation to mental wellbeing and performance is important in the workplace and so #cando has become the overarching theme for all community driven sporting activity for our wealth management business in the UK & Crown Dependencies.

#CANDO = CAN(ACCORD) + 'DO'

The definition of 'can do' in the Oxford English dictionary is 'having or showing a determination or willingness to take action and achieve results'.

#CANDO EMPLOYEE CHALLENGE

In 2018 and 2019 CGWM UK challenged colleagues to get active and raise funds towards #cando-themed charitable donations. The aim was to log enough miles between them to travel 1,280 miles in one year – the distance between all CGWM offices around the UK and Crown Dependencies. In 2018, this team racked up a phenomenal 125,166 miles (five times around the world!) through various activities, from running and walking to cycling and swimming.

Following the onset of the Covid-19 pandemic in 2020, the CGWM UK team pivoted to launch a #cando challenge with a focus on keeping employees and their clients and communities happy and healthy while working remotely.

Partnering with **TeamedUp** and their **Olympic** athletes, they created a [series of videos, fact sheets](#) and social media posts, with a focus on staying motivated, building resilience and managing stress, as well as thinking about setting goals and teamwork when working remotely.

We are grateful to TeamedUp and their Olympic athletes Lizzie Simmonds, Gemma Howell, Tom George, Henry Weir, and Tom Dean for their contributions.

OTHER CHARITABLE SPORTING EVENTS INCLUDE:

- **Isle of Man Sportive:** Since 2019, CGWM UK has sponsored this mass participation cycling event, which follows the Isle of Man TT circuit
- **Jersey Corporate Cup:** Established in 2013, The Corporate Cup challenge sees teams of runners competing in a monthly 5-kilometre lunchtime race on several dates between April and September. The series primarily encourages lunchtime exercise for office based workers, while raising money for the Jersey Sports Association for the Disabled
- **Guernsey Inter-Firm Relay:** The annual inter-firm relay race takes place in the centre of St. Peter Port with runners completing a one mile lap. CGWM UK has supported this event for the past 18 years which raises funds for Guernsey Athletics Island Games team and involves many of our employees in volunteer roles



“I’ve loved having the opportunity to share knowledge and insights from the world of elite sport through the #cando campaign. This is an unprecedented and challenging time for all of us, so it’s great that Canaccord Genuity Wealth Management has been so forward-thinking in supporting employee wellbeing with such a positive initiative.”

Lizzie Simmonds
Olympian, Great Britain

£ 315,000

contributed through #cando themed initiatives to support local communities and charities

CASE STUDY

Youth INC



Over the past decade, our U.S. Capital Markets business developed a strong partnership with Youth INC, a leading venture philanthropy nonprofit in New York City, helping to build the capacity of its more than 75 nonprofit partners to create the strong and sustainable organizations required to help young people thrive.

For eight years during **Trading Week for Kids**, CG donated commissions from designated equity trades to Youth INC. We have also hosted **Mentoring Day for Kids**, which brings high-school students from Youth INC partner organizations together with CG senior executives and other company participants to provide a snapshot of our day-to-day business activities and an opportunity to learn about working in the financial services industry.

In 2021, we committed US\$750,000 to help fund the launch of the **Rise Academy for Leaders of Color**, bringing our total support to over US\$5.0 million for the past 10 years.

In partnership with the Center for Nonprofit Leadership at Adelphi University's Leading in Community program, Rise Academy integrates leadership development, non-profit management, community leadership, executive coaching and mentorship with the goal of creating a robust pipeline of BIPOC leaders in the youth development field.

This contribution supports Youth INC in its mission to dismantle the systemic barriers to advancement for leaders of color in the youth development segment of the nonprofit sector.

Youth INC, a leading venture philanthropy organization with a network of 75+ of the best youth development nonprofits in New York City provide their nonprofit partners with the coaching, capital, and connections required to achieve sustainable growth and maximum impact. Their nonprofit partners collectively champion over 200,000 young people each year.



