



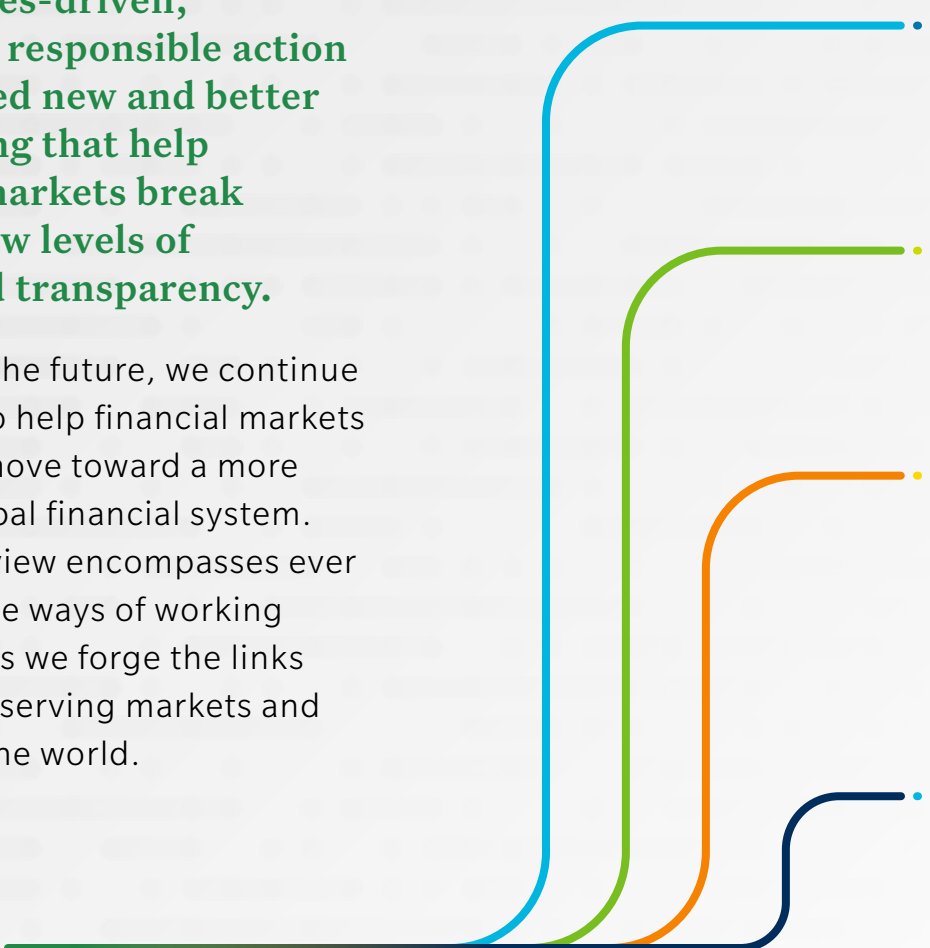
Committed to Responsible Action

2020 CORPORATE SUSTAINABILITY REPORT

From the outset, Tradeweb has been values-driven, committed to responsible action as we advanced new and better ways of trading that help traders and markets break through to new levels of efficiency and transparency.

Today and into the future, we continue to do our part to help financial markets and the world move toward a more sustainable global financial system. Our long-term view encompasses ever more sustainable ways of working and investing, as we forge the links between better serving markets and better serving the world.

Linking ...



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# Letter from Our CEO...

One of Tradeweb’s competitive differentiators has always been our culture. From having a handful of employees in 1997 to roughly 1,000 today, we have always been about creative collaboration, fostering diverse perspectives and being good corporate citizens. While we’ve always worked to exemplify these traits in how we do our jobs, terms like sustainability or ESG weren’t really part of our corporate vocabulary for a long time.



That all changed when Tradeweb began to prepare for our 2019 IPO. As we introduced ourselves to the analyst and investor community, ESG was one of the ways investors sought to better understand us—not just what we did, but how we did it. We knew Tradeweb had solid DNA in ESG, but we had never before been asked to articulate it as a distinct aspect of our business.

Now a little more than two years later, we are very proud to introduce our inaugural Corporate Sustainability Report. While the reporting is new, our strong foundation in environmental, social, and governance principles is not.

Tradeweb has long been committed to creating and fostering an inclusive workplace, celebrating our diverse employee base, providing transparency and innovation for our markets, and ensuring transparency and validity for the data that propels them. This commitment is core to who we are and it influences everything we do, including how we interact with our global client network; how we manage our firm day to day; and how we address the market’s needs.

In 2020, we formed a global ESG Steering Committee and created a full-time ESG role to strengthen our focus and ensure that this strategy is integrated into our decision-making processes. Our values have always driven our approach to employee engagement and culture at Tradeweb, and this year we saw record participation in many of our employee networks, such as our Diversity & Inclusion Network, the Tradeweb Global Women’s Network, and our Tradeweb Cares philanthropy group, to name a few. We believe in empowering our people, and it is the power of our people that has spurred our many technological advances. Tradeweb has since inception, been an innovator rising to the challenge of meeting our clients’ needs in an evolving marketplace.

This year, we asked our clients how we can meet these needs in relation to their ESG trading and investment strategies through a global client survey—the results of which are helping to shape enhancements to our various product offerings. Clients can now see Green Bonds highlighted on



Tradeweb screens, across our Global Credit and European Government platforms. We are focused on powering clients' sustainable investment strategies with solutions that efficiently identify and highlight such bonds on our platform. Our goal, over time, is to expand this offering, and provide clients with a robust view of activity across a broad range of asset classes. Additionally, and in conjunction with data received from our recently announced partnership with Climate Bonds Initiative (CBI), we are happy to share that we recorded a total of \$82B in Green Bond trading volume executed on Tradeweb, of which \$79B was on CBI-screened Green Bonds. This represents an increase of 65% in screened Green Bond trading from 2019.

Reflecting on 2020, the year was shaped not only by a global health and economic crisis but by numerous political, climate, and social challenges. In the face of these challenges, I've never been more proud of the Tradeweb

team, which thrived while working remotely and helped our clients succeed. Collaborative, resilient, innovative, robust, efficient. These are just some of the attributes that have earned Tradeweb and its people a host of awards and recognition this year.

Tradeweb has always been in the business of transformation. Our focus on responsible action has been with us since the beginning, and these times truly demand it. We want that focus to come through loud and clear in this report as we discuss our progress toward quantifying and reducing our carbon footprint, growing our use of renewable energy, and demonstrating our commitment to sustainable and climate-aligned investments. We hope that focus can be seen in our full embrace of diversity and inclusion, in our many employee resource groups, and in our positive social impact. And we want that focus to make clear our absolute commitment to risk management in all its forms.

All of us at Tradeweb are proud to put out this report. I see it as a milestone, marking the start of a journey as we seek to advance a new era of environmental, social, and governance performance.

I invite you to follow our progress into the years ahead and the future we all share and look to shape.



**LEE OLESKY**

Chief Executive Officer & Co-Founder,  
Tradeweb Markets Inc.



**As a global leader in financial markets, Tradeweb is committed to enhancing transparency and encouraging client interest in Green Bonds. The generational shift towards ESG-focused investments will only accelerate, and so our industry must concentrate its efforts to better understand social and environmental issues as it develops new green and sustainable products. ”**

**BILLY HULT**

President,  
Tradeweb Markets Inc.

## About This Report ...

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This sustainability report, our first, provides a view into who we are at Tradeweb, what we care about, and what drives us. Committed to responsible action since our founding over 20 years ago, Tradeweb has made large strides in our ESG journey, starting more formally in 2019 and continuing with great momentum in 2021.

This report focuses on our sustainability actions and performance during the calendar year 2020, with one exception: our partnership with Climate Bonds Initiative. This partnership was formally launched in April, 2021, building on engagement talks that began in 2020. We also relied on CBI data to publish our 2020 Green Bond trading volumes, which are highlighted in the report.

This document shares qualitative and quantitative metrics from 2020 and prior. In formulating this report, we evaluated multiple disclosure frameworks and ultimately settled on a blend of metrics that we

feel are most relevant to Tradeweb's position at the intersection of financial and technology services. Given that assessment, the report will reference some GRI and SASB metrics, and utilize some TCFD guidance, for reporting purposes. As our reporting evolves, the frameworks mentioned will serve as a guideline for disclosure of metrics in a way that is digestible by our stakeholders.

It is our intention to be transparent and to provide evidence-based, market-informing and decision-useful information relevant to our business.

### A NOTE ON MATERIALITY

This report discloses information that Tradeweb views to be of substantial interest to the readers of this document, primarily our clients and investors, as well as other stakeholders, including our current and future employees, and the broader market.

# Who We Are

Tradeweb has always been committed to responsible action, as a pioneer and leader in our field. This has evolved, as we serve our clients and markets, to working towards enhancing a triple bottom line: profit, people and planet.

