



DFIN

ESG Factsheet 2026

CREATED IN

DFIN

ActiveDisclosureSM

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About this Report

This report takes a materiality-based approach to disclose our progress from January 1, 2025, to December 31, 2025, unless otherwise stated. This report was generally prepared in accordance with the Sustainability Accounting Standards Board (SASB) standards for two industries which are relevant to our Company — Professional & Commercial Services and Software & IT Services.

This report contains forward-looking statements and other statements that are not historical facts. These statements are subject to risks and uncertainties as further set forth in our SEC filings and are not guarantees of future performance. Statements regarding materiality and other terminology used herein may not be comparable to similarly titled measures reported by other companies or by DFIN in other contexts (e.g., SEC filings). All forward-looking statements are based on management's current assumptions, estimates, and projections. We do not intend to update or revise any forward-looking statements, whether as a result of new information, future events, or otherwise.



"By staying focused on responsible growth, operational excellence, and our shared purpose, I believe we are well positioned to deliver enduring value for all stakeholders."

Message from the CEO

I am pleased to share DFIN's annual ESG Factsheet, which reflects our continued commitment to building a strong, responsible, and sustainable business.

As a global leader in software and technology-enabled solutions for financial regulatory and compliance needs, DFIN plays a critical role in helping clients navigate complexity with confidence, security, and efficiency. We take that responsibility seriously by continuously investing in innovation, safeguarding sensitive information, and operating with integrity in everything we do.

Our ESG priorities are closely aligned with our business strategy and our belief in Winning as One. We focus on strong governance and disciplined financial stewardship to support long-term value creation for shareholders. We strengthen relationships with our clients by delivering trusted, market-leading solutions. We remain committed to fostering a high-performing, inclusive workplace where our employees are empowered, recognized, and rewarded in a pay-for-performance culture.

As DFIN continues its transformation, we are encouraged by the progress we are making and confident in the path ahead. By staying focused on responsible growth, operational excellence, and our shared purpose, I believe we are well positioned to deliver enduring value for all stakeholders.

Thank you for your continued trust and support.

Sincerely,

Dan Leib

President and Chief Executive Officer

About Us

Donnelley Financial Solutions, Inc. (NYSE: DFIN), is the leading global provider of compliance and regulatory software and services, fueling end-to-end investment company regulatory compliance needs, complex capital markets transactions, and essential financial reporting at every stage of the corporate lifecycle. Our mission is simple: to empower clients with the software and support they need to stay ahead of public company filings, investment company filings, private reporting, and beneficial owner reporting, while enhancing workflow efficiency. We bring deep expertise to every engagement, driving transparency and collaboration built on confidence and reliability. Learn more at DFINsolutions.com or follow us on LinkedIn.



#1

SEC Filing Agent for Corporations

#1

SEC Filing Agent for Fund Companies

#1

Content Management Software (Arc Suite®)

#2

Compliance Filing Software (ActiveDisclosure®)

#3

Virtual Data Room Software (Venue®)

500+

Industry Experts Worldwide

1,750

Employees Operating in 12 Countries

\$767M

Net Sales

200+

Fortune 500 Clients

~80%

of the top 50 global funds complexes work with DFIN

As of December 31, 2025

We partner with our clients to provide a comprehensive suite of offerings.

Capital Markets

<p>Software Solutions</p>	<p>ActiveDisclosure® is a SaaS-based product utilized by corporate clients who wish to manage their own SEC filings using purpose-built financial reporting software. Venue® Virtual Data Room is a secure storage and collaboration platform largely utilized in capital market transactions (IPO, debt, and M&A) by investment banks, law firms, and company deal teams.</p>
<p>Compliance & Communications Management</p>	<p>We assist corporate clients in compiling, formatting, filing, and distributing documents related to ongoing regulatory requirements (10-Ks, 10-Qs, 8-Ks, and Proxies). DFIN also provides these services to private and public companies undergoing IPOs, secondaries, debt issuances, and M&A transactions. Print products are provided to clients on an as-needed basis.</p>

Investment Companies

<p>Software Solutions</p>	<p>Arc Suite® offers a complete end-to-end suite of global software solutions to help our clients manage their front, middle, and back-office functions via integrated workflow tools that simplify the creation, management, and distribution of their financial regulatory compliance. Arc Suite consists of five industry-leading products: ArcReporting®, ArcPro®, ArcRegulatory®, ArcDigital® and ArcFlex.</p>
<p>Compliance & Communications Management</p>	<p>We assist mutual funds, hedge and alternative investment funds, and insurance companies in creating, formatting, and filing SEC required registration forms and subsequent ongoing disclosures. We also assist with the creation and physical/digital distribution of marketing documents. Print products are provided to clients on an as-needed basis.</p>

Our values enable us to provide a positive impact to our employees, clients, and shareholders.



Purposeful agility

We navigate constantly changing market conditions in order to help our clients succeed.



Collective genius

We create the best solutions by leveraging diverse perspectives, sharing knowledge, and fostering an inclusive environment in which all voices are heard.



Uncompromising integrity

We adhere to the highest standards of integrity, quality, and transparency in all that we do.



Bold action

We are confident and willing to push boundaries to pursue innovative and unconventional solutions.

2025 ESG Highlights

Our ESG strategy is aligned with the transformation of our business and includes three key pillars.



Environmental

Protect our planet

- Maintained for an **8th consecutive year**, wind renewable energy credits to fully offset electricity used in our manufacturing operations.
- **Zero** notices of environmental violations with fines since becoming a publicly traded company in 2016.
- Donated nearly 85% of our end-of-life laptops to **Compudopt™**.



Social

The wellbeing, rights, and interests of people

- Created cross-functional **Artificial Intelligence (AI) Oversight Committee** and developed **AI Responsible Use** policy.
- **Advanced AI literacy** through responsible adoption and practical use, driving measurable productivity gains across the workforce.
- In 2025, DFIN's **flexible work policy** enhanced the employee experience by supporting connected, responsive, and well-coordinated collaboration.



Governance

Transparent management and oversight of our Company

- **Introduced enhanced geolocation cyber controls** to reinforce DFIN's commitment to accountability.
- **Enhanced Board capabilities** by adding two experienced leaders with expertise aligned to DFIN's strategic priorities.
- **100%** employee completion rate for compliance training, which includes certifying the Company's Principles of Ethical Business Conduct and AI Responsible Use Policy.



