

Sustainability Report 2023

StoneX[®]
— 100 years —



About This Report

This report covers only StoneX Group Inc.'s ("StoneX" or the "Company") business and does not address the performance or operations of our vendors, contractors or partners. Our statements about our sustainability goals, targets, initiatives, objectives and commitments (including regarding environmental, social and governance matters) are aspirational and may include statistics or metrics that are estimates, make assumptions based on developing standards that may change and provide goals that are not intended to be promises or guarantees and, as such, actual results may differ, possibly materially. Inclusion of metrics or other information in such statements is not intended to imply that such information is material to StoneX. Furthermore, data, statistics and metrics included in this report are non-audited estimates, are not necessarily prepared in accordance with generally accepted accounting principles (GAAP), and may be based on assumptions believed to be reasonable at the time of preparation, but may be subject to revision.

This sustainability report covers StoneX's global operations for the fiscal year ended September 30, 2023, and the information contained herein has not been externally assured or verified by an independent third party, unless otherwise noted. This report represents our current views and intentions and is not intended to create legal rights or obligations. This report, which speaks only as of its date and is not required to be updated, is not comprehensive, and for that reason, should be read in conjunction with our most recent Annual Report on Form 10-K, our subsequent reports on Forms 10-Q and 8-K, and other filings made with the U.S. Securities and Exchange Commission (the "SEC").

Cautionary Statement about Forward-Looking Statements

Certain statements in this report, other than purely historical information, including estimates, projections, statements relating to our business plans, objectives and expected operating results, and the assumptions upon which those statements are based, are "forward-looking statements" within the meaning of the Private Securities Litigation Reform Act of 1995, Section 27A of the Securities Act of 1933, as amended, and Section 21E of the Securities Exchange Act of 1934, as amended. Examples include statements relating to our commitments, targets, plans, expectations, aims, objectives and progress regarding environmental, social and governance matters. Forward-looking statements are based on current expectations and assumptions that are subject to risks and uncertainties which may cause actual results to differ materially from the forward-looking statements. These risks and uncertainties include regulatory changes, changes in applicable sustainability frameworks, availability of information, changes in our business, or other factors, some of which may be beyond our control, as well as the other matters included under "Risk Factors" detailed in Item 1A of our most recent Annual Report on Form 10-K and in subsequent quarterly reports on form 10-Q. We undertake no obligation to update or revise publicly any forward-looking statements, whether as a result of new information, future events or otherwise.

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Executive Letter

Executive Letter

It is my pleasure to present the first sustainability report (the “Sustainability Report”) for StoneX Group Inc. At StoneX, we recognize that in addition to our efforts to achieve our financial goals and objectives, we have a broader responsibility to our shareholders and other stakeholders. This inaugural Sustainability Report reflects our increased focus on reporting on our efforts to run our business pursuant to the responsible business practices we’ve built the Company on since the current management team assumed control in 2003. These practices highlight our dedication to transparency, accountability, and continuous improvement in all aspects of our operations.

This report describes the steps StoneX has taken to incorporate sustainability practices, commonly referred to under the categories of environmental, social and governmental (“ESG”) considerations, into our day-to-day operations. From measuring and committing to reduce our environmental footprint to fostering diversity and inclusion within our workforce, we believe that integrating sustainability practices into our operations will help create long-term value for our shareholders and society at large.

As Chief Governance and Legal Officer, I invite you to explore the contents of this Sustainability Report, which is also available on our Company website.

We are pleased to present this report and look forward to continuing our pursuit of sustainability practices that bring value to all StoneX stakeholders.

Sincerely,
Diego Rotsztain
Chief Governance and Legal Officer

Sustainability at StoneX



Policy Statement

StoneX's approach to business is rooted in an effort to provide our clients with products and services that add value and help them achieve their goals and objectives. In this regard, we are focused on conducting our business ethically, with transparency, and by building the trust of our clients. We also recognize that our business, and how we choose to operate it, creates impacts that reach beyond our client relationships and our bottom line. As such, we recognize that a commitment to sustainability, including ESG principles, which we collectively refer to in this report as Sustainability Practices, plays an integral role in fostering successful and responsible business practices. Our approach to Sustainability Practices aims to complement the positive outcomes we generate for our clients through the products and services that we provide.