\$ 5 million

contributed by CG over a decade of partnership with Youth INC

“Over a decade of supporting Youth INC, we have witnessed the incredible work they do to provide youth development organizations with the resources needed to help young people develop the skills and confidence to achieve their full potential, Our contribution to fund the launch of the Rise Academy for Leaders of Color underscores our commitment to advancing diversity and inclusion in our business and communities as Youth INC expands its efforts to provide dedicated support for BIPOC nonprofit leaders.”

Jeff Barlow
President, Canaccord Genuity LLC.



Respect Our Planet



Respect our Planet: Impact reduction initiatives

While our physical presence is not expected increase materially, we are talking steps to minimize the impact of the buildings and facilities where CG has operations. With support from employees in all geographies, we have also been making progress to reduce our consumption of plastic and paper, and reduce our waste and resource usage.

Looking ahead, we aim to collect and review our consumption data annually with the goal of reducing our operational footprint and promoting the responsible and efficient use of resources as we support the journey towards net zero.

- LEED (Leadership in Energy and Environmental Design)** is the most widely used green building rating system in the world, which provides framework for healthy, highly efficient, and cost-saving green buildings. LEED certification is a globally recognized symbol of sustainability achievement and leadership.
- Green Star** is an internationally recognised rating system setting the standard for healthy, resilient, positive buildings and places. Developed for the Australian environment, Green Star has certified thousands of sustainable fitouts, buildings, homes and communities right across the country.

Green Buildings						
Current CG LEED ¹ or other Energy rated ² projects by region						
	Canada ¹ (LEED)		U.S. ¹ (LEED)		Australia ² (Green Star)	
	Locations	Sq.ft	Locations	Sq.ft.	Locations	Sq.ft.
Platinum	3	233,014	0	108,479	0	43,658
Gold	7		5		2	
Silver	1		1		2	
Certified	2		0		0	

1. Landlord-owned LEED certifications apply to offices in Canada and the U.S.

2. Landlord-owned Green Star certifications apply to offices in Australia

Across our operations, we are committed to reducing our environmental impact through several responsible resource use initiatives, intended to encourage measured and conscientious use of the resources and materials that we use in our day-to-day operations.



Eliminate the procurement of single-use plastics related to food and drink in all CG offices. This includes drinks and utensils, food containers and coffee and tea pods



Reduce the total volume of all types of paper (statements, commercial print for communications and marketing, office paper and envelopes, business cards and other)



Take steps towards reducing our absolute energy usage in all CG facilities

Our firm wide [Environmental Policy Statement](#) details our approach to protecting the environment and increasing sustainability in our day-to-day business activities.

CASE STUDY

CG Toronto Headquarters: Among the greenest and most technologically advanced workspaces in Canada

