

Member of DJSI World, DJSI Europe

Company Information

Country: Switzerland

Index market cap*: 40,459

*USD millions

Source: S&P Global BMI, 30 August 2019

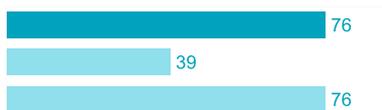
2019 Assessment Results

Source: SAM CSA, 13 September 2019

Total Scores



Economic



Environmental



Social



■ UBS Group AG
■ Industry Average Score
■ Industry Best Score

Industry Overview	Maximum Score	Average Score
Total	83	35
Economic Dimension	76	39
Environmental Dimension	97	32
Social Dimension	91	30

DJSI World	Maximum Score	Average Score
Total	83	68
Economic Dimension	76	65
Environmental Dimension	97	81
Social Dimension	91	69

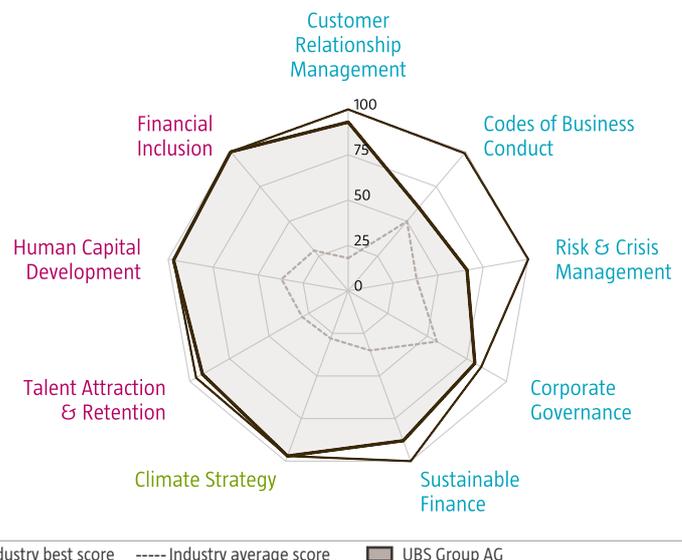
UBS Group AG leads the Diversified Financial Services and Capital Markets industry in SAM Corporate Sustainability Assessment based on its Total Sustainability Score in 2019. This report provides a broad overview of the performance of the Diversified Financial Services and Capital Markets industry and the relative positioning of UBS Group AG at the dimension and criteria level.

Industry Drivers

The diversified financial services and capital markets industry consists of a heterogeneous group of holding companies, credit rating agencies, stock exchanges, asset managers, custody banks, investment banks and brokerage companies. While sub-industry-specific business models expose companies to different sustainability issues, common material themes include corporate governance, risk management, compliance, and customer relationships. As in banking, other leading financial institutions are also using human capital schemes to put in place the necessary skills to best execute business strategy and to find and retain the right talent. With many players also facing digital transformation, these issues have become increasingly critical. The increased volumes of confidential data being handled by financial service providers means that protecting customers' financial and personal data and minimizing cyber risk are crucial to maintaining client trust. Ongoing regulatory pressure, public outcry, publicized litigation and sizeable settlements have sensitized many in the capital markets industry to the very real threats posed by unethical business behavior. In turn, this is leading to greater scrutiny of potentially questionable practices and a re-shaping of corporate culture and employee behavior to better align with client needs and public interests.

Company Performance

RobecoSAM has selected the most relevant criteria in each sustainability dimension based on their weight in the assessment and their current or expected significance for the industry. The spider chart below visualizes the performance of the industry leader against the best score achieved in each criterion and the median industry score.



Corporate Sustainability Assessment

The SAM Corporate Sustainability Assessment (CSA) is a comprehensive annual evaluation of companies' sustainability practices and performance. Every March, RobecoSAM extends invitations to over 3,500 of the largest, listed companies globally to participate in the assessment by completing an in-depth questionnaire. Assessment results are published in September, following the analysis of companies' submissions complemented by additional research performed by RobecoSAM.

The CSA is one of the longest standing ESG rating methodologies worldwide, dating back to 1999. It assesses companies on the basis of 80 – 120 industry-specific questions across 61 industries focusing on financially material economic, environmental, and social factors that are relevant to companies' success, but that are under-researched in conventional financial analysis. Every year, the CSA undergoes rigorous methodological review in order to ensure that the most current material sustainability topics, as well as emerging, long-term sustainability themes often of interest to investors are reflected, and companies are challenged on topics that lack disclosure today. The ESG Ratings derived from the CSA are used for the annual rebalancing of the iconic Dow Jones Sustainability Indices (DJSI), as well as the S&P Dow Jones Indices (S&P DJI) ESG Index family and are made available to investors, researchers, and non-governmental organizations through the S&P DJI and Bloomberg data platforms. The results of the CSA are also used for the creation of the SAM Sustainability Yearbook, one of the most comprehensive annual publications on corporate sustainability. Selected ratings are made available to the general public through the Sustainability Yearbook website: <http://yearbook.robecosam.com>

Additional Resources

For more information on the CSA and a complete list of all Dow Jones Sustainability Indices constituents visit www.robecosam.com/CSA

Assessed companies can access their own results and benchmark themselves against their peers directly through the online assessment portal.

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