**12.5%**

ANNUAL REVENUE GROWTH  
(CAGR 2004–2020)

**900+**

EMPLOYEES WORLDWIDE IN 2020,  
INCLUDING 300+ TECHNOLOGISTS

**12%**

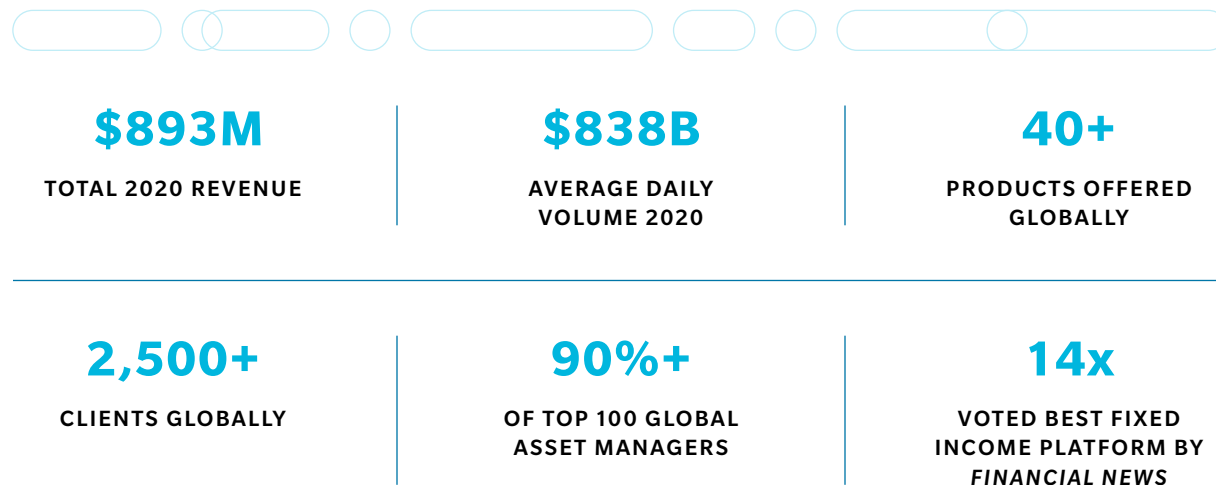
OF OUR GLOBAL OFFICE FOOTPRINT IS  
POWERED ENTIRELY BY RENEWABLE ENERGY

# Our Purpose & Markets ...

**Move First—Never Stop.** Since 1996, Tradeweb has been a leader in the electronic of global fixed income, derivatives, and equities markets —helping traders and markets break through to new levels of efficiency and transparency. As we have evolved, our commitment to responsible action has led to increasing focus on sustainability in how we operate and how our markets perform.

## OUR CLIENTS AND MARKETS

Since inception, Tradeweb has been a transformative force in creating, shaping and continually improving electronic marketplaces. Tradeweb thrives at the intersection of clients, markets, workflows, geographies, liquidity pools, and investors. We bring global marketplaces together through electronic trading innovation and breakthroughs.



### INSTITUTIONAL

#### Tradeweb

Tradeweb helps the world’s leading asset managers, central banks, hedge funds, and other institutional investors access the liquidity they need, through a range of electronic marketplaces.



### WHOLESALE

#### Dealerweb

Whether electronically, over the phone, or through a combination of both, Dealerweb gives market participants real choice to execute their trade strategy confidently.



### RETAIL

#### Tradeweb Direct

Tradeweb Direct is the go-to source for financial advisory firms, RIAs, traders and buy-side investors who need fast, reliable execution for their fixed income trading and portfolio analytic needs.

## 20+ Years of Transformative Action in Electronic Trading .....

- 1998** Launched first multi-dealer to client online marketplace for U.S. Treasuries [↗](#)
- 2000** Added U.S. Agencies and European Government Bond marketplaces and expanded into Europe with opening of Tradeweb London office [↗](#)
- 2001** Entered Mortgage-Backed Securities, Commercial Paper and Covered Bonds marketplaces [↗](#)  
Launched Market Data business [↗](#)
- 2002** Launched fully-electronic Straight Through Processing for fixed income, including AccountNet the first real-time standing instruction database [↗](#)
- 2003** Pioneered FIX integration protocol for fixed income trading
- 2005** Entered Asia market in 2004 and officially opened Tradeweb Tokyo office in 2005 [↗](#)
- 2006** Opened Institutional Credit marketplace for corporate bond trading in Europe [↗](#)
- 2007** Launched first multi-dealer-to-client convertible bond marketplace for institutional clients
- 2008** Entered wholesale IDB market with acquisition of Hilliard Farber & Co., Inc. [↗](#)
- 2009** Launched Dealerweb electronic wholesale trading platform [↗](#)
- 2010** Entered Institutional Equity Derivatives market in Europe [↗](#)
- 2012** Introduced auto-trading for U.S. Treasuries and SNAP smart dealer groups for European Credit
- 2013** Formation of Tradeweb Direct with acquisition of BondDesk Group LLC and Interactive Portfolio Solutions [↗](#)
- 2014** Launched new U.S. Institutional Corporate Bond market [↗](#)
- 2016** Entered the U.S. ETF market with electronic RFQ trading, expanding on our existing presence in the wholesale EFP market with Delta One as of 2011 [↗](#)
- 2017** First trading platform to provide international investors access to the China Bond market [↗](#)
- 2018** Expanded auto-trading with AiEX (Automated Intelligent Execution) to all Rates, Credit and ETF products [↗](#)  
Introduction of first Green Bond search capabilities - Municipals
- 2019** Became a publicly traded company listed on the Nasdaq under ticker symbol "TW"
- 2020** ESG Steering Committee formed  
Sustainability Action Network launched (previously the Tradeweb Go-Green initiative)
- 2021** Joined Climate Bonds Initiative Partners Program [↗](#)



# Awards and Recognition ...

Tradeweb continues to garner recognition from the industry and press as an innovator in trading and transforming markets. In 2020, as in prior years, the list of awards and recognition we have earned is long. This selection represents the breadth and extent of our growing impact around the world. A full list of our industry awards and accolades can be found [here](#).



**INNOVATION AWARD FOR CUSTOMER EXPERIENCE**

Aite Group



**FINANCIAL TECHNOLOGY INNOVATION OF THE YEAR**

Financial News



**OTC TRADING PLATFORM OF THE YEAR**

Risk Magazine



**OTC TRADING VENUE OF THE YEAR**

GlobalCapital



**BEST TCA SOLUTION**

Waters Technology



**BEST ETF PLATFORM**

ETF Express



**OTC VENUE OF THE YEAR**

FOW Global Investor Group



**BEST SWAP EXECUTION FACILITY**

Sell-Side Technology



**BEST SSA TRADING PLATFORM**

GlobalCapital



**BEST NEW PRODUCT - PORTFOLIO TRADING**

Markets Media

# The Environment

Tradeweb is committed to responsible and sustainable business operations, from office and data center decisions to choosing partners in our supply chain. This commitment also includes working toward establishing our baseline carbon footprint and associated reduction and offsetting strategies.

**\$82B**

IN GLOBAL GREEN BOND TRADING VOLUME EXECUTED IN 2020 ON TRADEWEB (EX-ETF), \$79B OF WHICH REPRESENTS CBI-SCREENED GREEN BONDS