Environmental

Protect our planet

Climate

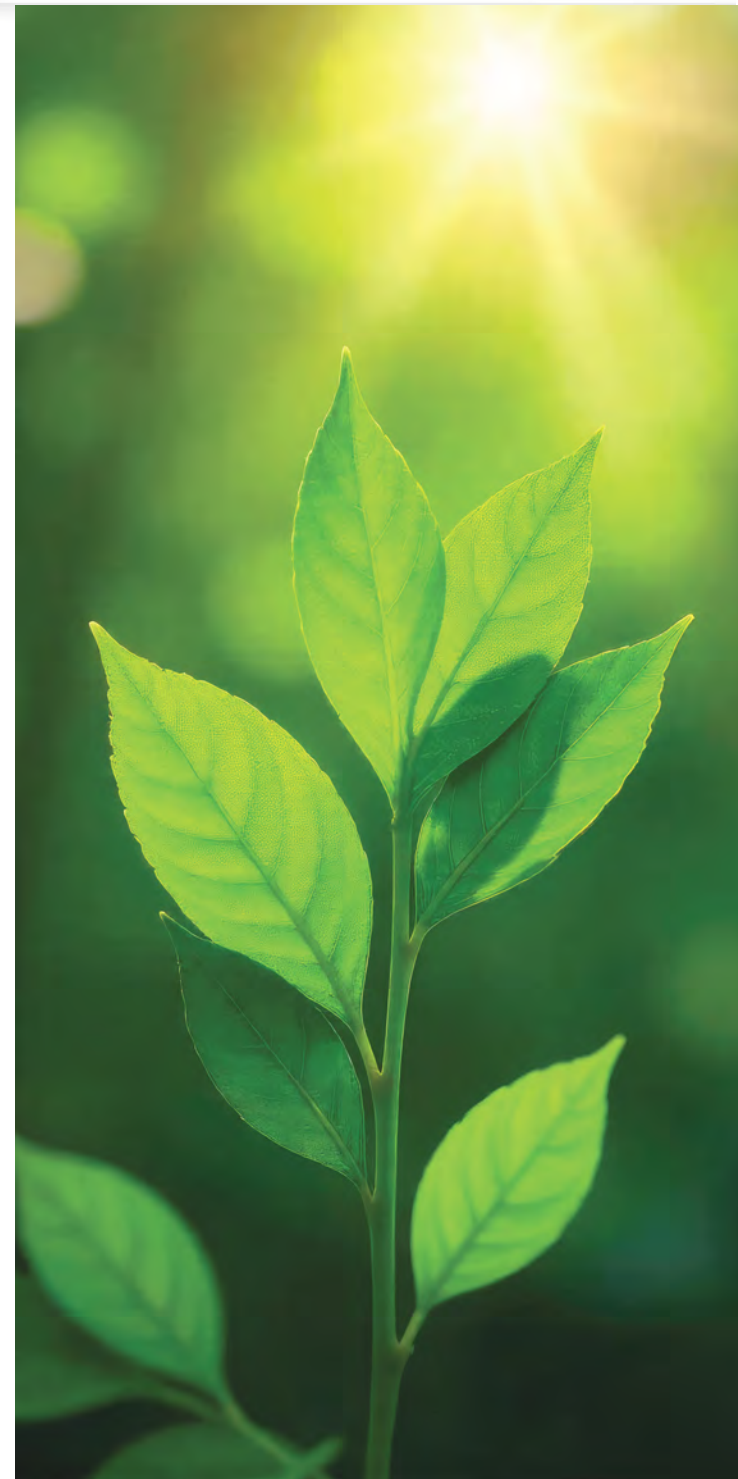
Our Carbon Footprint

DFIN has reported the Scope 1 and Scope 2 greenhouse gas (GHG) emissions from its manufacturing operations since 2018 through the annual Carbon Disclosure Project (CDP) Climate Change questionnaires. In 2024 we expanded our GHG inventory to include all global operations and Scope 3 emission sources to align with the GHG Protocol Corporate Accounting and Reporting Standard. This change allows us to measure and report our direct and indirect GHG emissions within an internationally recognized framework across three scopes.

Each year, DFIN conducts a comprehensive assessment of its Scope 1, Scope 2, and applicable Scope 3 greenhouse gas (GHG) emissions to enhance understanding of the climate implications associated with its global operations. This systematic review facilitates strategic decision-making, risk management, and the identification of opportunities for emissions reduction and improved environmental performance.

- **Scope 1** Direct GHG emissions from sources owned or controlled by DFIN.
- **Scope 2** Indirect GHG emissions from the use of purchased heat, cooling, and electricity.
- **Scope 3** All other indirect GHG emissions which are a consequence of the Company's activities but occur from sources not owned and/or controlled by DFIN. (*Scope 3 emissions are the primary contributor to DFIN GHG emissions*)

For more information on our GHG reporting methodology and emissions, please visit DFIN's website at www.dfinsolutions.com/about/sustainability.





Climate Risks and Opportunities

DFIN completed a Climate Risk Assessment to identify and evaluate the Company's actual and potential climate risks and opportunities. We operate a mostly remote organization with few global offices and one print manufacturing facility. The majority of our employees work remotely with little daily commuting or business travel.

As part of the Climate Risk Assessment, we identified ten potential physical risks and five transition risks. We also assessed physical climate vulnerabilities to critical suppliers that support our business. None of the risks reached the threshold of being considered material to the Company's financial performance or business strategy.

Efforts to mitigate and adapt to climate change may also produce business opportunities across products and services, markets, resource efficiencies, and/or the adoption of low carbon energy sources. We identified and evaluated four potential opportunities for future services and products and talent management.

For more details on our Climate Risks and Opportunities and how we manage them, please visit DFIN's website at www.dfinsolutions.com/about/sustainability.

Conserve Natural Resources



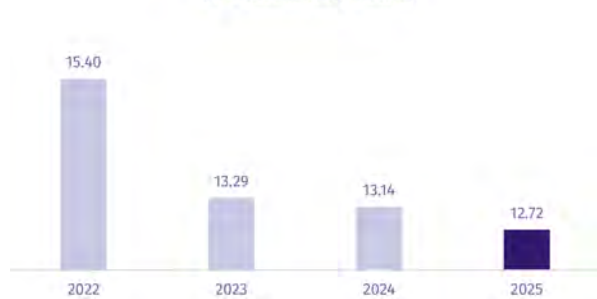
Reuse/Recycle

As part of our partnership with Compudopt™, DFIN donated nearly 85% (or 473) of its end-of-life (EOL) laptops. Compudopt™ is the largest and only 501(c)(3) nonprofit in the U.S. that provides technology access and education to under-resourced youth and their communities. The non-profit uses Blancco Disk Erasure, a certified enterprise grade data sanitization tool, to securely erase all donated devices. The data sanitization process follows the NIST 800-88 standard ensuring all company information is permanently destroyed. For the remaining EOL devices, we continue to follow the global Sustainability Electronics Reuse & Recycling (R2) Standard for the responsible management and processing of used electronics. The e-waste standard was created specifically for the electronics recycling industry and is a Company requirement for IT hardware/electronic equipment disposal suppliers who manage the Company's obsolete electronics. Donating EOL laptops and desktops gives the devices a second chance at supporting local communities and also reduces our environmental footprint.

Water Use

DFIN has no operations in countries designated by the World Resources Institute as High or Extremely High Baseline Water Stress. Due to the nature of our business with a mostly remote workforce, the Company's global water consumption from operations is not material. DFIN's only manufacturing facility is located in a low water stress area. Water consumption at the 200,000 sq. ft. facility has continued to decrease since 2022.