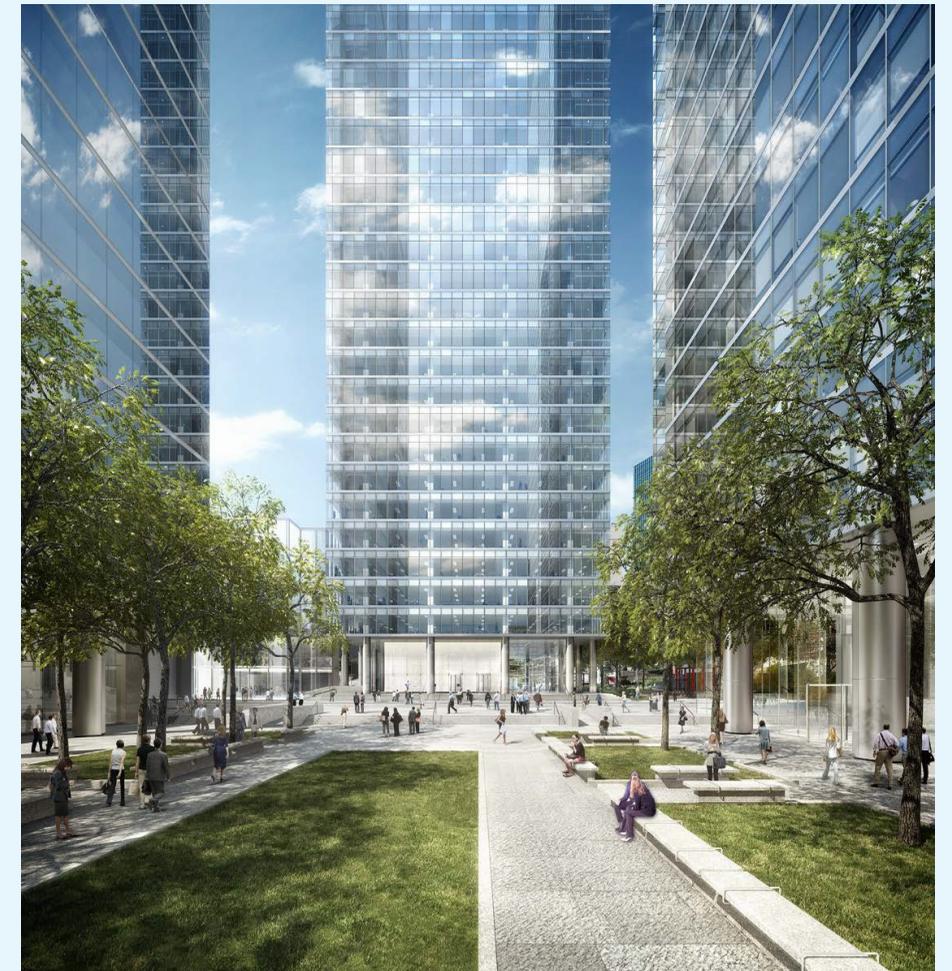


In calendar 2022, CG relocated our Toronto office to the 32-story Bay-Adelaide North Tower. Still under construction, this brand-new modern office building will be among the greenest and most technologically advanced workspaces in Canada.

With over 50% of building materials consisting of recycled content, the our new office will be sustainably constructed and outfitted with cutting edge technology to provide a dynamic environment that will better support our collaboration and workflow well into the future.

Below are some of the features that will help advance our priority of reducing the environmental impact from our facilities and operations.

- Targeting LEED Platinum certification, the highest level possible
- Water-efficient plumbing fixtures and reusing collected stormwater to reduce water consumption; expected to save over 1.6 million litres of potable water every year
- A combination of green roof/cool roof, with native drought-tolerant planting to be installed for over 75% of the roof area to reduce the heat island
- Daylight harvesting, high efficiency lighting fixtures and lighting controls
- Building metering, including tenant metering to allow tenants to manage their consumption effectively
- Efficient ventilation system that modulates based on the occupancy and CO2 levels
- HVAC equipment equipped with MERV 13 filters to improve the indoor air quality



- 400 bike stalls and change rooms with shower facilities and lockers
- Underground parking with designated ecozone spaces for electric, hybrid and car-pool vehicles
- Enhanced Life Safety security features throughout the complex

Located a short walk from three central subway stations, this new space provides convenient access for our employees and clients, and provide a multitude of low impact transportation options

RESPECT OUR PLANET: ADVANCING THE CG CLIENT OFFERING

Supporting CG clients in accelerating their ESG priorities

As companies and investors strive to build a more sustainable future, impact investing strategies have advanced to the forefront of global business priorities.

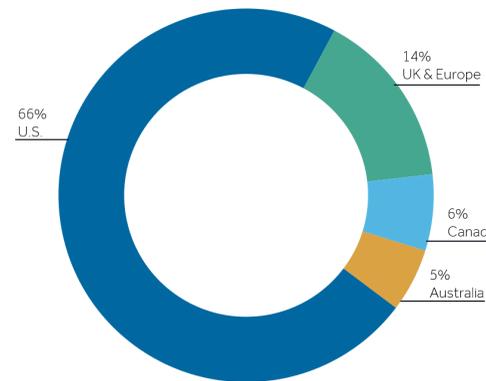
Consistent with our commitment to serving the dynamic growth sectors of the global economy, Canaccord Genuity has had a long-standing commitment to supporting innovators and investors who are focused on positively impacting the planet.