**100%**

RENEWABLE ENERGY COVERAGE FOR OUR LONDON OFFICE AND UK DATA CENTERS

**3 of 4**

TRADEWEB U.S. DATA CENTERS ARE ENERGY STAR CERTIFIED

# Our Environmental Priorities ...

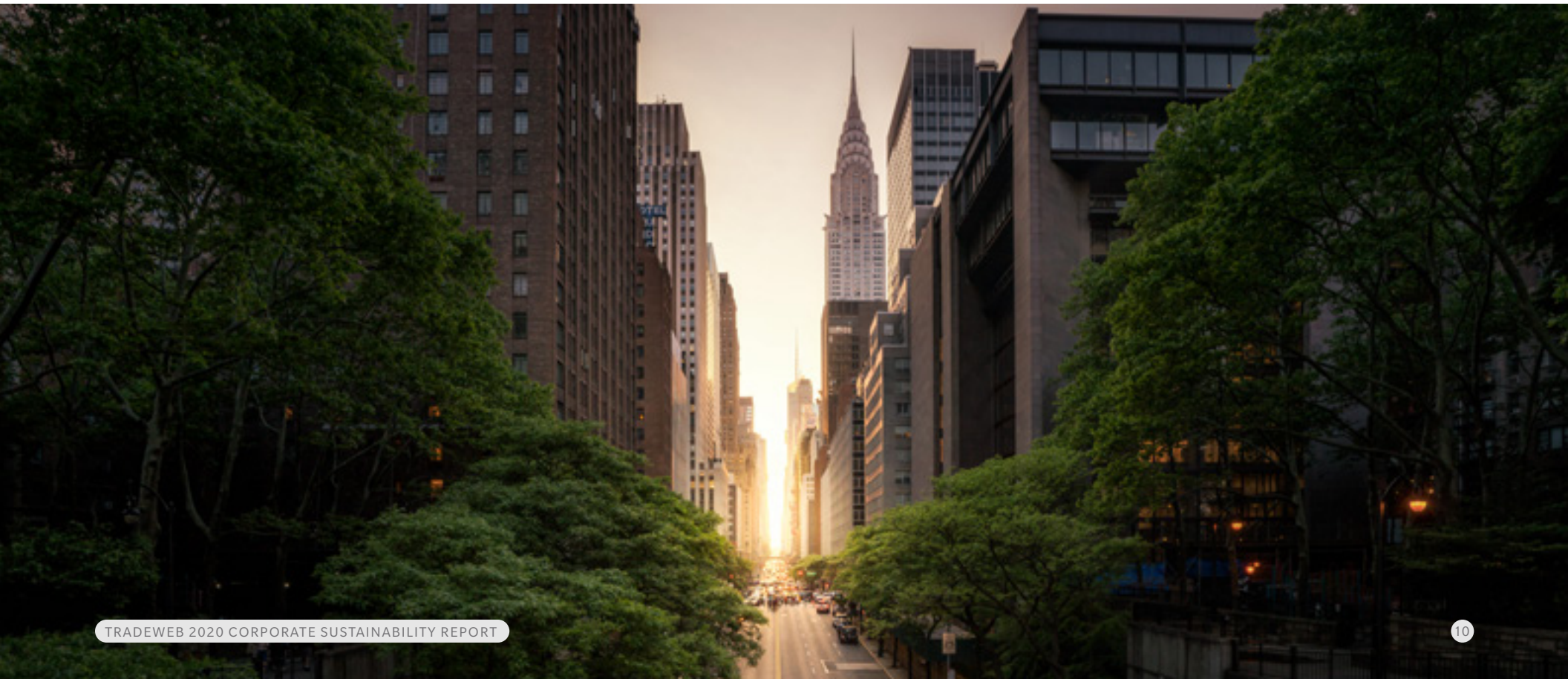
At Tradeweb, we seek to better understand the environmental impact of our operations through measurable means, and to set attainable targets and timelines for environmental impact reporting, including the eventual setting of targets for emissions and energy reduction and offsetting. While our business involves limited direct environmental risks, we will endeavor to make our operations and impact more sustainable over time.

Following the GHG Protocol and our findings to date, Tradeweb does not produce material Scope 1 emissions.

We are, however, in the process of collecting data on Scope 2 and Scope 3 activities, and closely monitoring potential and current changes in federal and global legislation and international accords that may affect us or trigger more targeted climate-related disclosure obligations.

In the future, we intend to offer a more flexible work-from-home policy where appropriate, and to allow employees to work from offices closer to their homes. This may lead to a smaller physical office footprint and may potentially decrease commute-related emissions. Technical

improvements, including the exploration of increased use of cloud-based solutions for our various business purposes, and virtual collaborative tools, have also reduced our physical space, hardware, and printing needs. In seeking to reduce our footprint, we are finding new ways to lead. For example, rather than providing physical gifts to clients in 2020, we donated to three charities and created digital video content to showcase the organizations we supported on behalf of our clients—a great way to give back.



# Energy Usage ...

To help set a baseline for understanding our carbon footprint, we have been working with our leased office space\* and data center locations to collect and track the amount of energy we consume. As a result of this, we now have collected our energy usage from US and UK leased office space. Our London, New York City, and Jersey City office locations provide energy information based on our own meter, and the Garden City office location provides energy information based on percentage occupancy of the building. Utilizing the energy data, we have converted that energy into CO<sub>2</sub> emissions via the GHG Equivalencies Calculator from US EPA. This data represents the portion of our Scope 2 emissions calculations available at this time, that is not utilizing renewable energy.

Our London office space which accounts for approximately 12% of our global real estate footprint by

square footage, is powered by 100% renewable energy from wind, solar and hydro power sources.

Tradeweb's London office is located in a BREEAM- and ESOS certified building—the standard sustainability assessment methods for buildings in the UK. Our New York City Headquarter has held many certifications over the years, including Energy Star in 2016 and 2017, and LEED Gold in 2018.

We are working toward setting a minimum standard Energy Star/LEED certification level into our office space procurement plan, and for any future office space arrangements, Tradeweb will consider the energy efficiency programs of the building as well as its practices for recycling, water, trash removal, and sustainable maintenance.

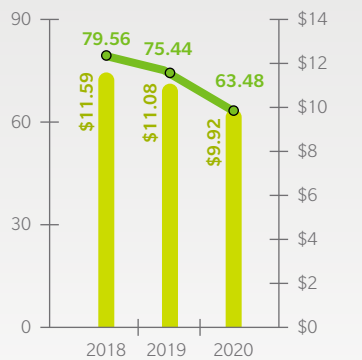
## WATER AND WASTE

Our London office building harvests rainwater which is then re-used in the restrooms for a portion of the water supply.

Our offices in NYC, New Jersey, and London have comprehensive recycling programs. Going a step further, the London office eliminated single-use plastic containers and utensils. During COVID-19, as a safety measure, our London office did provide single-use cutlery but made from potato starch rather than plastic. Into 2021, Tradeweb is working to reduce our single-use plastic consumption in our US offices in line with the functional abilities of our facilities.

\* Leased office space included in this report consists of offices with greater than 30 employees.

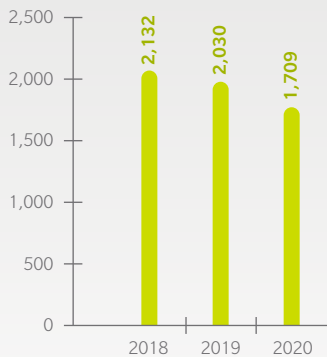
### GLOBAL ENERGY CONSUMPTION



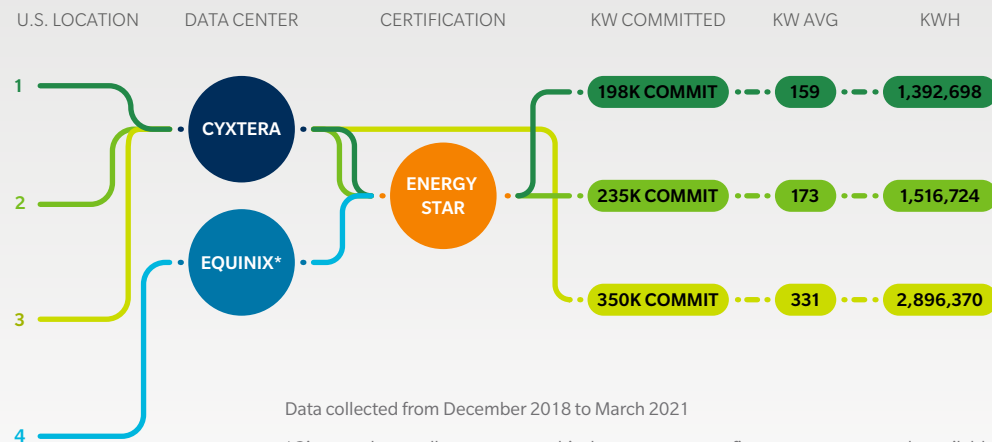
● Cost (\$ / Sq. ft.) ● Usage (kWh / Sq. ft.)

### U.S. OFFICE CO<sub>2</sub> EMISSIONS

YEAR TOTAL USAGE CO<sub>2</sub>e (METRIC TON)



### U.S. DATA CENTERS ENERGY USAGE AND CERTIFICATION



## OUR DATA CENTERS

Across the world, we are working to curtail the energy usage of our data centers and shift their consumption toward renewables. Our UK data centers already use 100% REGO-backed certified renewable energy. In the U.S., three of our four data centers are Energy Star certified. We are currently engaged with our U.S. data centers on their plans for increasing certifications and exploring options for renewable energy. We have also begun the process of working with our data centers in Asia to understand their energy usage and intend to include that information in future reports.

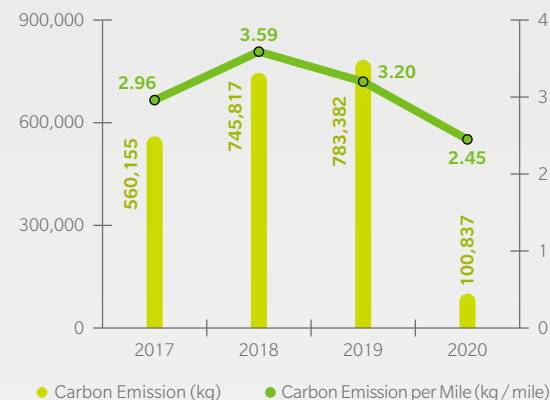
## CARBON IMPACT OF GLOBAL EMPLOYEE TRAVEL

As we are in the process of calculating our true carbon footprint, we continue to gather data on our Scope 3 emissions as well, made up primarily from our employee travel worldwide. The information we are able to reliably gather and report is undergoing refinement in coordination with our third-party booking partners. At the same time, we are updating our global employee work travel policy to better track and with the intention to either reduce or offset its carbon impact. Additional Scope 3 activities are under consideration for inclusion, notably employee commuting.