Water Use
(in thousand cubic meters)



Forests

For printed products, we offer our clients the ability to select FSC®-certified products. The Forest Stewardship Council® (FSC®) is a global, not-for-profit organization dedicated to the promotion of responsible forest management worldwide. FSC defines standards based on agreed principles for responsible forest stewardship that are supported by environmental, social, and economic stakeholders. To learn more, visit www.fsc.org.



The mark of
responsible forestry
FSC® C132107

Renewable Energy

As a clean and abundant renewable energy resource, wind power supports the transition to a lower-carbon energy system. Our 8-year commitment to purchase renewable energy credits produced from wind power helps DFIN reduce its carbon footprint and Scope 2 GHG emissions.

82%
of the Company's
electricity is derived
from renewable energy

Legal Obligations

Our [Global Sustainability Policy](#) commits us to fully comply with the applicable legal obligations in all countries in which we operate. We expect our suppliers and their employees, agents, representatives, and subcontractors to do the same in accordance with the Company's [Supplier Code of Conduct](#).

Zero
notices of environmental violations
with fines since becoming a
publicly traded Company in 2016



Social

The wellbeing, rights,
and interests of people

Data Protection and Cybersecurity

Data Protection and Cybersecurity: A Focus on Digital Trust

"Maintaining confidentiality, integrity, and availability of information remains foundational to our business and to the trust placed in us by our clients, partners, and regulators. In 2025, DFIN's data protection and cybersecurity strategy continued to evolve to address a rapidly changing threat landscape, increased cloud adoption, and the expanding use of artificial intelligence across our operations and products. DFIN remains committed to responsible technology practices that support our broader environmental sustainability goals while strengthening governance, transparency and accountability across our security program."

2025 Cybersecurity & Privacy Training

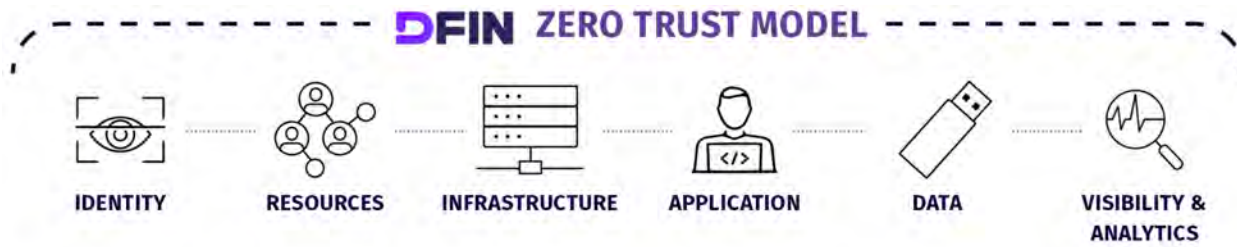
DFIN's compliance training supports our commitment to protecting our organization's values, policies and adherence to laws and regulatory requirements. It helps our workforce meet the expectations of those who rely on us to deliver sound and secure products and services.

Audience	Course
All Employees & Contractors	Q1 IT Training: Common Threats
	Q2 IT Training: Internet Security & You
	Q3 IT Training: Social Engineering Red Flags
	Q4 Data Privacy Training: Protecting Personal Information at Work



Dannie Combs, Senior Vice President & Chief Information Security Officer





As a best practice, multiple DFIN teams participated in quarterly cybersecurity tabletop exercises in 2025 to simulate real-world attack scenarios and to test our response playbooks. We also achieved ISO 27001 certification of the Company's Information Security Management System.

Our data protection governance continuously evolves to adapt to changing technologies and regulations relevant to DFIN's business. For example, in the area of Artificial Intelligence (AI), we have developed a cross-functional AI Oversight Committee, reporting to the Executive Team and the Board of Directors (the Board), to guide use of AI in our internal tools and customer products. We maintain an AI Responsible Use policy, which reinforces our values such as transparency, accuracy, and security and promotes use cases that improve our clients' effectiveness.

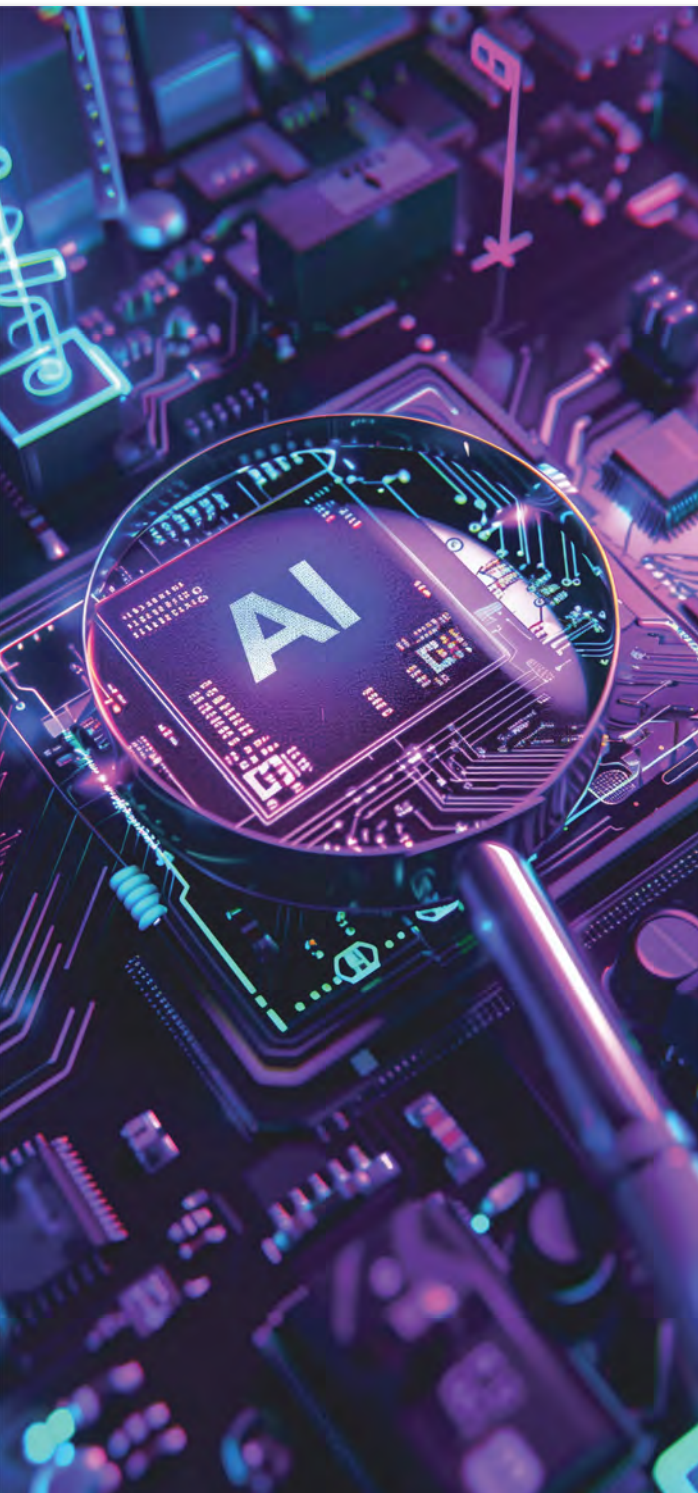
Our Cybersecurity program is based on industry-leading frameworks, which include ISO 27001, Control Objectives for Information Technology (COBIT), and the National Institute of Standards and Technology Cybersecurity Framework (NIST CSF 2.0). Key cybersecurity focus areas include:

Digital Trust and Responsible Technology Stewardship

Trust in digital systems is foundational to our relationships with clients, regulators, and the capital markets we serve. In 2025, we strengthened our approach to digital trust by embedding security, transparency, and accountability into the design and operation of our technology platforms. Our data protection and cybersecurity practices are guided by a responsibility-first mindset, ensuring the technologies we deploy operate reliably, safeguard sensitive information, and support informed decision-making across our ecosystem.

Our adherence to global cybersecurity certifications and frameworks demonstrates a commitment to data privacy and responsible business conduct.





Responsible AI Governance and Technology Risk Oversight

As AI becomes increasingly integrated into business operations and client-facing solutions, we have strengthened our enterprise governance model to promote responsible, secure, and transparent use of AI technologies. Our AI Oversight Committee provides centralized governance across the AI lifecycle, including oversight of internally developed solutions and third-party AI capabilities. AI risk considerations — including data protection, privacy, model integrity, and operational resilience — are embedded into our Security Architecture and Vendor Risk Management processes, with regular reporting to executive leadership and the Board.

Cyber Resilience and Operational Continuity

Our approach to cybersecurity emphasizes resilience — the ability to anticipate, withstand, and recover from disruptive events while maintaining continuity of critical services. Through ongoing investment in people, processes, and technology, we continue to strengthen preparedness for evolving threats, including supply-chain disruptions, cloud-based risks, and emerging attack techniques. Insights from simulations, exercises, and real-world events inform continuous improvement across our security and response capabilities.

Security Posture Management (SPM)

Modern cyber-attacks span multiple attack surfaces, are accelerated by AI-powered threats, and require continuous monitoring and correlation of diverse signals to prioritize and mitigate the highest risks. In 2025, we advanced our SPM practice to provide enterprise-wide visibility and strengthen our ability to reduce exposure efficiently and consistently.

To support increased reliance on cloud-based platforms, SPM includes Cloud Security Posture Management (CSPM) capabilities that provide continuous visibility into cloud environments. These capabilities enable automated detection of misconfiguration, alignment to security baselines, and support for regulatory compliance. By integrating posture insights with vulnerability management and incident response processes, we are able to prioritize remediation activities, reduce exposure to cloud-based threats, and strengthen the overall resilience of our technology ecosystem.

DFIN established the SPM practice to:

- Discover risk across attack surfaces
- Bolster real-time threat detection
- Accelerate risk reduction by surfacing highest-risk findings
- Realize cost savings through rapid discovery and removal of obsolete, risky assets
- Enhance resilience to cyber threats
- Comply with regulatory requirements and industry standards

Responsible Digital Supply Chain and Third-Party Oversight

Digital resilience extends beyond our organization to the third parties and technology partners that support our services. Cybersecurity and data protection considerations are embedded into vendor onboarding, risk assessments, and ongoing monitoring activities, reinforcing accountability across the digital supply chain. This approach supports responsible sourcing, reduces systemic risk, and strengthens trust with clients and stakeholders.

For more information about DFIN's data security practices, please visit the **Trust Center** at www.dfinsolutions.com/trust-center.



Culture

Our culture is the foundation of how we engage employees and enable performance. It is shaped by our [Core Values](#), [Leadership Behaviors](#), and the innovation of our talented employees who are empowered to do their best work each day.

In 2025, we continued to strengthen that foundation by intentionally creating opportunities for inclusion, learning, and connection that support both individual well-being and collective success. Through our Employee Resource Groups (ERGs), we foster meaningful connections across teams and geographies, reinforcing a workplace where employees feel supported, valued, and empowered to contribute.



Black Women Encouraging Leadership & Learning



Mental Inclusivity & NeuroDiversity Support



Owning Our Pride & Equality Now



Women's Impact Network

Our ERGs play a critical role in sustaining engagement throughout the year by delivering initiatives focused on mental health, women, and LGBTQ+ communities. In 2025, the ERGs led global webinars, workshops, cultural observances, and community focused programming designed to promote dialogue, awareness, and shared understanding. We also reinvigorated our inclusion programming by establishing “DFIN Together” as our inclusion model; refreshed ERG branding to increase alignment and visibility; and enhanced onboarding experiences to reinforce belonging from day one for all new employees. Together, these efforts create an environment where engagement is embedded into our ecosystem, setting the foundation for deeper alignment with our business priorities and purpose.

Workforce

We are committed to building and sustaining a positive workplace culture where our employees feel valued, respected, and heard. Many generations work collaboratively at DFIN, bringing a range of skills, life experience, and perspectives. The Company's largest age demographic is between 45-60 years old and the average tenure at DFIN in 2025 was approximately 14.0 years. None of the Company's employees are represented by a labor union or covered by a collective bargaining agreement.

As of December 31, 2025, DFIN had approximately 1,750 employees in 12 countries. Nearly 84% of our employees reside in 39 U.S. states and Washington D.C. We have continued to embrace a flexible work model in which employees work remotely (with the exception of essential employees whose roles require them to be on site).

Employees by Country			
United States	1470	Hong Kong	109
United Kingdom	48	Canada	39
Poland	36	Singapore	16
China	15	Ireland	7
Luxembourg	4	France	3
Germany	3	Korea, Republic of	1



