

Modern Slavery and Human Trafficking Statement

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About this statement

Pursuant to Section 3 of the California Transparency in Supply Chains Act of 2010, the United Kingdom (UK) Modern Slavery Act 2015, Chapter 30, Part 6, Provision 54, and the Australian Modern Slavery Act 2018 (Commonwealth),

Preqin Holding Ltd declares its efforts in identifying, assessing, and managing the risks of modern slavery and human trafficking within its operations and product supply chain.

This statement is in relation to the financial year ending December 31, 2022, and is made on behalf of Preqin Holding Limited, which comprises Preqin Limited (UK) and our covered subsidiaries:

- Preqin Pty Limited (Australia)
- Colmore PS Ltd (UK)
- Preqin Inc (USA)
- Colmore Inc. (USA)

(hereafter “the Company”)

The statement describes our business structure, relevant policies, and ongoing efforts to reduce the possibility that slavery and human trafficking occur in our business or global supply chains.

About our company

Preqin is the Home of Alternatives®, the foremost provider of data, analysis, and insights to the alternatives industry. Preqin has 1,100 staff members across 15 global offices.

With the acquisition of Colmore in August 2021, Preqin now serves its customers through the entire private market investment lifecycle – from fundraising and investor relations to deal origination, due diligence, and portfolio monitoring.

Preqin has pioneered rigorous methods of collecting private data for almost 20 years, enabling 200,000+ global professionals to streamline how they raise capital, source deals and investments, understand performance, and stay informed.

Through close partnerships with its clients, Preqin continues to build innovative tools and uncover new insights to enable them to make better informed investment decisions.

Organization's structure

Preqin Limited is a wholly owned subsidiary of Preqin Holdings Limited, both of those are UK entities. Preqin Limited has 11 operating subsidiaries directly and indirectly worldwide employing over 1100 employees. The expanded group operates in Europe (UK, Spain and Germany), USA, Asia (Hong Kong, China, India, Japan and Singapore), UAE (Dubai) and Australia. Preqin Holding Limited had a global annual turnover of £134mn for the financial year ended 31 December 2022.

In relation to the UK Reporting Entities:

- Preqin Limited is a private limited company registered in England and Wales (Company number 04456744); and
- Colmore PS Limited is a private limited company registered in England and Wales (Company number 10385074)

In relation to the Australian Reporting Entities:

- Preqin Pty Limited is an Australian Proprietary Company (ACN 637 711 114)

Our business

Preqin provides global private market data on managers, investors, funds, performance and deals, across all asset classes. It assists three broad customer groups: investors and advisors with their asset allocation and manager selection decisions; fund managers, placement agents and third-party marketers with their investor relations and asset gathering tasks; and service providers with their market intelligence and business development activities.

Preqin has subscribers in more than 90 countries worldwide, and tens of thousands of investment professionals also have access to Preqin's extensive free research and data, both online and in print. 95% of Preqin's revenue comes from data licensed through an annual subscription model, with the remainder earned from publications or advertising.

We are organized functionally, but also across five main reportable segments supported by a corporate center:

- Preqin Pro: private market data and analytics tools
- Preqin Insights: research, multi-media and events
- Company Intelligence: Search for investment targets, make investment decisions with confidence
- ESG Solutions: industry's leading standard for how ESG factors at a firm, portfolio, and asset level are measured, compared, and communicated
- Managed Data Services: AI-powered services that extract and harmonize data from GP documents to outsource the creation of an LP's IBOR

Our supply chains

Our supply chains are global and include external contractor agencies used as research and engineering resources; hosting and IT support service providers; and legal and professional advisors.

Our policies on slavery and human trafficking

We are committed to ensuring that there is no modern slavery or human trafficking in our supply chains or in any part of our business.

Our Anti-slavery Policy reflects our commitment to acting ethically and with integrity in all our business relationships and to implementing and enforcing effective systems and controls to ensure slavery and human trafficking do not take place anywhere in our supply chains.

We are committed to the highest standards of openness and accountability. Our reputation and the mutual trust and confidence of the employees, customers, and market participants we interact with are vital and indispensable assets of our business.

- We are an equal opportunity employer, and we strive to provide a safe, healthy, and fair environment for our people.
- We have an employee code of conduct that ensures our employees uphold the highest ethical standards.
- We are opposed to all forms of discrimination and harassment in the workplace, including, but not limited to, gender, race, sexual orientation, nationality, disability, and pregnancy status.
- We have procedures in place for employees to confidentially raise compliance concerns they have relating to modern slavery and human trafficking.

Due diligence processes for slavery and human trafficking

As part of our initiative to identify and mitigate risk we have in place systems to:

- Identify and assess potential risk areas in our supply chains.
- Mitigate the risk of slavery and human trafficking occurring in our supply chains.
- Monitor potential risk areas in our supply chains.
- Protect whistle blowers.

Supplier adherence to our values

Preqin has a zero-tolerance policy to slavery and human trafficking.

To ensure all those in our supply chain, including contractors, comply with our values we have a rigorous supply chain compliance process in place.

This process includes a risk assessment of whether a supplier or business partner may have engaged or might engage in unethical and/or unlawful acts such as bribery or corruption, as well as unethical labor practices such as slavery or human trafficking.

Under our internal policies, suppliers and business partners must be approved by a dedicated procurement compliance team before Preqin enters into an agreement for goods or services.

If a screening shows potential problems, we work with business partners on a case-by-case basis to identify underlying issues and remedy them to our satisfaction.

We have also identified certain service categories as presenting a higher ethical risk and we have provided targeted training to business partners in these categories to reinforce our Supply Chain Ethical Code obligations.

These processes have enabled us to better monitor business partners for potential issues, including slavery and human trafficking, on an ongoing basis, and have given us even greater confidence that our business partners continue to meet our ethical standards.

Our dedicated compliance team includes representatives from the following internal departments:

- Finance, including accounts payable.
- Human resources.
- IT and Engineering.
- Data Privacy.
- Sales.

Training

Comprehensive training is provided to our staff to ensure a high level of understanding of the risks of modern slavery and human trafficking in our supply chains and our business.

Our effectiveness in combating slavery and human trafficking

We are not aware of any modern slavery and human trafficking in our supply chains, and we will maintain vigilance in the forthcoming year.

26 September 2023

Chris Ferguson

CFO

CFO

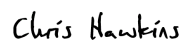


25 September 2023

Chris Hawkins

General Counsel

Preqin Ltd



This statement is made pursuant to section 54(1) of the Modern Slavery Act 2015 and constitutes our slavery and human trafficking statement for the financial year ending 31st December 2023.

Chris Ferguson, director of Preqin Limited

PREQIN **COLMORE**
From PREQIN