A decline in travel in 2020 can be attributed to the global pandemic lock-down, and Tradeweb's employee travel ban during this time.

## GLOBAL\* TRAVEL

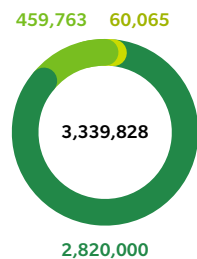
CO<sub>2</sub>e BY AIR 2017-2020



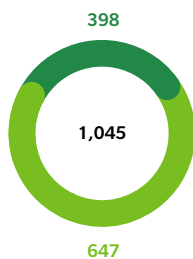
\*Excludes U.S. travel not booked via our booking partner

## TRADEWEB'S UK OFFICE & DATA CENTERS USE 100% RENEWABLE ENERGY COVERAGE

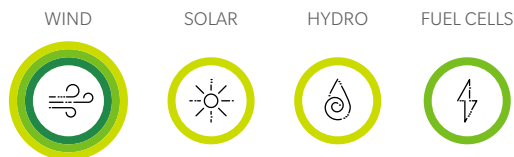
KWH CONSUMED



TONS OF CARBON



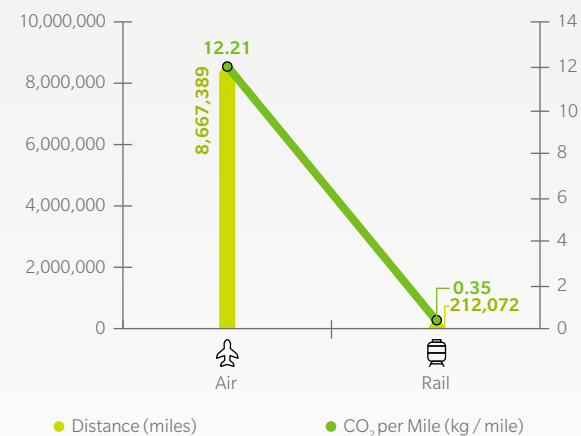
TYPES OF RENEWABLE ENERGY COVERAGE USED TO FULLY POWER DATA CENTERS



● London Office ● Equinix ● Sungard

Data collected from December 2018 to March 2021

DISTANCE AND CO<sub>2</sub>e / MILE 2017-2020



Data gathered through third-party travel booking partner

# Official Partner of the Climate Bonds Initiative ...

In April 2021, Tradeweb announced that we joined the Climate Bonds Initiative’s Partners Programmes. CBI is an international, investor-focused not-for-profit organization promoting investment in projects and assets necessary for a rapid transition to a low-carbon and climate-resilient economy. The Climate Bonds Standard and Certification Scheme is a labeling scheme for bonds, loans and other debt instruments. The rigorous scientific criteria are intended to ensure consistency with the goals of the Paris Climate Agreement. The Scheme is used globally by bond issuers, governments, investors, and the financial markets seeking to prioritize investments that genuinely contribute to addressing climate change.

CBI has been tracking the green-labeled market since 2009. By partnering with CBI, Tradeweb aims to promote the visibility and accessibility of Green Bond trading activity across a wide range of asset classes, and leverage CBI data to provide transparency and clarity around our Green Bond trading volumes and trends.

Tradeweb has used the CBI-screened Green Bond database [to publish our Green Bond trading volumes](#) for 2020—solidifying Tradeweb as one of the largest marketplaces for Green Bond trading in the world. In 2020, CBI-screened Green Bond trading accounted for \$79 billion of the total \$82 billion in global Green Bond trading volume executed on Tradeweb (ex-ETF). This represents an increase of 65% from 2019. The remaining \$3 billion in volume accounted for trading of non-aligned Green debt. Breaking down the \$79 billion, \$56.4 billion in volume was in cash rates led by global government bonds, \$44 billion in European government bonds, and \$12 billion in Other\* Global bonds. Additionally, \$22.6 billion in volume was in global cash credit and was led by U.S. and European corporate credit; \$15.5 billion in European Credit and \$5.7 billion in U.S. High-Grade Credit.

\* Other Global bonds: AUD, NZD, JPY, CAD Government bonds, Covered bonds, U.S. Agencies, and other supranational

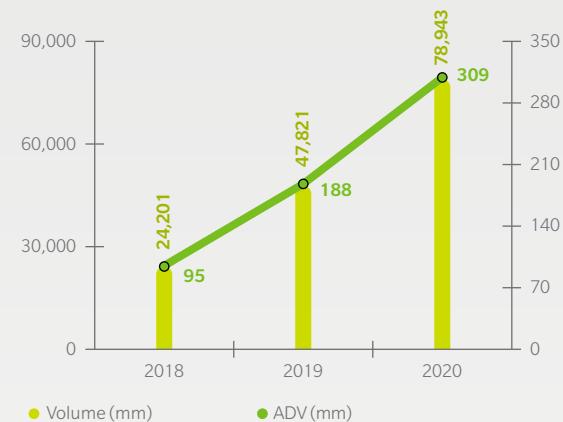


**As one of the largest Green Bond marketplaces in the world, Tradeweb is proud to become an official Partner of the Climate Bonds Initiative. A sustainable global financial system is no longer optional, it’s a necessity, so we need to leverage available ESG data and research to promote transparency and integrity in Green and Social Bond trading. ”**



**LEE OLESKY**  
CEO & Co-Founder  
Tradeweb Markets LLC

## TRADEWEB CBI-SCREENED GREEN BOND TRADING VOLUME (MM)



## INCREASING VISIBILITY OF GREEN BONDS

Tradeweb has provided users of our Retail platform (where Municipals are traded) the ability to search specifically for Municipal Green Bond offerings since 2018. Additionally, we rolled out Green Bond highlights in 2020 on the Tradeweb Institutional platform, covering Global Credit and European Government Bonds, so users can immediately identify Green Bonds on screen. We plan to continually increase the data available to clients around Green Bonds, and expand to other ESG-related securities. Additional classifications could include (but are not limited to) ESG ETFs, Social Bonds, and Sustainability Bonds. We also added the iTraxx MSCI ESG Screened Europe Index to our Institutional platform in 2020.

# Our People and Communities

Tradeweb's culture is inclusive, inspiring, innovative, collaborative and rewarding—and employee-focused. We bring the industry's brightest minds together to create market-leading innovations that move markets forward.

**31%**

OF GLOBAL EMPLOYEES ARE FEMALE

**44%**

OF ELIGIBLE 2020 SENIOR INTERNS ACCEPTED FULL-TIME OFFERS

**~250**

COMBINED EMPLOYEES INVOLVED IN TRADEWEB AFFINITY NETWORKS

**4.9%**

GLOBAL VOLUNTARY TURNOVER

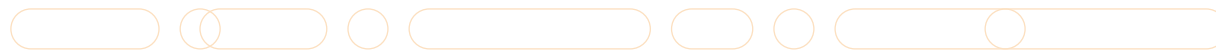
## Fostering a Strong Culture ...

In order to maintain our role as a leader in building and operating transformative electronic marketplaces for our global network of clients, we must continue to attract and retain top talent. To do so, we strive to make Tradeweb a diverse, inclusive, and safe workplace, with opportunities for our employees to grow and develop in their careers, supported by strong compensation, benefits, health and wellness programs, and by initiatives that build connections between our employees and their communities.

We know from experience that diverse people and perspectives spur innovation. Our multi-layered strategy for recruiting diverse talent leverages relationships with a number of external organizations to cultivate diversity at the intern, college graduate, and experienced hire levels.

Tradeweb supports, respects, and protects human rights. As a global company and a responsible corporate citizen, we work to ensure the fundamental rights and freedoms of our employees and stakeholders are upheld and protected—recognition of which will be forthcoming in a formalized Human Rights policy statement.

We consider our relationships with our employees to be exemplary, evidenced in our continued growth in employee engagement and in the fact that we have not experienced any interruptions of operations due to labor disagreements.



**961**

TOTAL GLOBAL  
EMPLOYEES AS OF  
DECEMBER 31, 2020

**698**

EMPLOYEES BASED  
IN THE U.S. AS OF  
DECEMBER 31, 2020

**263**

EMPLOYEES BASED OUTSIDE  
THE UNITED STATES AS OF  
DECEMBER 31, 2020





## Idea- and Innovation-Driven ...

Tradeweb values and encourages diverse perspectives, and strives to cultivate a team with varied and robust ideas. We aim to give everyone the access and ability to grow as an individual and, eventually, a leader.

A flat organizational structure provides everyone with access to management and minimal red tape. Employees can wear many hats, take advantage of opportunities to learn new skills, and see their work have an effect on the success of the business. Tradeweb offices create a lively work environment where everyone has a crucial role to play.