Our Sustainability Practices include a focus on environmental, social and governmental matters. In the environmental area, we have focused on gaining a better understanding of our greenhouse gas (GHG) emissions and the consideration and pursuit of energy-efficient practices, including sustainable resource management. In the social area, we work to create a workplace culture that values diversity, equity, and inclusion. In the governance area, StoneX's practices adhere to the highest standards, emphasizing transparency, accountability, and integrity in our operations and how we manage our business. Our governance practices are also described in detail in StoneX's public disclosures and filings with the SEC.

While we are pleased with our pursuit of Sustainability Practices to date, we strive to enhance our efforts on an ongoing basis and, therefore, look forward to continued progress in these and other areas.

Board Oversight

The Nominating and Governance Committee (the "Committee") of the StoneX Board of Directors is responsible for oversight of the Company's Sustainability Practices. The Committee holds meetings at least four times a year where it discusses developments, trends and best practices in areas relevant to the Company's Sustainability Practices. The Committee reviews any significant new actions or projects relating to sustainability that management may bring to its attention. The Committee discusses with management any third-party advice received on these matters, and receives updates on management's interactions with stakeholders such as shareholders, counterparties, vendors and others relating to sustainability matters. The Committee reports to the Board of Directors on Committee actions and any significant issues considered by the Committee.

An aerial photograph of a lush, dense green forest. A winding river or stream flows through the center of the forest, creating a natural path. The trees are vibrant green, and the water is a deep blue. The overall scene is serene and natural.

Environmental Sustainability Practices

Environmental Sustainability Practices

StoneX's approach to environmental management is rooted in our philosophy of good corporate citizenship, and a focus on reducing the environmental impact of our operations. In this regard, for the first time in our history, we have undertaken a process to calculate the carbon footprint of our operations, and we report this information for our fiscal year 2023 in the pages that follow. This information will establish a baseline for our quantitative understanding of our carbon emissions and will allow us to track our carbon emissions going forward and compare our future emissions to this baseline. In addition, we have used this information to establish targets for reducing our carbon emissions. We will continue to evaluate how we report information regarding our carbon emissions and other environmental impacts and may make changes to our reporting in the future.

StoneX is also committed to helping our clients pursue their sustainability objectives through our suite of products and services. As partners in our clients' success, we continually evaluate opportunities to add new products and services to our offering where doing so makes financial sense for both StoneX and our clients.

Carbon Emissions

As discussed above, StoneX has undertaken a process to quantify its carbon emissions and establish a baseline that can be used to track its carbon emissions in the future and establish emission reduction goals. Set forth below is detailed information regarding StoneX's carbon emissions during fiscal year 2023.

Fiscal Year 2023 Inventory Parameters

StoneX has adopted the "Operational Control" approach in setting an organizational boundary, which involves accounting for GHG emissions from operations over which StoneX has control across its entire business in all locations.

StoneX's GHG emissions have been calculated and analyzed in accordance with the international GHG Protocol framework and by applying the most relevant emissions factors. For our UK operations we use emissions factors provided by the UK Department for Environment Food and Rural Affairs. We also use International Energy Agency and Environmental Protection Agency factors for our international offices. Where data is not available, standard estimation methods have been applied to account for these emissions. As part of this process, we have identified data and information gaps that will enable us to implement additional policies and procedures to enhance data quality and coverage of our inventory in future periods.

The operational boundary encompasses the emissions over which StoneX has control and provides information that may be utilized for the consideration of emission reduction initiatives. The operational boundary for our fiscal year 2023 GHG inventory includes:

Scope 1: Direct GHG emissions generated from sources that are owned or controlled by StoneX, including fuels combusted in motor vehicles and aircraft.