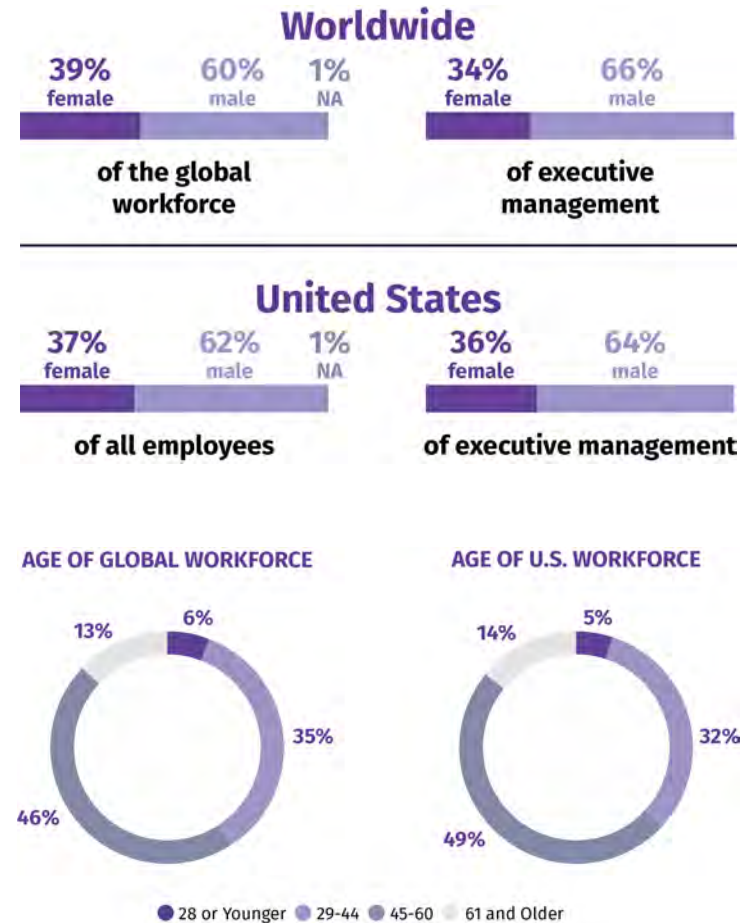
Teammates connect at DFIN's Product & Engineering Kickoff to jumpstart a year of innovation.

The Company's voluntary turnover rate is 5.38% globally and 5.08% in the U.S., while the involuntary turnover rate is 5.10% globally and 4.74% in the U.S. Turnover rates provide insight into the health of our culture and the effectiveness of our management practices. While rates vary across industries, in general a total turnover rate below 10% is desirable.

We continue to welcome new employees, managers and directors to DFIN and value the variety of experience and expertise that these individuals bring to our work.

Supply Chain Management

As part of its ESG governance framework, DFIN evaluates technology, cybersecurity, and data privacy risks within its supply chain. The Company applies risk-based due diligence and contractual controls for suppliers that may access DFIN networks, systems, or sensitive information, with an emphasis on protecting data confidentiality and integrity. DFIN's approach reflects the growing role of cybersecurity and data protection as fundamental elements of responsible governance and third-party risk management within the financial services sector.



We use the SASB definition for Executive Management which includes Executives/Senior Level Officials and Managers who plan, direct, and formulate policies, set strategy, and provide the overall direction of DFIN.

Learning and Leadership Development

*Employee Learning

Employee learning at DFIN is grounded in the belief that development, feedback, and performance are closely connected. Our learning ecosystem provides on-demand access to more than 216,000 courses and 800 learning pathways through enterprise eLearning platforms. In 2025, we invested more than \$600,000 in enterprise learning programs, with employees completing over 3,000 hours of self-directed learning across our digital platforms.

*Leadership Development

In 2025, 49% of people leaders participated in one of four leadership development programs, including our foundational program, which builds DFIN's leadership behaviors and strengthens core people leadership skills.

To reinforce the importance of continued growth at all levels, senior leaders also participated in a customized executive education experience delivered in partnership with a leading business school. All senior leaders completed the program, demonstrating a shared commitment to ongoing development and modeling the importance of leadership learning across the organization.

* These figures exclude function specific training such as sales, EHS, product training, and other certifications.

Building AI Literacy

In 2025, DFIN advanced AI literacy through a deliberate focus on responsible use and practical application. This began with a required AI policy acknowledgement, completed by 100% of employees, establishing clear expectations for ethical and secure AI adoption. We then partnered with Microsoft to host a Copilot enablement webinar, attended by 100+ employees, focused on AI-driven productivity. Over six months, employees generated 165,816 Copilot prompts, resulting in an estimated average of 2.5 hours saved per user per week, demonstrating the tangible value of AI-enabled work.



Connecting People to Purpose

At DFIN, our employees are central to how we deliver for clients, create value for shareholders, and Win as One. Our investments in employee experience have been recognized by The Wall Street Journal's list of Top Most Loved Workplaces® in America and a Built In Best Place to Work for seven years.



Most Loved Workplace DFIN received additional recognition based on employee feedback in the Love of Workplace Index. Backed by the research and analysis of Best Practice Institute, the survey measures the level of respect, collaboration, support, and sense of belonging employees feel inside the Company.



Built In recognizes companies that offer the best compensation packages, total rewards, and culture programs among their peers. DFIN was recognized in 2026 as one of the best in the following categories:

- Chicago Best Large Places to Work
- Chicago Best Places to Work
- U.S. Best Companies to Work
- U.S. Best Large Places to Work



By bringing teams together at the Product Engineering Kickoff, DFIN reinforces a culture of collaboration and innovation.



DFIN's Marketing team visits Times Square to experience a live brand activation firsthand.



Supporting families and fostering early career curiosity through DFIN's Bring Your Child to Work Day.



Employees participated in the 2025 Poland Business Run in Krakow.

To support this focus, we modernized our internal communications by enhancing our intranet and expanding channels that connect employees to leadership, strategy, and progress. We also evolved employee storytelling to spotlight diverse voices, recognize impactful work and the people behind it, and align employee stories with company values and goals.



DFIN's Activate event brought together industry leaders for dynamic conversations on the financial landscape.

Together, these efforts strengthen alignment and bring our Company's purpose to life across the organization.



Employees celebrated Native American Heritage Month by visiting the Field Museum's "Native Truths: Our Voices, Our Stories" exhibition.



DFIN was recognized at the Time Auction Impact Exchange celebratory event at HKEX Connect Hall.



DFIN employees participate in volunteer activities with Big Brothers Big Sisters of NYC.

Flexible Work Policy

The Company has a flexible work policy that helps employees stay connected and support customers and colleagues efficiently. DFIN continues to succeed with its mostly remote workforce, drawing global talent and enabling staff to balance work with personal commitments while remaining engaged with teams and shared objectives. DFIN fosters a collaborative environment where employees are empowered to contribute from various locations around the world. The flexible work policy allows for responsible global mobility, proactive risk management, and improved oversight, enabling employees to thrive without compromising the Company's commitment to protecting people, data, and systems against emerging threats. Ultimately, this approach strengthens organizational resilience, supports diversity in talent, and aligns cybersecurity measures with DFIN's values while maintaining employee safety and flexibility.



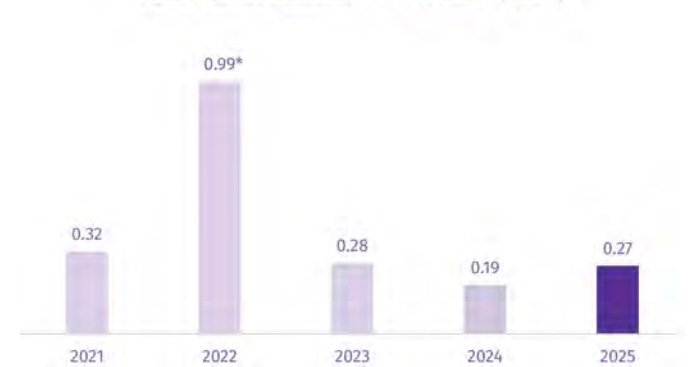
Safety, Health and Well-being

Safety and Health

The health and safety of our employees continues to be the highest priority at DFIN. With a global workforce that works across time zones, onsite, and remotely, we focus on their physical safety and emotional health. Our Environmental, Health and Safety (EHS) Management System aligns with ISO 14001 and 45001. Each year the Company sets leading and lagging indicators to monitor its health and safety performance and in 2025, our manufacturing employees achieved a 100% completion rate for job-specific safety training for the fourth year in a row. In 2025, DFIN achieved a workforce total recordable incident rate (TRIR) of 0.27 (per 200,000 hours worked). There have been no occupational fatalities since the Company's inception in October 2016.