### PERSEVERING THROUGH THE PANDEMIC

Over the course of the global pandemic, worldwide, we found new ways to bring employees together through interactive virtual holiday programming, cultural celebrations, timely panel discussions and conversations around social and racial injustice and inequality, and through our Lunch & Learn series furthering the knowledge-share among employees across business lines. We listened to employees' concerns around COVID-19 as it relates to their health, their families, and their return back to an office environment, and provided outlets to express those concerns to management and HR teams. We made a commitment to always put their health and safety first in plans for returning to the office. This commitment was, and continues to be, stressed by our leaders during our Global Town Halls.

We added Mental Health resources and hotline services to the intranet homepage so that employees know exactly where to go if they need help. Additionally, we launched a "Tradeweb This Week" video series, emailed out on Mondays to engage employees and provide updates on virtual programming and relevant company news for the week ahead. In an effort to give employees outlets during lockdowns, Tradeweb provided a series of virtual classes to encourage a brief break during the work day and an opportunity to exercise body and mind through yoga or High Intensity Interval Training classes, or to find time for guided meditation and mindfulness practice.

# Diversity & Inclusion ...

Tradeweb is committed to providing an inclusive workplace and has always valued the safety, comfort, health, growth, and productivity of our diverse workforce.

Sourcing a diverse workforce is our policy. We strive to ensure the most diverse set of talent to be considered for our open positions. In order to promote and source diverse talent, we partner with a number of organizations in our hiring processes and source new partners on open roles where we do not already have a fitting partner. Additionally, we use [Direct Employers](#) to post roles to over 300 diverse job boards globally, and to ensure our direct sourcing of candidates is representative of our diversity goals.

## GENDER STATISTICS

We purposefully have made strides as a financial technology company in recruitment and hiring to bridge the gender gap. As a result of these efforts, as of the end of 2020 the gender breakdown for both Associate and Assistant Vice President levels are 50% female and 50% male.

## ETHNICITY STATISTICS

Our greatest social priorities for the immediate future are to continue to grow our employee groups, to continually elevate our focus on employee education and awareness, to increase availability of resources where needed, and to take the necessary steps to refine and measure our success in maintaining a diverse, equitable, and inclusive workplace. As we continue with these partnerships, we strive to be better each year, and are doing the work to not only find, but retain exceptional talent.

## PARTNERSHIPS TO ADVANCE D&I

Tradeweb currently integrates in our hiring processes partnerships with the following organizations:

### SEO/London

Tradeweb is an international sponsor of SEO, which prepares talented students from underrepresented or under-served backgrounds for career success. Tradeweb works with SEO to identify top talent in their network with interest in fintech, and connects them with internships and full-time opportunities at Tradeweb.

### Shift

Tradeweb has a recruitment agreement in place with Shift. Shift's Military Fellowships reinvent how companies hire directly from active-duty service, and their Ready-To-Hire program provides immediate access to the country's best available veteran talent. In 2020, Tradeweb hosted a Veteran's Hiring 101 session with our Diversity & Inclusion Committee and partnered with Shift to better prepare our hiring teams to read Military resumes and ask appropriate skills questions in interviews.

### Jopwell

Tradeweb has a partner page with this leading career advancement platform for Black, Latinx and Native American students and professionals. The Recruitment team works with Jopwell on strategic opportunities to pair Jopwell community job searches with new roles at Tradeweb and market the company through customized information sessions and marketing.

### Women's Bond Club (WBC)

Tradeweb is a proud member of the WBC, sponsoring memberships for 20 female Directors and Managing Directors each year. These memberships allow Tradeweb employees to attend WBC-sponsored events, which provides valuable insight into the markets, the world or a way to improve soft skills. Our involvement with the WBC also provides extensive opportunities for networking, in addition to participation in the Rising Star Program.

## 2020 GENDER STATISTICS



● Male ● Female

\* Management is defined by employees that manage at least one other employee

Tradeweb is also an active supporter in advancing the careers of the WBC scholars. The WBC works with public high schools in New York City to identify applicants for their scholarship programs. The scholarships are awarded to young women who are looking to pursue a career in business, finance, or technology in a financial services firm. Tradeweb has hired numerous scholars as interns in addition to assisting with recruitment advice.

**National Gay and Lesbian Chamber of Commerce (NGLCC)**

In an engagement beginning late 2020, Tradeweb signed on to NGLCC’s corporate partnership program to increase the diverse options available when seeking vendors or suppliers. Additionally, this affiliation will help to provide confidence to existing employees, and prospective interviewing employees, that Tradeweb is an inclusive, welcoming, and safe place to work. We are excited to have our Diversity & Inclusion Network partnership with NGLCC to bring internal programming to Tradeweb employees.

**Workforce Opportunity Services (WOS)**

Dedicated to diversifying our workforce, Tradeweb partners with WOS, an organization that develops the skills of untapped talent from underserved and veteran communities.

**National Association of Black Accountants (NABA)**

Tradeweb is a NABA Corporate Sponsor for the 2020-2021 school year, helping the nonprofit membership association bridge the opportunity gap for Black professionals in the accounting, finance, and related business professions.

**StreetWise Partners**

Tradeweb began our involvement with StreetWise in 2020 with employee volunteer participation and expanded that to official partnership as a corporate partner in 2021. Their mission is to leverage mentorships to increase employment opportunities for adults from overlooked and under-

resourced communities within New York City, Washington, D.C. and Detroit. Tradeweb is looking forward to growing this partnership in mentorship pairings, and in internship and full-time hiring potential.

**The Emily Krzyzewski Center (Emily K Center)**

This nonprofit serves as a college access hub in Durham, North Carolina, propelling academically focused, low-income K-12 students and graduates toward success in college through its K to College and Game Plan: College programs. Tradeweb hosts career development and fintech-focused events each semester for their Scholars Program, focused on preparing college students for graduation. Additionally, Tradeweb hosted career development sessions, interview preparation courses, and fintech/Tradeweb information sessions ahead of Internship interviews.

**First Workings**

Tradeweb is a Corporate Sponsor and has active Advisory Board representation with First Workings. Its mission is to help high achieving, high potential students from some of New York City’s most underserved and underrepresented communities to acquire social capital and broaden their horizons. In 2020, Tradeweb matched two senior members of the Women’s Network Career Development committee with two First Workings mentees, focusing on how to pursue careers in technology and prepare for college courses.

**Cristo Rey Brooklyn High School**

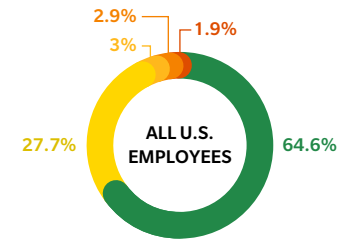
As a corporate partner of Cristo Rey, Tradeweb employed three Cristo Rey juniors in a paid work study program, sponsoring professional and skills training and offering onsite work to these students. As the partnership moved virtual, seven Tradeweb employees became professional mentors to Cristo Rey, meeting twice a month for the school year. Cristo Rey Brooklyn is a Catholic high school partnering with families of all creeds to educate deserving young people from underserved communities to become men and women of faith, purpose and service.

**Bender Consulting Virtual Career Fair**

Access is so important when recruiting from underrepresented groups. By attending the Bender Consulting Virtual Career Fair, Tradeweb was able to connect with talent of all levels who identify with the Disabled Community. With a database of over 27,000 candidates with disabilities seeking professional career opportunities and a network of thousands of disability and academic institution partners, Bender delivers disability employment and inclusion value.



**2020 U.S. ETHNICITY STATISTICS**



- White
- Asian
- Black / African American
- Hispanic or Latino
- Other\*

\*Other = self identification as “two or more races” or “American Indian or Alaskan Native”

# Affinity Networks ...

Tradeweb directs resources and focus to help our employees develop themselves and our shared culture—celebrating our differences and common purpose while our people grow both as unique individuals and as a collective, positive force in the world.

The people of Tradeweb bring strong personal engagement to the ideas and ideals behind our shared commitments. This is seen through our many affinity groups dedicated to improving our people’s lives at work, and advancing their personal and professional development. We aim

to enhance the work experience and provide outlets for employees to connect on the areas that inspire them. Our approach is not simply to hire employees, but to build careers and foster personal and professional growth.



## EMPLOYEES INVOLVED IN GLOBAL AFFINITY NETWORKS 2020

SUSTAINABILITY ACTION NETWORK

~50

TRADEWEB GLOBAL WOMEN’S NETWORK

~100

DIVERSITY & INCLUSION COMMITTEE

~50

TRADEWEB CARES

~40

WORKING PARENTS NETWORK

~15



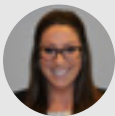
**Sustainability Action Network**

A re-imagination of our “Tradeweb Go Green” committee, our new Sustainability Action Network aims to provide all employees with an opportunity to shape the way Tradeweb approaches our environmental impact. The network brings together employees from various disciplines to ensure sustainability is integrated into all that we do at Tradeweb; from recycling and upcycling, to our corporate environmental footprint, to educating employees on the issues facing our planet, and more.