Scope 2: Indirect GHG emissions resulting from the consumption of purchased electricity.

Scope 3: Indirect upstream emissions resulting from business travel, data centers and events.

Environmental Sustainability Practices

Currently, there is no established approach for attributing Scope 3 emissions to some of the products of our business, specifically those associated with financed commodities inventories. We will closely monitor this situation and include such emissions in future years as they are incorporated into the reporting protocol.

Metrics and Targets

As discussed, carbon emissions in fiscal year 2023 will serve as the base year for comparing to emissions in future years and for consideration of emission reduction targets. In order to facilitate comparability of our carbon emissions from year to year, and the setting of emission reduction targets, we have utilized intensity-based energy and GHG emissions metrics, specifically tCO_{2e} per employee, as our intensity metric.

In fiscal year 2023, our total operational upstream emissions were 10,205 tons of carbon dioxide equivalent (tCO_{2e}). Our tCO_{2e} per employee for fiscal year 2023 in relation to Scope 1+ 2 and Scope 1+2+3 were 1.29 and 2.46, respectively.

GHG EMISSIONS BY SCOPE (Ton CO_{2e})¹

Total GHG emissions Scope 1	
All direct emissions (mobile emissions)	773.11
Total GHG emissions Scope 2	
All purchased energy	4,572.17
Total GHG emissions Scope 1 and 2	
5,345.27	
Total GHG emissions Scope 3 (Upstream emissions)	
Business travel, data centers, events.	4,860.59
Intensity metric Scope 1+2 (tCO _{2e} per employee ²)	
1.29	
Total GHG emissions Scope 1, 2, 3	
10,205.87	
Intensity metric Scope 1+2+3 (tCO _{2e} per employee)	
2.46	
Electricity	
Total energy consumed (MWh)	17,006.03
Intensity metric (MWh per employee)	
4.10	

¹ Gasses included in the calculation are CO₂, CH₄, N₂O, HFCs, PFCs and SF₆.
The base year is the Fiscal Year 2023.

According to GHG Protocol, the GWP used to calculate the CO_{2e} equivalent are IPCC AR5 report.
We provided our electricity consumption for 77 out of 89 locations (86%). We have estimated energy consumption for those offices using the global average energy consumption per employee.
We provided the electricity consumption data for 100% of our data centers worldwide.

² As of the end of fiscal year 2023, StoneX had 4,145 regular full-time employees.

Environmental Sustainability Practices

With this data in hand, we have established two targets to reduce our carbon emissions. First, we have established the goal of achieving carbon neutrality within our own operations by the end of fiscal year 2025. To accomplish this goal, we plan to offset our total Scope 1, 2, and 3 emissions by purchasing high-quality carbon credits from reputable sources according to international standards and carbon market practices, selected based on their relevance to the Company's operations and areas of geographic influence. Second, we have established a longer-term goal of pursuing carbon emission reduction measures with the aim of reaching net zero emissions by 2050.

Our emission reduction measures will include energy efficiency improvements, engaging with our data center providers to encourage them to procure renewable energy for their services, exploring the potential to transition from carbon-based to renewable energy in our global offices and other measures.

Environmental Solutions for Clients

StoneX plays an important role in working to reduce environmental impacts by providing clients with access to exchange-listed carbon instruments, such as carbon credits, through the execution, clearing and custody capabilities of the Company's Carbon Solutions division. Through this activity, StoneX helps bring liquidity to this important marketplace, which is critical to its orderly function and success.

The Company's Carbon Solutions division offers climate advisory, carbon brokerage and trading, and financial structuring services in support of our clients' implementation of their decarbonization and climate mitigation initiatives.

The Carbon Solutions division aims to educate StoneX clients on how the carbon credit markets work, how to estimate their carbon footprints, and how to use the carbon markets to offset their environmental impacts or earn credits in ways that achieve their environmental objectives and align with local, regional and global initiatives.