2025 marked the seventh year DFIN observed the importance of employee health and safety among its global workforce through its annual safety celebration event.

Total Recordable Incident Rate (TRIR)



* 2022 TRIR increase resulted from employees testing positive for COVID-19 after attending onsite meetings. At the time, DFIN had safety protocols in place that included the requirement for employees to be fully vaccinated.



Safety Celebration - 2025



Well-being

In 2025, the Company continued its strategy to reward and incentivize employees through the “My Total Well-being” program that was established in 2021.

My Money

DFIN offers competitive base salaries and compensation programs to reward performance relative to key strategic and financial metrics. The Company cultivates a “pay for performance” culture so that when the Company does well, it shares those rewards with employees. In recognition of strong financial results in 2025, the Company paid a one-time bonus to all employees not already on an incentive plan. The Company maintains an Employee Stock Purchase Plan, which allows eligible employees in the U.S., U.K., and Canada to purchase DFIN stock at a 10% discount through payroll deductions. The program remains popular, with 19% of eligible employees participating.

My Time

DFIN continues to embrace a fully flexible environment in which employees work remotely. DFIN also maintains a Flexible Paid Time Off policy in which U.S. salaried employees can take as much time as needed (with manager approval) for vacation or personal issues not covered by other sick or disability policies. The Company’s policies also provide up to 12 weeks of paid maternity leave and six weeks paid leave for fathers and both adoptive parents in the U.S.

My Health

DFIN offers comprehensive health benefits including medical insurance, prescription drug benefits, dental insurance, and vision insurance. The Company strives to offer a market competitive benefits package and, in 2025, added new benefits supporting reproductive health and family planning. The Company's programs focus on physical as well as mental and emotional health.

My Career

DFIN supports employees in growing their skills and making informed choices about their career through tools and resources designed to identify how their role fits into the Company's structure and potential pathways for advancement.



My MONEY

- Base Pay
- Bonuses
- 401(k) Contributions
- HSA Contributions



My TIME

- Fully Flex Work Arrangement
- Paid Time Off
- Paid Holidays
- Paid Sick Leave
- Paid Parental Leave



My HEALTH

- Medical, Dental, and Vision Benefits
- Programs That Focus on Emotional/ Mental Health
- Employee Assistance Programs



My CAREER

- Career Map
- Learning and Development
- Leadership Programs
- Recognition Platform



Governance

Transparent management
and oversight of our Company

Data Privacy

At DFIN, Data Privacy principles and controls are incorporated throughout the entire data life cycle, informing how we approach, process, and manage personal information responsibly throughout our organization. New applications, both those we purchase and those we build ourselves, are vetted in advance to ensure personal information is processed and retained only as necessary and that individuals' rights are honored.



- **Data Minimization.** All personal information is processed and retained only for what is relevant and necessary to fulfill the specific task for which the data is collected.
- **Purpose Limitation.** DFIN limits its collection and use of personal information to the minimum identifiers that are necessary for performing the specific task related to the purpose for which the personal information is collected.
- **Fairness and Transparency.** Personal information collected and processed by DFIN is done in a concise, transparent, intelligible, and fair manner. We monitor our data and systems to avoid harmful consequences or disparate impacts.

Protecting the personal information of our employees, clients, and stakeholders is the responsibility of all employees. DFIN's Global Privacy team monitors regulatory developments, oversees operational compliance activities, and establishes data privacy practices to remain compliant with applicable privacy legislation.

In 2025, DFIN updated its Employee Privacy Notice (Notice) to further encompass global regulatory requirements, expand personal information definitions, and include AI requirements and restrictions. The Notice emphasizes employees' responsibilities related to AI usage within DFIN's operations and products, as well as how DFIN, as an organization, restricts the use of Personal Information, Special Personal Information, Human Resource Data, and Confidential Data in the development or training of any of our internal or third parties AI technologies.

For further information regarding the Company's Data Privacy practices, please refer to our [Privacy Notice](#). We regularly review our compliance with the Notice and adhere to several self-regulatory frameworks in addition to complying with applicable laws. If we receive a formal written complaint, we will follow up with the individual or appropriate regulatory authority to resolve.

Professional Integrity

As we grow the business, we remain steadfast in our commitment to adhering to the highest standards of integrity and transparency. In support of this commitment, DFIN maintains several policies to guide decision making and outline our expectations of appropriate conduct. Foremost among these is DFIN's [Principles of Ethical Business Conduct \(PEBC\)](#), which apply to all directors, officers, and employees worldwide and covers many areas of professional conduct, including, but not limited to, conflicts of interest, anti-corruption, disclosure obligations, and confidential information, as well as compliance with applicable laws. This foundational policy is supported by other policies on specific topics such as political activities, information security, and anti-harassment. In 2025, a key area of focus was to evolve DFIN's business continuity program to align with the Company's organizational structure and risk profile. The Board's CRG Committee oversees the Company's Ethics and Compliance Program and any material violations of DFIN's policies are escalated to the Board.

Ethics and Compliance Training

DFIN's compliance training supports our commitment to protecting the organization's information, reinforcing its values, and adhering to laws and regulatory requirements. Annually employees are required to complete a series of compliance courses tailored to their role and responsibilities. In 2025, the employee completion rate for these courses was 100% and required 6,267 total hours.

Audience	Course
All Employees & Contractors	Anti-Harassment & Discrimination Data Protection (including EU General Data Protection Regulation) Quarterly IT Security and Data Privacy Awareness Principles of Ethical Business Conduct Records Management AI Responsible Use Policy Flexible/Remote Work Policy Information Security Policy
Applicable Employees	Anti-Corruption Americans with Disabilities Act

Ethics Hotline

Should anyone become aware of an illegal practice or a violation of Company policy, we encourage employees to promptly report the information. Concerns can be reported confidentially and anonymously using the Company's independent Ethics Reporting platform. The hotline is available globally 24 hours per day year-round. Reports submitted to the hotline are thoroughly investigated, and if appropriate, corrective action is taken. No person will be penalized for making a good-faith report of misconduct and DFIN does not tolerate retaliation against an employee who makes such a report and/or participates in an investigation.