The network has been a conduit for charitable support of Oceanic Global, The Nature Conservancy, Conservation International and other groups taking action on preserving the planet’s ability to sustain life.



This network represents Tradeweb’s commitment to thinking and acting sustainably, to educating our employees on the environmental challenges of our time, and to supporting and encouraging our informed evolution as responsible corporate citizens. Working together to create real change in the world is something I am deeply passionate about and am so proud that Tradeweb gives employees the platform to help influence our strategy on environmental sustainability. ”



**HEATHER WOOTTEN**

Vice President, Corporate Social Responsibility & ESG

Co-Chair, Sustainability Action Network



I’m extremely proud to guide and channel my colleagues’ energy into action that drives change to benefit each of us, our families, our local communities and beyond. The network gives us the opportunity to look at the world through a different lens and educate each other to solve old problems with a modern approach. The immense enthusiasm and creativity of the network members inspire me and propel our mission forward. ”



**STANISLAS BECKMANN**

Managing Director, Head of Tradeweb EUBV

Co-Chair, Sustainability Action Network





**Tradeweb Global Women's Network (TGWN)**

This network works to ensure that all women throughout the organization have the appropriate support and access to all opportunities at Tradeweb. The Women's Network provides programming in line with the group's three pillars: Career Development, Internal Networking, and External Networking. Event themes have included the importance of nutrition; understanding the art of conversation; maximizing career opportunities; and skills on how to network. Most recently the global committee has arranged well-known speakers to discuss resilience and determination, and fostering a culture of inclusivity of women on Wall Street. Events included a wine tasting networking event, The Foodie Magician external client event, and a discussion with Alexandra Carter on her book "Ask for More." The Tradeweb Global Women's Network has the support and participation of senior management and Operating Committee members. Tradeweb's CEO Lee Olesky, as well as global C-suite and senior executive staff, has been present at a majority of TGWN events both in person and virtually over the last year.



The tremendous success of the Global Women's Network is a direct reflection of the deep passion and dedicated participation of our people, and the incredible support of the senior men and women at Tradeweb. This mission is deeply important to us, working to provide a true sense of community and professional growth opportunity for the women of Tradeweb. ”

**U.S. Co-Chairs, Global Women's Network**



**AMANDA MEATTO**  
Managing Director, Co-Head,  
Fixed Income Institutional Sales



**EDWARD DONOHUE**  
Managing Director, Brokerage Sales



**ERICA BARRETT**  
Managing Director, Fixed Income Rates



**ELISABETH KIRBY**  
Managing Director, Head of Market Structure



We are extremely proud of this network as we focus on supporting women internally at Tradeweb, and working with charitable organizations to advance opportunities for women in our local communities, helping them expand their resumes and increase their skills training. ”

**European Co-Chairs, Global Women's Network**



**ZARA PRATLEY**  
Managing Director, Head of European Sales



**LIZ CARTER**  
Managing Director,  
Trade Reporting and Clearing



Diversity & Inclusion Committee

We understand that our diverse pool of talents, ideas and worldviews make us strong as a company, and we are committed to maintaining a safe and inclusive environment for everyone. The Tradeweb D&I Committee raises awareness and provides a forum to educate, inform, promote, and encourage an inclusive culture. This is done through programming around our main pillars: Recruitment, Philanthropy (focused on inclusivity and equity in our next generation of employees), Education and Awareness of current employees, and Internal Events (One Tradeweb series, Cultural Lunch & Learns, and Holiday celebrations).

The committee provides educational programming to employees and clients on various diversity topics including racial diversity, neurodiversity, religious diversity, sexual

orientation, and more. Additionally, it raises and funnels charitable support to groups such as Women for Women, Black Girls Code, Habitat for Humanity, Right to Play, Boys Hope Girls Hope and Global Health Charities.

The committee recently hosted the One Tradeweb series, an interactive panel discussion with Tradeweb employees about their own personal experiences across the many different elements of diversity. The aim of the series is to educate, empower, and support one another as a community by sharing stories. Sharing and listening leads to understanding and compassion, and creates a more supportive and inclusive environment for everyone.



The impact that our Diversity and Inclusion efforts have had on us as 'One Tradeweb' is profound. The genuine conversations we've facilitated have given employees from all over the world with different backgrounds, experiences and identities the opportunity to be vulnerable, to be heard, to be included and to be celebrated. Even though we have been physically apart, our D&I programming has helped us all feel more connected than ever. We are passionate about raising awareness and effecting real change to achieve a more just and equitable world.

Global and U.S. Diversity & Inclusion Steering Committee



ASHLEY SERRAO

Managing Director, Head of U.S. Corporate Development & Investor Relations



STEFANIE KARIS

Vice President, Marketing and Internal Communications

Europe & Asia Diversity & Inclusion Steering Committee



JENNIFER KESER

Managing Director, Head of Regulation & Market Structure (Europe & Asia)



CHIOMA OKOYE

Managing Director, Head of European Institutional Credit





**Working Parents Network**

The Working Parents Network provides a supportive and inclusive space for Tradeweb parents to share experiences of work/life balance, discuss solutions to common parenting dilemmas, and focus on matters pertaining to raising successful, positive, and confident children. Resources have also recently been made available to help parents engage children in learning at home through offering a discount on “Bundle Break” sessions with Bundle. Bundle is a great opportunity for children to engage in high quality, virtual one-on-one interactive learning sessions focused on Science, Technology, Engineering, Arts, Culture, and Health and Wellness.



As a working parent, I feel a deep connection with the mission of this network, to create a place for employees to unite their identities as both parents and professionals, and to help Tradeweb parents share interactive learning experiences and lessons with their children. ”

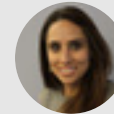


**ALEXANDRA ISAYEV**

Vice President, Product Management  
Co-Chair, Working Parents Network



I’m proud to advocate for working parents and provide solutions to what we face when striving to excel in our roles at home and at work, which can be quite challenging at times, especially over this last year. This network serves as an outlet to share experiences and access valuable programming and resources. ”



**SHIRIN SAFA**

Director, Data Solutions & Analytics, Market Data  
Co-Chair, Working Parents Network





# Employee Engagement ...

At Tradeweb, we foster personal and professional growth, from the moment employees join us. We do not believe in simply hiring people, but rather in developing careers and providing an environment that enables individual success.

We want our employees to enjoy coming to work, to excel, to grow and develop, to have fun, to feel part of something great, and to be proud of working for Tradeweb. We continually devise and implement ways to improve our day-to-day environment and make Tradeweb an even better place to work.

Key to engagement is regular, clear, shared communication about our business, our strategies, and our progress. It starts at the top and flows throughout our global business. Our CEO Lee Olesky and President Billy Hult hold regular town halls to all employees globally, sharing updates on culture, earnings, and plans for the future.

## EMPLOYEE SURVEYS

Tradeweb seeks to receive advice and feedback from employees through multiple forums. As a pilot, we launched Rungway in September 2020 in Europe and Asia. This third-party workplace advice platform creates a place for our employees to have their voices heard, with the safety of anonymity—allowing employees to ask questions directly to the most senior management, or answer questions posed by those managers. Since Rungway was launched, there have been 4,080 interactions, 35 discussions published (of which 51% were anonymous and 71% received a reply), and

84 responses and comments on the discussions posted. In addition, Tradeweb has historically sent employee surveys when needed, encourages open dialogue with management, and provides a message board on Tradeweb’s internal intranet allowing employees to engage with one another on a variety of topics.



## PROFESSIONAL DEVELOPMENT PROGRAMS

### Internship

Our competitive Summer Internship program helps talented students from colleges and universities around the country learn from a diverse pool of seasoned industry professionals as well as one another. Interns gain valuable first-hand experience in a real-world setting supported by our managers and mentors. In addition to personal assignments and special group projects, interns have multiple opportunities to get to know Tradeweb colleagues from around the world, and are offered the opportunity to join our affinity groups while interning with us. Interns are broken into groups and given a capstone project to complete and present to upper management and the broader intern group. Interns are also given individual projects. From the 2014–2019 summer intern classes, 25 out of 111 interns were subsequently hired to full-time positions. During the pandemic, we held our internships program 100% virtually in order to maintain our successful talent pipeline, despite the challenges around remote work. Out of 38 in the 2020 intern class, 18 of which were eligible to take on full time roles post internship, 8 accepted full-time offers to start in 2021.

### Elevating Training and Career Development

Tradeweb policy is to retain and develop our people, and to facilitate an increase in skills and help them become as knowledgeable about our industry as possible. Events and resources such as Product/Business Updates, and Tradeweb Communications aim at sharing information and improving our collective understanding of the space in which we work. Elevated training is also accomplished through our internal “Tradeweb University” series, where various managers and leaders provide an in-depth session on their respective business line at Tradeweb, allowing employees to learn about other parts of the business. Tradeweb provides training, and development programs for employees at all levels of their careers, fostering personal and professional growth, as well as guiding employees on a journey to advance their career with us. Employees can also help themselves to develop in their roles by seeking new learning experiences, and by thinking of creative and practical ideas to improve the way in which they and their colleagues work.