In recent years, we have redeployed investment from our capital markets Energy practice towards growing our Sustainability practice, to ensure that we can provide market-leading resources and expertise in the areas that help companies and investors advance their sustainability objectives. Our capital markets and wealth management businesses in Calgary have evolved our offering to support innovators in the transition to net-zero. Additionally, CG’s global mining practice has been at the forefront of supporting growth of the sustainable materials and minerals segments.

In our wealth management division, we offer a range of managed ESG portfolios, designed to provide our clients with access to sustainable investment solutions, while working towards their long-term investment objectives.

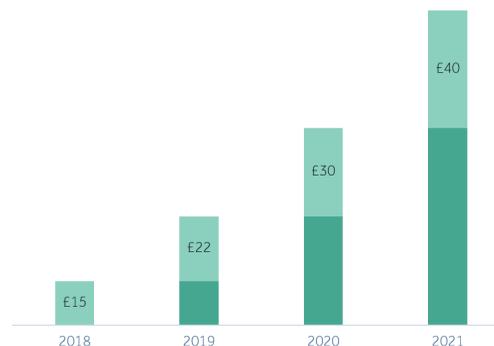
We actively support our clients in capital markets and wealth management with robust thought leadership and research offerings, in addition to timely and thematic conferences with the goal of keeping clients up to date on the latest developments and supporting them in making decisions that benefit more than the bottom line.

CG Global Sustainability Practice
Investment Banking & Advisory Revenue by Region
YTD Fiscal 2022, 9 months ended December 31



As sustainability themes increasingly intersect with our core focus sectors, we have advanced our capital markets capabilities in all geographies to support the unique needs of growth companies.

CGWM ESG Portfolios
Annual net inflows
Calendar years ended December 31



Since launching our ESG portfolios in 2018, we have seen positive annual inflows, and growing participation from larger institutional investors, including trustees and charities.

ADVANCING THE CG CLIENT OFFERING

CG Capital Markets: Global Sustainability Practice



Our integrated CG Global Sustainability practice brings together global resources and expertise to support companies and investors in achieving their sustainability objectives.

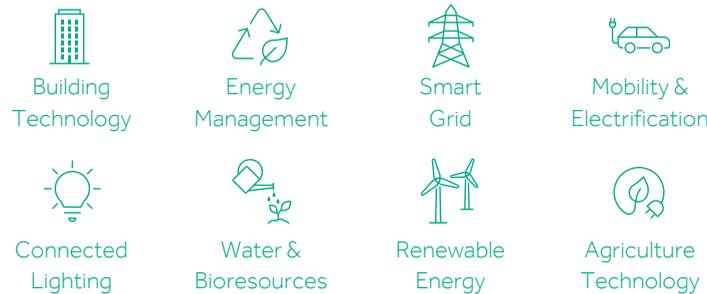
We believe that we can contribute to climate solutions by providing access to capital and advice which supports innovators and investors with the transition to a low-carbon world. CG Sustainability teams are able to engage with clients in our core sectors and geographies to highlight ESG opportunities across the spectrum.

Our efforts are complemented by timely and thematic research, conferences and dedicated sales support.



From Smart Cities, Connected Lighting & Controls, Energy-Efficient Buildings, Distributed Generation, Micro-Grids and Energy Storage, Transportation Technologies, Water to Resource Scarcity and Waste Management, we are seeing that overall energy is generated, procured, managed, measured and deployed in novel ways. It is also being 'digitized', enabling the creation of new businesses, models and technologies.

CG SUSTAINABILITY PRACTICE KEY FOCUS AREAS



There are many technology transitions underway with the smart grid evolution to more distributed generation, electrification of everything, promoting healthy buildings and workplaces, emergence of hydrogen and other emission free fuels, importance of specialty materials, metals and components, and the investment in infrastructure which addresses climate change and reduces carbon.