In the U.S., StoneX is a leader in the renewable diesel and biodiesel markets. The Company supplies renewable fuel makers with the raw materials they need for production and helps participants at nearly every point in the supply chain manage their price risk and either offset or reduce the carbon footprints associated with their inputs and outputs. StoneX has 100% origination agreements for 630 million gallons of biodiesel, renewable diesel and sustainable aviation fuel capacity. In addition, the Company conducts financial trading and hedging for 855 million gallons of capacity and opportunistically trades feedstock with over 3 billion gallons of capacity. StoneX touches more than 75% of the total production of biodiesel, renewable diesel and sustainable aviation fuel in the United States. The Company also provides risk management consulting for more than 1.25 billion gallons of ethanol production.

In Brazil, StoneX is a significant participant in RenovaBio, the country's signature energy transition initiative under the Paris Agreement. The Company provides both trading, origination, documentation and custody services to clients in the program's CO₂ credits ("CBIOs"), which are created through the manufacturing and use of biofuels.

StoneX also offers clients access to physically deliverable environmental futures and options contracts on the Nodal Exchange. These contracts span markets that include sustainable energy, carbon emissions, renewable fuels, and pollutants, such as sulfur dioxide and nitrogen oxide. Access to this exchange allows clients to pursue their environmentally-focused goals, such as achieving carbon neutrality or building out their own sustainability-focused investment products.

Social Sustainability Practices



Social Sustainability Practices

As a business, StoneX is client and shareholder focused, but employee driven. The Company's success depends on our employees' ability and desire to provide exemplary service to our clients. We strive to empower our employees to do so through an entrepreneurial culture that rewards them for their efforts and their initiative through competitive pay and benefits, merit-based bonuses and promotions, and the opportunity to purchase restricted stock in the Company at reduced rates. In addition, our employees participate in a thorough performance evaluation process and have access to training and mentorship opportunities to develop their skills and advance their careers.

Anti-Discrimination

StoneX is an equal opportunity employer. In accordance with applicable law, we prohibit discrimination against any applicant or employee based on any legally recognized basis, including, but not limited to race, color, religion, sex, sexual orientation, gender identity and other protected categories. StoneX also prohibits unlawful discrimination by any employee, including supervisors and co-workers. Employees may report anonymously, where local laws allow, any issues through the Company's secure Whistleblower Hotline. The Whistleblower Hotline is serviced by a third-party provider and is available online or by phone in the United States (where any of our foreign employees may call if they do not have local access), United Kingdom, United Arab Emirates, Singapore, Paraguay, Ireland, China, Brazil, Australia and Argentina.

Executive & Board Diversity

As a global financial services business, we believe it is important to include diverse perspectives in our governance and management structures. We are pleased with the ongoing value this approach provides to our Company through the resulting diversity of talent, acumen and perspectives present within our executive ranks, and on our Board of Directors. Our Board includes two women and two self-identified diverse directors, and we are in compliance with the board diversity requirements established under NASDAQ rules.

Employee Diversity

StoneX recognizes that diversity among our employees provides us with broader knowledge and skills to enhance our performance and improve the service we can provide to our clients. Diversity among our employees also helps us to better understand the markets in which we operate. In addition to seeking out and including diverse perspectives and talent in our ranks, we also want to ensure that employees from diverse backgrounds feel empowered to share their experiences with employees with similar diverse backgrounds, as well as with other employees with different backgrounds. Our affinity group policy provides one avenue for doing so that gives voice and agency to those of us with diverse backgrounds and experiences in ways that enlarge the perspective of all our employees and brings us closer together as a Company.