### Professional Qualification Sponsorship

Tradeweb sponsors any professional qualifications and courses which contribute towards individual development, departmental and organizational objectives, and helps employees to perform their roles to the highest standard.

### Tradeweb Achievers Program (TAP)

Tradeweb Achievers Program focuses on providing development, mentoring, and networking opportunities for high performing/high potential employees. Participants get to have lunches and conversations with C-Suite management including our CEO Lee Olesky and President Billy Hult to ask questions of them directly, and hear about goals and plans for the future. The TAP program concludes with a capstone project that teams present to a committee of upper management, on ideas for expanding global business opportunities for Tradeweb. In the U.S., 16 out of 31 TAP participants have been promoted from the 2017–2019 TAP classes. 2019 was the first year of TAP in Europe, after which 3 out of 9 participants were promoted.

### Mentorship

Our annual global mentorship program strengthens our global culture of mentoring and home-grown talent development. It equips our senior leadership team with the tools and framework to share their professional experiences, motivate up-and-coming talent, and build our future leadership pipeline. The program thoughtfully pairs senior leaders with employees at various earlier stages of their career, to foster lasting relationships and help in the sharing of ideas and building on the community nature at Tradeweb. Tradeweb hosts networking nights, trivia, and other programming to get the mentor and mentee groups together to enhance the experience for each employee that is involved.

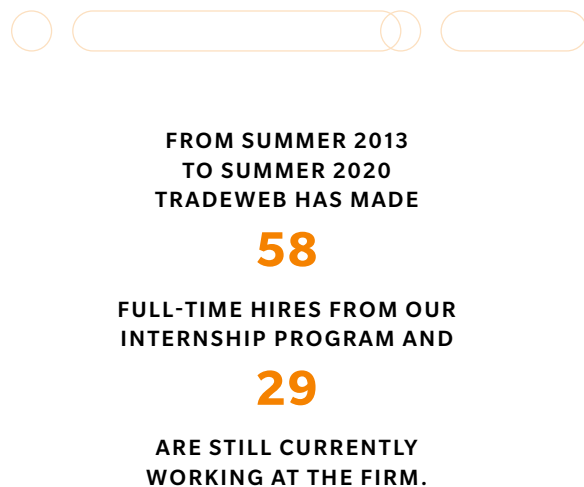
### Building Better Leaders

This training series helps cultivate knowledgeable and effective leadership at Tradeweb. The Human Resources team has partnered with The Leadership Program (TLP), a prominent provider of education and corporate culture building services, to create a comprehensive program focused on building key skills. TLP will be providing a series of two-hour workshops for our New York City and Jersey City employees poised to step into leadership and create positive change in the workplace and beyond. At the end of the series, participants will create an individualized action plan.

Key objectives are to build team cohesion through dynamic and interactive content and activities, apply specific and relevant concepts of leadership to strengths and areas for growth, improve results by creating a forum to learn best practices from one another, structure goals, and intentionally coordinate future vision. This creates memorable learning experiences and team bonding, increasing trust and effectiveness, in line with Tradeweb’s values and overall purpose.

### Associate Development Program—UK

Piloted at the start of 2020 in our London office, the Associate Development program aims to help new Associates just joining at Tradeweb to foster a growth mindset, build self-awareness, confidence, and motivation, through self-coaching and establishing a personal brand, while learning to network and navigate their way in a new role.



# Benefits and Support ...

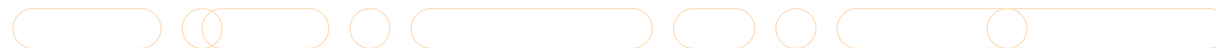
Tradeweb offers a comprehensive and competitive benefits package and numerous programs to help meet the needs of our people, including insurance, paid time off, flexible work schedules, parental leave, volunteer days, family assistance, and more.

## EDUCATIONAL STUDIES REIMBURSEMENT

Tradeweb offers reimbursement for completed undergraduate and post-graduate studies. For undergraduate studies, the maximum calendar year reimbursement is \$5,250.

For post-graduate studies, the maximum calendar year reimbursement is \$10,000. Employees will be reimbursed 100% for undergraduate and graduate/post-graduate courses for a grade of B or better, and 80% for undergraduate courses for a grade of C. A grade of B or

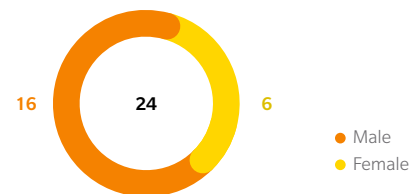
better is a requirement for reimbursement for graduate/post-graduate courses. Required registration fees are 100% reimbursable for courses meeting the eligibility criteria. Employees should have at least six months tenure, must be in good standing, and meet all performance expectations in their current role. The Educational Studies Reimbursement program was utilized by 7 employees in the U.S. in 2020. Of those 7 reimbursements in the U.S., the Non-taxable Tuition spend was \$30,141 and Taxable Tuition spend was \$18,900.



**\$49,041**

TOTAL TUITION SPEND (TAXABLE AND NON-TAXABLE) FOR 2020

## 2020 PARENTAL LEAVE BENEFIT USE



## ROBUST COMPENSATION, BENEFITS, AND ASSISTANCE

- Flexible work schedules
- Annual bonuses
- Retirement savings plans
- Flexible spending accounts
- Paid time off
- Family leave
- Family care resources
- Employee assistance programs
- Confidential counseling services for employees and family
- Tuition assistance
- Adoption assistance
- Healthcare and Insurance:
  - Medical
  - Dental
  - Vision
  - Life
- ...and others

*The above programs vary by country or region.*

# Our Communities...

Philanthropy, corporate giving, and the advancement of our communities have always been a large part of our culture and identity. At Tradeweb, we believe that we have a responsibility to give back through charities that resonate with the values of our employees, to help those around us, and to partner with organizations that help to build up our communities.

Building better markets comes with a responsibility to improve the communities around the world where our employees live and work. We encourage and facilitate strong corporate citizenship, strategic philanthropic partnerships, and personal volunteerism.

We are in the process of aligning our philanthropic initiatives and our ESG strategy to the goals of the United Nations Sustainable Development Goals (SDGs).

## CHARITABLE CONTRIBUTIONS AND CORPORATE PARTNERSHIP

Tradeweb is proud to support and work with leading charities to help further their missions and pathways to improving the world we share. [See full list of charitable partners on our website.](#)



### Tradeweb Cares

We established Tradeweb Cares to foster the strong culture of philanthropy that already exists within our organization. At its core, Tradeweb Cares is focused on making meaningful contributions to the causes of importance to the Tradeweb community and its valued constituents. Tradeweb Cares identifies with three categories of charitable giving: corporate partnerships, volunteerism, and employee matching.

Tradeweb offers each employee one paid volunteer day per year, and provides charitable donation matching up to \$1,000 per year, per employee.



662

TOTAL EMPLOYEE VOLUNTEER HOURS IN 2019





Tradeweb has been a vital and long-time partner in our work to create opportunities for New Yorkers to build equity through affordable homeownership. They share our vision of homeownership as a catalyst for improved health, economic growth and for reducing the racial wealth gap. Toward that end, Tradeweb has contributed more than 2,000 volunteer hours and nearly one million dollars in vital philanthropic support to our work. We are tremendously grateful for their ongoing commitment. Now more than ever, stable housing is vital for our city and our world. ”

KAREN HAYCOX

CEO, Habitat for Humanity New York City and Westchester County



Habitat for Humanity New York City and Westchester County

Habitat for Humanity New York City and Westchester County transforms lives and communities by building and preserving affordable homes with families in need, and by uniting all New Yorkers around the cause of affordable housing. Their vision is a city—and a world—where everyone has a decent place to live. Founded in 1984 as an independent affiliate of Habitat for Humanity International, Habitat for Humanity New York City and Westchester County has served more than 1,800 families in the five boroughs through home construction and preservation, beginning with our very first build on the Lower East Side of Manhattan, during the first-ever Jimmy & Rosalynn Carter Work Project. Since then, Habitat for Humanity New York City and Westchester County has brought together thousands of New Yorkers each year who become part of the solution to New York’s affordable housing need.