CG's Global Sustainability practice has completed over

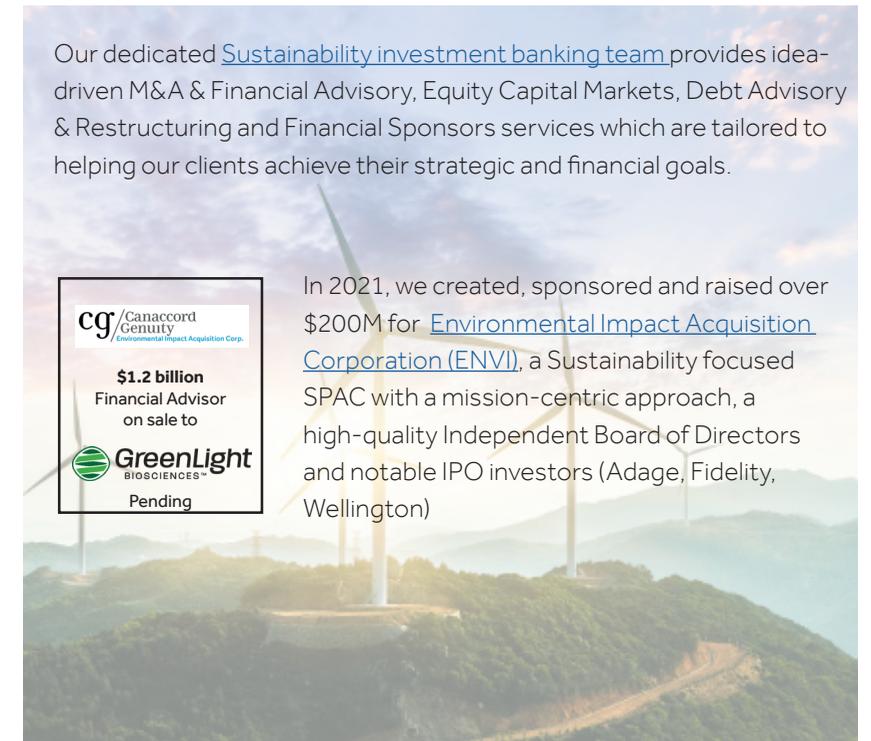
\$17 billion

In ECM and Advisory deals since 2011

Our dedicated [Sustainability investment banking team](#) provides idea-driven M&A & Financial Advisory, Equity Capital Markets, Debt Advisory & Restructuring and Financial Sponsors services which are tailored to helping our clients achieve their strategic and financial goals.



In 2021, we created, sponsored and raised over \$200M for [Environmental Impact Acquisition Corporation \(ENVI\)](#), a Sustainability focused SPAC with a mission-centric approach, a high-quality Independent Board of Directors and notable IPO investors (Adage, Fidelity, Wellington)



ADVANCING THE CG CLIENT OFFERING

CG Wealth Management: ESG Investment Offering



Canaccord Genuity Wealth Management’s ESG Portfolio Management service, allows clients to align investments more closely with their values.

HOW OUR ESG PORTFOLIO MANAGEMENT SERVICE WORKS FOR OUR CLIENTS:

All of our ESG (environmental, social and governance) portfolios allow clients to take a responsible approach to investing without sacrificing performance. They allow clients to invest in funds that work towards making the world a better place, while also doing our best for their long-term financial security.

All of the CGWM ESG portfolios are designed to work over a typical investment cycle of 7-10 years,

Investments in each portfolio benefit from the best of our thinking and long-term investment management experience.

Portfolios are designed to meet a range of objectives and attitudes toward investment risk:

- **Cautious Balanced ESG** portfolio aims for a balance between capital appreciation and reduced volatility
- **Balanced ESG** portfolio aims to produce a balance between capital appreciation and income
- **Growth ESG** portfolio aims to provide capital appreciation

Signatory of:



Canaccord Genuity Wealth Management is a proud signatory to the UN-supported Principles for Responsible Investment (PRI), joining a community of over 2,700 companies around the world that have publicly demonstrated their commitment to responsible investment.



HOW WE SELECT FUNDS FOR OUR CLIENTS’ ESG PORTFOLIOS





Canaccord Genuity



Canaccord Genuity

**Wealth
Management**



Canaccord Genuity

**Capital
Markets**

MORE INFORMATION IS AVAILABLE AT

www.cgf.com/investor-relations