In keeping with these values, StoneX has facilitated the creation of Employee Resource Groups ("ERGs"). ERGs are employee-led communities built around shared interests, backgrounds, or identities designed to foster belonging at StoneX and drive inclusion, collaboration, and personal and professional development. Employees can join existing ERGs, and have the opportunity to propose new ERGs by partnering with a sponsor in senior management, developing a business case laying out objectives, roles and responsibilities, funding and resource requirements, and key performance indicators. By participating in an ERG, employees add to StoneX's culture of inclusion, fostering a workplace where every individual feels valued and respected.

Social Sustainability Practices

Our employee-led Philanthropy @StoneX ERG seeks to share knowledge and raise awareness for charitable opportunities, maximize giving potential through the power of compounding kindness, bring new ideas to management that pertain to philanthropic opportunities, and share best practices and learnings consistent with StoneX's values. This ERG has already grown to more than 100 members and plans to host a variety of events, including workshops, silent auctions, and activities to give back to local communities.

Our Women of StoneX ERG continues to help our employees become more engaged in leveraging diversity and increasing inclusion, while simultaneously providing them with new avenues for professional development. The group now has more than 400 members and has grown to include multiple regional chapters in North America, EMEA, APAC and South America.

Fiscal Year 2023 Employee Metrics

StoneX's Human Resources Department does not track ethnicity metrics on a global level. However, the Company does have self-reported data on employee ethnicity, which we have included below.

U.S. Workforce (Self-Identified)

Ethnicity	Percent
American Indian or Alaska Native	0.27%
Asian	11.64%
Black or African American	5.27%
Hispanic or Latino	9.50%
Native Hawaiian or other Pacific Islander	0.05%
Undisclosed / Not Available	2.52%
Two or more races	0.49%
White	70.25%

Gender Diversity (Global)

Gender	Percent
Male	68%
Female	32%

Social Sustainability Practices

Age Diversity (Global)

Age	Percent
18-24	7%
25-29	16%
30-34	19%
35-39	16%
40-49	24%
50-59	13%
60-69	5%
70+	0%

Employee Safety & Wellness

StoneX believes that doing our part to maintain the health and welfare of our employees is a critical element for achieving commercial success. As such, we have established a comprehensive health and wellness program to support our employees.

StoneX offers a supportive workplace environment and programming to empower employees to thrive financially, personally, and professionally. We're passionate about creating and maintaining an environment where the ripple effects of wellness extend throughout the Company.

To empower employees to lead healthier and more balanced lives, and to foster a supportive and inclusive work environment, StoneX offers:

- A discount on employee medical premiums for the completion of wellness initiatives;
- Employee assistance programs that include confidential financial, mental, and physical assistance;
- Financial education webinars on saving for retirement and other life milestones;
- A program where employees give back to their communities and/or charities through a "Collective Giving" program with a Company match for charitable contributions and volunteer hours; and
- ERGs where employees interact over areas of common interest across all segments and geographies.

StoneX believes that the effects of our daily choices ripple through our communities, workplaces, and homes. By supporting the well-being of our employees, we can make their lives more sustainable, now and in the future.

StoneX promotes a culture of hard work and achievement that also values an appropriate work-life balance for our employees, and we conduct employee surveys annually to collect feedback on our employees' experience. Through these surveys we can track our employee's "engagement" from year to year and identify positive and

Social Sustainability Practices

negative areas of feedback. Survey feedback is used to implement a Company-wide, multi-pronged approach to action planning across teams, countries and regions. In fiscal year 2023, 70% of StoneX employees participated in the engagement survey.

Using the survey feedback, the Human Resources department creates detailed dashboards for department heads to analyze results in their area and works with department heads to create action planning that is more tailored to each specific area of our Company. Additionally, the Human Resources department works with senior management to identify Company-wide initiatives to address key areas raised in the survey that have broad applicability across the global organization.

Evaluation of Employee Performance, Training and Talent Development

We also support our employees by encouraging their growth and professional development through performance management, training and talent development, as further described below.

Performance Evaluations. Employee performance is evaluated annually. Employee performance is assessed based on a variety of key performance indicators, including achievement of objectives specific to the employee's department or role, an assessment of Company core competencies, feedback from peers and subordinate employees and managers in other departments and an assessment conducted by the employee's direct manager.