Geolocation Strategy and Controls

DFIN's geolocation strategy introduces a risk-based layer to permissioning decisions, helping ensure user access occurs from appropriate locations while enabling enhanced monitoring and controls when elevated risk travel is detected. Adopted in 2025, DFIN's Flexible Work policy complements this approach by supporting a strong employee experience-empowering employees to stay connected and responsive while effectively supporting customers and colleagues.

Together, these practices underscore DFIN's commitment to protecting people, data, and systems amid evolving cyber and identity-based threats. Enhanced geolocation controls promote accountability and respect, while a primarily remote workforce enables DFIN to attract global talent and support employee balance without losing alignment with teams, leaders, and shared goals. Through strengthened monitoring, response, and containment capacities, DFIN proactively reduces exposure to higher-risk environments while enabling responsibly global mobility. This risk-based approach reinforces strong governance, improves threat detection and response, and supports employee safety and flexibility-aligning cybersecurity resilience with DFIN's culture and values.



Board Responsibility and Structure

Board of Directors

Members of our Board have guided the Company based on their significant experience in relevant industries and disciplines that are key to operating a leading provider of software and technology-enabled financial regulatory and compliance solutions. Board governance encompasses an ever-expanding array of risks and topics, including sustainability, human capital, cybersecurity, and artificial intelligence.

Throughout 2025, DFIN's Board consisted of 8 members who brought a unique set of skills, experience, and cultural backgrounds to promote the sustainability of the Company. Ayman Sayed, a seasoned SaaS executive, joined the Board last year and Joe Binz, a finance leader in the technology industry, is planning to join on July 1, 2026. The Company supports regular continuing education programs to enhance the skills and knowledge of our directors.

Governance Highlights

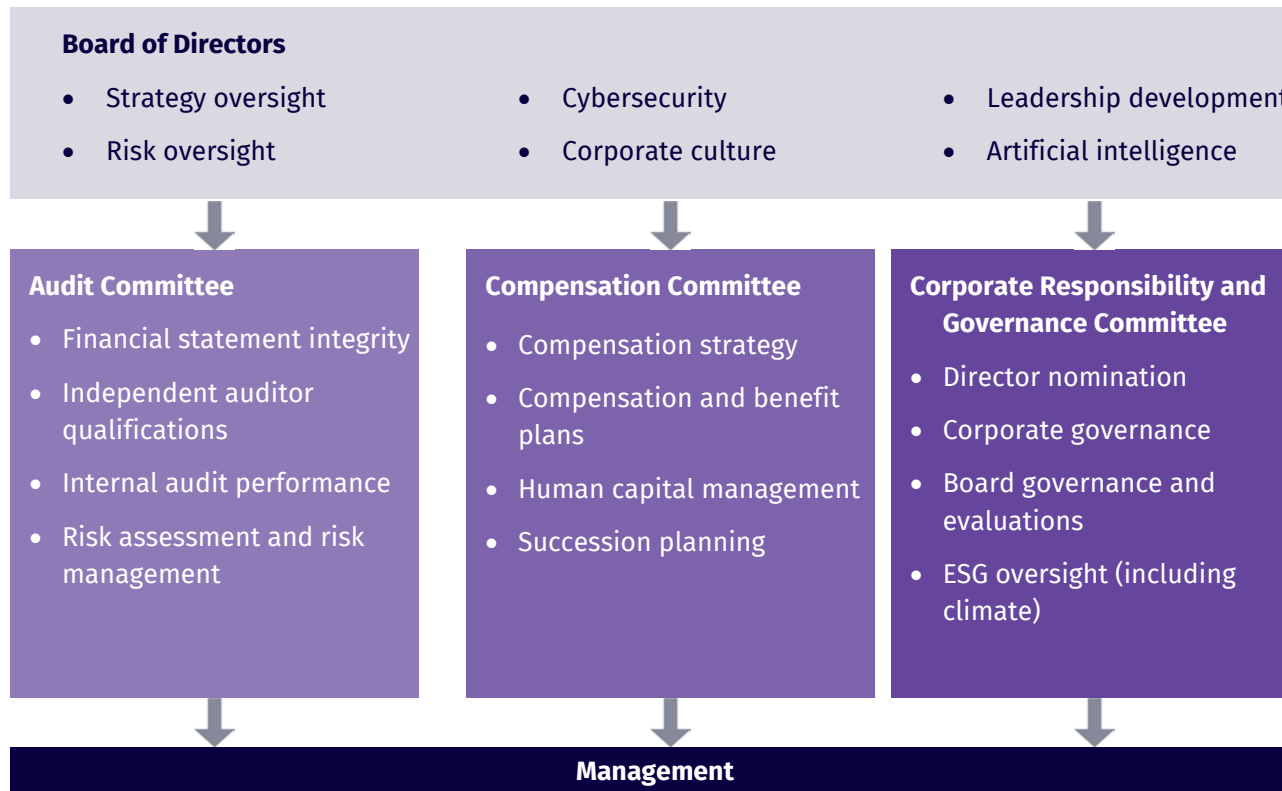
- No stockholders rights plan (poison pill)
- Annual election of directors
- No super majority voting
- All independent directors except for the CEO
- Non-executive chairperson
- Clawback policy
- Stock ownership guidelines for senior officers and directors

The Board has identified specific business characteristics that it believes should be represented among its members and outlines its director nomination process in our Proxy Statement. The Proxy Statement also has a summary of the 2026 director nominees' primary qualifications, relevant skills, or experience. The biography for each director is available on DFIN's Investor Relations website and notes the specific attributes for each director.

ESG Oversight

The Board is actively involved in the oversight of risks inherent in the operation of the Company's business and strategic planning. For topics related to ESG matters, we employ a mix of full Board and committee oversight. For example, topics such as cybersecurity, AI, culture, and leadership development are overseen by the full Board. The Board has three independent standing committees each of which play a role in certain topics, as shown below, among their other areas of responsibility. Of the three committees, ESG oversight resides with the CRG Committee. Written charters describe the responsibilities of each committee and can be found [here](#) along with DFIN's [Principles of Corporate Governance](#).