Business Unit Training. Business units provide hands-on training to their employees to equip them for success in their roles and provide increased opportunities to develop their careers.

Manager Training. Management training is provided to certain senior leaders and mid-level managers. This training covers, among other topics, talent review, development of underperforming employees, handling employee misconduct and coaching and success workshops.

Know-Your-Business Programs. We make available to employees a monthly "Know-Your-Business" program led by senior managers, including our CEO, to provide our employees with the opportunity to learn about our diverse product and service offerings, as well as familiarize themselves with the various operational and administrative support areas.

Know-Your-Leader Programs. On a monthly basis, StoneX hosts a "Know-Your-Leader" program where senior managers across the firm share their career journeys and personal achievements, giving employees across the Company the opportunity to get to know senior management on a deeper level.

Virtual Networking and Mentoring Programs. We have established networking and mentoring programs to provide an additional means for employees to connect with each other, learn about different parts of our business and to help each other further develop their careers.

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Supply Chain Human Rights

StoneX is a buyer and seller of select physical commodities, including precious metals, and we recognize that the history of commodity production and extraction is rife with human rights abuses, and that there remain parts of the world where such practices persist today. We also recognize the significant adverse impacts which may be associated with extracting, trading, handling and exporting commodities from conflict-affected and high-risk areas. StoneX is committed to ensuring that there is no modern slavery, child labor or human trafficking in our supply chain, and that our business activities do not help finance conflict in regions destabilized by war and abuse of human rights. StoneX commits to engage with suppliers, governmental authorities, international organizations and affected third parties to prevent these human rights abuses. We commit to suspending or discontinuing engagement with suppliers if we uncover that there is a reasonable risk a supplier is sourcing from, or linked to any party, committing these and other human rights abuses. All employees and agents engaged in the relevant business areas are trained regularly on how to recognize and deal with adverse impacts which may be associated with extracting, trading, handling and exporting minerals from conflict-affected and high-risk areas. More on these points can be found in our Responsible Sourcing Policy and our Modern Slavery Policy available at <https://www.stonex.com/compliance-library/>.

Community Giving

As part of our promotion of a healthy work-life balance among our employees, we recognize that “life” takes place not only at home, but also in our broader communities. We understand that employees feel more connected to both their communities and StoneX when we can help empower them to impact their communities in positive ways through volunteer efforts and charitable giving. For years, our employees have banded together with like-minded officemates and drawn on our resources and support to hold fundraisers, participate in fitness challenges, and host charity outings and dinners.

In 2022, we launched Collective Giving, our new corporate charitable giving platform, to provide a more structured and supported means for employees at StoneX to make a difference in our communities. The platform empowers our employees to choose which causes they want to support and provides for financial support from StoneX in the form of “matching” funds - up to \$10,000 per employee, with an aggregate Company maximum of \$1,000,000 annually.

Governance Sustainability Practices



Governance Sustainability Practices

StoneX is dedicated to upholding high standards of corporate governance. The Company recognizes that doing so plays an integral role in sustaining the trust of our shareholders, clients, employees, and the broader community. As such, the Company has put into place a corporate governance framework designed to promote transparency, accountability, and ethical conduct across all levels of the organization. StoneX has also implemented corporate governance policies and procedures that are reviewed at least annually and updated to reflect evolving industry standards and stakeholder expectations. StoneX is committed to transparency and publishes governance information, including its Code of Ethics and other policies and information on its website, to ensure that stakeholders have access to the principles guiding our decision-making processes.

StoneX's Board of Directors, consisting of one executive director and eight independent directors with a non-executive Chairman, plays a pivotal role in overseeing StoneX's governance practices, as well as its strategy, finances, operations, and regulatory compliance through regular quarterly meetings, and through additional special meetings when required. In addition to meeting all NASDAQ corporate governance requirements, StoneX's Board of Directors includes directors with a variety of perspectives and professional backgrounds that contribute to informed and effective decision-making. The Board of Directors is actively engaged in strategic oversight, risk management, and compliance matters. It also strives to foster a culture of responsible leadership that prioritizes the long-term interests of our stakeholders. As part of its governance structure, StoneX has established specialized Board of Directors committees, including the Audit, Risk, Compensation, Nominating & Governance, and Technology & Operations Committees, each composed of at least three independent directors. These committees enhance oversight in critical areas, promoting the overall integrity and sustainability of StoneX's operations. StoneX conducts regular assessments of its governance practices to identify areas for improvement and take into account emerging trends. Executive compensation, which is determined by a fully independent Compensation Committee, is closely linked to the Company's financial performance, particularly with regard to its return on equity. Directors and the CEO are required to hold an equity stake in Company stock equivalent to three times their annual cash compensation, with a phase-in period for new directors. The Company places a strong emphasis on clear, accurate, and timely financial reporting, supported by internal controls and risk management overseen by the Audit and Risk Committees. StoneX actively seeks to provide accurate and timely information to stakeholders through various channels, including Form 8-K filings, press releases, and website postings, fostering transparency and understanding of the Company's activities.

Anti-Money Laundering and Know Your Customer (KYC) Programs

At StoneX, we are dedicated to upholding the highest standards of compliance with anti-money laundering ("AML") regulations. We take pride in fostering a secure financial environment that promotes trust, integrity, and the responsible conduct of financial transactions for the benefit of all our stakeholders.

StoneX is subject to a variety of statutes and regulations concerning our relationships with clients and the review and monitoring of their transactions. The statutes and regulations include the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001 (the "USA PATRIOT Act"), which imposes various requirements on our U.S. operations, including that we maintain a comprehensive AML program, a customer identification program, designate an AML compliance officer, provide specified employee training and conduct an annual independent audit of our AML program. The USA PATRIOT Act seeks to promote cooperation among financial institutions, regulators and law enforcement entities in identifying parties that may be involved in terrorism or money laundering. Anti-money laundering laws outside

Governance Sustainability Practices

of the U.S. contain similar provisions. In keeping with our obligations, we have implemented comprehensive AML programs designed to detect and prevent money laundering, terrorist financing, and other financial crimes within our operations.

A key component of our AML program is our compliance with “Know Your Customer” (“KYC”) rules such as FINCEN’s Customer Due Diligence rule. Our AML program incorporates thorough KYC processes, ongoing transaction monitoring, and employee training initiatives. We diligently assess the risk profiles of our clients in order to obtain a comprehensive understanding of their business activities and beneficial ownership structures. Through monitoring, we identify and report any suspicious or unusual transactions promptly to the relevant authorities. This commitment to AML extends across all levels of our organization, with regular employee training programs to create a heightened awareness and understanding of their roles in preventing and mitigating money laundering risks. We strive to create a financial environment that is not only secure and compliant but that also fosters trust and integrity in all our client relationships.

StoneX Ethics

At StoneX, our commitment to honesty, transparency, and integrity underpins every action we take as a financial institution. We share our financials publicly, hold ourselves accountable to the highest levels of corporate governance, and make doing “the right thing over the easy thing” the guiding principle of our relationships with clients, shareholders and employees alike.

In keeping with this guiding principle, StoneX is committed to conducting its business in a manner that emphasizes ethical conduct, transparency and compliance with applicable regulations globally.

Our Code of Ethics and global anti-bribery policies embody our dedication to upholding the highest standards of professional and moral conduct and set forth ethical standards which will govern the conduct of the directors, officers, and employees of the Company. Through these policies, we affirm our responsibility to not only safeguard the financial well-being of our clients but also to foster an environment where trust and ethical behavior thrive. These and other StoneX policies are available at <https://ir.stonex.com/corporate-governance/overview>.

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