Board Structure and Responsibilities



Annex



SASB Table

Professional & Commercial Services Standard

SASB Metric	SASB Code	DFIN Disclosure
Data Security		
Description of approach to identifying and addressing data security risks.	SV-PS-230a.1	<p>DFIN incorporates various technologies into our applications to streamline data-gathering and reporting processes, protect and secure data, enhance user experience, efficiently improve performance, and employ stringent data security and privacy practices to provide that information is encrypted. The Company also engages third parties to perform annual SOC2 Type II compliance audits and penetration/vulnerability testing.</p> <p>The DFIN Cybersecurity Program is based upon industry-leading frameworks, which include ISO 27001, Control Objectives for Information Technology (COBIT), and the National Institute of Standards and Technology Framework for Improving Critical Infrastructure Cybersecurity (NIST). The Company’s technologies and software must also comply with domestic and international regulatory and legal requirements.</p> <p>The Company leverages cybersecurity technologies designed to provide for the security of client, employee, and business confidential data. The Company’s cybersecurity portfolio is inclusive of, but not limited to, data encryption, data masking, leading secure software development methodologies, application and network penetration testing, incident response, digital forensics, least-privileged access controls, anti-malware, end-point detection and response, virtual private networks, and cyber threat intelligence. Additionally, the Company manages a 24x7 Security Operations capability that monitors and responds to cyber threats in real time.</p> <p>To demonstrate transparency, in pursuit of continuous improvement, the Company undergoes a series of third-party security reviews, including third-party penetration tests.</p>
Description of policies and practices relating to collection usage, and retention of customer information.	SV-PS-230a.2	<p>DFIN respects customer privacy. Our Privacy Notice describes how the Company collects, shares, uses, and protects personal information in accordance with the requirements of privacy laws in the jurisdictions that we operate in, including but not limited to the EU General Data Protection Regulation (GDPR), UK Data (Use and Access) Act, and California Consumer Privacy Act (CCPA) as amended by the California Privacy Rights Act (CPRA).</p> <p>For more information, see DFIN’s Privacy Notice.</p>

Professional & Commercial Services Standard (cont.)

SASB Metric	SASB Code	DFIN Disclosure					
Workforce Composition & Engagement							
Percentage of gender and racial ethnic group representation for (1) executive management and (2) all other employees.	SV-PS-330a.1	Gender Representation of Global Employees (%)					
		Executive Management	34% Female	66% Male	0% NA		
		All Other Employees (non-contingent)	39% Female	60% Male	1% NA		
		Gender Representation of U.S. Employees (%)					
		Executive Management	36% Female	64% Male	0% NA		
		All Other Employees (non-contingent)	37% Female	62% Male	1% NA		
Racial/Ethnic Representation of U.S. Employees (%)							
<u>Executive Management</u>							
9% Asian	0% Black or African American	1% Hispanic or Latino	82% White	5% Other	3% NA		
<u>All Other Employees (non-contingent)</u>							
11% Asian	10% Black or African American	9% Hispanic or Latino	65% White	3% Other	2% NA		
Other includes the racial/ethnic classifications of Native American or Alaska Native, Native Hawaiian or Pacific Islander, and Two or More Races. NA represents information not available or disclosed by our employees.							
Voluntary turnover rate for employees.	SV-PS-330a.2	Global Workforce	5.38%				
		U.S. Workforce	5.08%				
Involuntary turnover rate for employees.	SV-PS-330a.2	Global Workforce	5.10%				
		U.S. Workforce	4.74%				
Employee engagement as a percentage.	SV-PS-330a.3	Best Practice Institute's 2025 Most Loved Workplace Love of Workplace Index™ Company Report 2025: Average of Love Score 87.8% and Average of Spark Score 86.5%					
Professional Integrity							
Description of approach to ensuring professional integrity.	SV-PS-510a.1	See page 30.					
Total amount of monetary losses as a result of legal proceedings associated with professional integrity.	SV-PS-510a.2	\$0					

Professional & Commercial Services Standard (cont.)

SASB Metric	SASB Code	DFIN Disclosure
Activity Metrics		
Number of employees by: (1) full-time and part-time, (2) temporary and, (3) contract.	SV-PS-000.A	1) 1,734 (full-time); 2 (part-time); 15 (seasonal-project) 2) DFIN does not employ a large percentage of temporary employees. 3) DFIN does not employ a large percentage of contract employees.
Employee hours worked, percentage billable.	SV-PS-000.B	3.01 million employee hours worked in calendar year 2025

Software & IT Services Standard

SASB Metric	SASB Code	DFIN Disclosure
Environmental Footprint of Hardware Infrastructure		
(1) Total energy consumed, (2) percentage grid electricity, (3) percentage renewable.	TC-SI-130a.1	(1) Total energy consumed: 25,597 gigajoules (2) Percentage grid electricity: 100 percent (3) Percentage renewable: 82 percent
(1) Total water withdrawn, (2) total water consumed; percentage of each in regions with High or Extremely High Baseline Water Stress.	TC-SI-130a.2	(1) Due to the nature of our business with a mostly remote workforce, we do not monitor office water consumption. Water use in 2025 at the Company's only manufacturing facility was 12.72 thousand cubic meters (3.36 million gallons), representing a 3.2% reduction in consumption compared to 2024. (2) We have no operations in regions designated as High or Extremely High Baseline Water Stress.
Discussion of the integration of environmental considerations into strategic planning for data center needs.	TC-SI-130a.3	DFIN outsources the majority of its data center needs using third party on-demand providers. The providers we partner with are committed to preserving environmental quality by efficiently managing their energy consumption, water use, and waste disposal practices. We own one 2,256 sq. ft. data center where renewable wind energy is used to match 100% of the facility's electricity. The onsite data center contains 25 racks with 90 terabytes of available data storage and is currently operating at 42% of its capacity. Incoming power and stability are monitored as part of an uninterrupted power supply (UPS) system. Temperature and humidity are measured and controlled by a main HVAC system for cooling and heating.

Software & IT Services Standard (cont.)

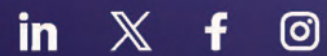
SASB Metric	SASB Code	DFIN Disclosure
Data Privacy & Freedom of Expression		
Description of policies and practices relating to behavioral advertising and user privacy.	TC-SI-220a.1	See SV-PS-230a.2 for a description
Data Security		
Description of approach to identifying and addressing data security risks, including use of third-party cybersecurity standards.	TC-SI-230a.2	See SV-PS-230a.1 for a description
Recruiting & Managing a Global, Diverse & Skilled Workforce		
Employee engagement as a percentage.	TC-SI-330a.2	See SV-PS-330a.3 for a description
Percentage of gender and racial/ethnic group representation for (1) management, (2) technical staff and (3) all other employees.	TC-SI-330a.3	See SV-PS-330a.1 for workforce data
Intellectual Property Protection & Competitive Behavior		
Total amount of monetary losses as a result of legal proceedings associated with anti-competitive behavior regulations.	TC-SI-520a.1	\$0
Managing Systemic Risks from Technology Disruptions		
Description of business continuity risks related to disruptions of operations.	TC-SI-550a.2	Maintaining the confidentiality, integrity, and availability of DFIN's systems, software, and solutions is an issue of critical importance for the Company and its clients and users. A number of core processes, such as software development, sales and marketing, client services, and financial transactions, rely on DFIN's IT infrastructure and applications. Defects or malfunctions in the Company's IT infrastructure and applications can cause DFIN's services and product offerings not to perform as clients expect. In addition, malicious software, sabotage, ransomware, and other cybersecurity breaches could cause an outage in DFIN's infrastructure. In consideration of these risks, the Company has business continuity and disaster recovery plans in place in the event of system failures and these plans are tested regularly. DFIN's Business Continuity Management Program adheres to ISO 22301, ISO 22313, and ISO 22317, as well as guidelines from the Federal Financial Institutions Examination Council.



DFIN

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