Tradeweb has been a New York City company since inception, with our original headquarters in the World Trade Center. After surviving the tragedy of 9/11 and moving to our disaster recovery location in Jersey City, we always imagined coming back to NYC. When we returned in 2010 we wanted to support the NYC community and found that opportunity through Habitat for Humanity. Both our CEO Lee Olesky and I have proudly served on the Board, and the service and volunteerism from our employees has been incredible to experience—from participating in multiple Women’s Build and Brush with Kindness events, to volunteer days, to fundraising galas. We look forward to continuing to support the life-changing work of this organization. ”



SCOTT ZUCKER

Chief Risk and Administrative Officer





Since their support began in 2014, Tradeweb has become a key part of the Dreams family and made a real and tangible difference for our amazing families. It has been CSR in the truest form with Tradeweb colleagues running marathons, trekking the three highest mountains in the UK (in 48 hours), playing our lottery, selling flowers on Valentine’s Day, welcoming our families to the office, sponsoring parties at Hamleys Toy Store in Regent Street, sponsoring film shows in a 5-star hotel, right through to donating office furniture when the Dreams premises was flooded out. Thank you from everyone at Dreams Come True, we are proud to call you our friends and to have you as such a compassionate supporter. ”

RICHARD ASHTON  
CEO Dreams Come True



Dreams Come True

A UK national charity with a big heart and a clear charitable purpose, [Dreams Come True](#) is driven by the belief that every child and young person (CYP) has a right to dream, no matter who they are, and where they live. Dreams is the only wish granting organisation that is singularly focused on delivering dreams to CYPs living in the UK’s highest areas of deprivation, answering a truly unmet need by allowing 5- to 18-year-olds—who would otherwise be missed—a chance to have their own bespoke dream. Over the last 33 years they have fulfilled dreams for over 6,000 CYPs, bringing enormous benefit to not only them, but also their families and carers.



Supporting Dreams Come True has brought Tradeweb much joy over the last 7 years. Seeing the happiness on the faces of the Dreams children brings us great pride. For us to be able to create a memorable experience for them, something to look forward to, and make a real difference in their lives—that’s why we continue to support this incredible organization. ”

UK Co-Chairs, Tradeweb Cares



SHARON MCGEE  
Assistant Vice President,  
Corporate Business



ERIN CONLON  
Assistant Vice President,  
Corporate Business





Tradeweb has been a vital partner to Tuesday’s Children for over a decade, providing many essential ingredients for Tuesday’s Children’s success and sustainability—essential leadership, generous financial support, program partnership through youth and career mentorship. Tradeweb has been a loyal and steady partner that has enabled Tuesday’s Children to Keep the Promise to the 9/11 community and now to our nation’s Gold Star Families. We are incredibly grateful and honored to have such a strong partnership with Tradeweb. ”

TERRY SEARS

Executive Director, Tuesday’s Children



Tuesday’s Children

Tuesday’s Children provides a lifetime of healing for families who have been forever changed by terrorism, military conflict, or mass violence. In the aftermath of the terrorist attacks of Tuesday, September 11, 2001, Tuesday’s Children sent a strong message that the 3,051 children left without a parent belonged to all of us. Tuesday’s Children has kept that promise and, in the two decades since 9/11, has served over 42,000 individuals through a proven range of resilience-building programs built around its evidence-based Long-Term Healing Model. Tuesday’s Children serves as a vital support to thousands of Gold Star children of fallen U.S. military warriors, to global youth impacted by terrorism, and to communities seeking resilience after terrorism and mass violence. Watch Tuesday’s Children: Who We Are In :30 Seconds.



After losing my dad on September 11th, my siblings and I became involved with Tuesday’s Children. Growing up, I attended many of their events like college and career workshops, and throughout many milestones in my life Tuesday’s Children was an invaluable resource for me. After many years of being a Tuesday’s Children family member, I joined the Junior Board in 2018, and know firsthand the impact that this organization can have, helping countless other families like they have helped mine. I love that Tradeweb is so involved with a charity that is so meaningful to me. ”



GABRIELE LENIHAN

Vice President, Client Integration



My first interaction with Tuesday’s Children was in 2014 when Tradeweb partnered with them for our Internship program. Right from the beginning, I was impressed with their enthusiasm and dedication. The networking events give the students invaluable advice on resume writing, job searching and interview techniques. Sharing my work experiences as a mentor to help these individuals reach their professional goals is an experience I will always treasure. ”



MICHAEL BYRNE

Director, Human Resources



I have been a mentor with the Tuesday’s Children Families of the Fallen program for three years now and have built such a strong bond with my mentee, Kai. I am honored to be among those giving back to this incredible organization and shining a light on the effect it has on the lives of those it supports. ”



BRIAN KANALEY

Director, Sales & Relationship Management



# Our Governance

We have invested in strong and well-established governance structures across our global enterprise, led by a Board of Directors that is deeply experienced in our business.

## 2020 Board Diversity

20% FEMALE | 80% MALE

## ESG Steering Committee

ESTABLISHED IN 2020

## External audits conducted annually

SOC 1, SOC 2, SOX 404



# Our Board ...

as of December 30th, 2020



**STEVEN BERNs**  
Senior Financial Executive

Director since April 2020

**Tradeweb Committees:** Audit Committee (Chair)

Extensive financial knowledge, including from his service as Chief Financial Officer of Tribune, Revlon, TWM LLC, and MDC Partners.



**MARTIN BRAND**  
Chairman of the Board & Senior Managing Director, Blackstone

Director since April 2019

**Tradeweb Committees:** Compensation Committee (Chair), Nominating and Corporate Governance Committee

Significant experience leading private equity investments in financial institutions and extensive board experience.



**JOHN FINLEY**  
Senior Managing Director & Chief Legal Officer, Blackstone

Director since March 2019

**Tradeweb Committees:** Compensation Committee, Nominating and Corporate Governance Committee (Chair)

Extensive business, management, and legal experience.



**SCOTT C. GANELES**  
Former Chief Executive Officer, Ipreo Holdings LLC

Director since March 2019

**Tradeweb Committees:** Audit Committee, Compensation Committee

Extensive business and management experience and thorough knowledge of our industry.



**WILLIAM "BILLY" HULT**  
President, Tradeweb Markets Inc.

Director since March 2019

Perspective, management, industry experience, and operational expertise in our business developed as our President.



**PAULA B. MADOFF**  
Advisor, The Goldman Sachs Group, Inc.

Director since March 2019

**Tradeweb Committees:** Audit Committee, Compensation Committee, Nominating and Corporate Governance Committee

Deep bench of knowledge and experience working with sales and distributions for Goldman's interest rate products and mortgages, as well as her significant service on boards and board committees.



**LEE OLESKY**  
Chief Executive Officer & Co-Founder, Tradeweb Markets Inc.

Director since March 2019

Perspective, management, leadership experience and operational expertise in our business developed as our Chief Executive Officer.



**THOMAS PLUTA**  
Managing Director and Co-Head of Global Rates Trading, JP Morgan

Director since March 2019

Significant trading and management experience and deep knowledge of our industry.



**BRIAN WEST<sup>1</sup>**  
Chief Financial Officer, Refinitiv

Director since March 2019

**Tradeweb Committees:** Compensation Committee

Extensive financial knowledge, including service as Chief Financial Officer at GE Aviation, Nielsen Holdings plc, Oscar Insurance Corporation and, most recently, at Refinitiv.



**DEBRA WALTON<sup>2</sup>**  
Chief Revenue Officer, Refinitiv

Director since March 2019

Debra brought extensive business and management experience and valuable knowledge and industry experience to the board during her time as a Director.

<sup>1</sup> Brian West stepped down from the Tradeweb board as of June 30, 2021 (he becomes CFO of Boeing effective August 27, 2021). In his stead, Balbir Bakhshi (Chief Risk Officer, London Stock Exchange Group plc) joined the Tradeweb board as of July 1, 2021.

<sup>2</sup> Debra Walton stepped down from the Tradeweb board as of April 30, 2021. In her stead, Murray Roos (Group Head, Capital Markets, London Stock Exchange Group plc) joined the Tradeweb board as of March 1, 2021.

Von M. Hughes (Managing Director and Partner, PAAMCO Prisma) joined the Tradeweb board as of March 1st, 2021.

# ESG Governance ...

Tradeweb’s Board of Directors is enthusiastic about advancing our ESG strategies across the company, with a planned increase in that scope and focus toward providing oversight and guidance for our ESG commitments and direction.

## ESG GOVERNANCE STRUCTURE

Starting in 2019 and into late 2020, much thought went into formulating what ESG means to Tradeweb and how best to navigate our ESG journey as it relates to our various stakeholders. The formation of the ESG Steering Committee was one result of that process. Made up of

senior level executives covering major business directives across the company, the ESG Steering Committee is an advisory board assembled to guide our focus, and ensure delivery on our thoughtful approach to integrating our ESG strategy into all aspects of our business and operations.

## TRADEWEB ESG GOVERNANCE STRUCTURE



## TRADEWEB ESG STEERING COMMITTEE

Created in 2020, the ESG Steering Committee oversees the implementation of Tradeweb’s ESG strategy and ensures our thoughtful approach is integrated throughout all aspects of our business and operations. To support this implementation, a dedicated role was created and filled in December 2020 to organize and manage our global Corporate Social Responsibility and ESG initiatives. This role reports directly to the Global Head of Corporate Development, who is a member of the Executive Committee and the chair of the ESG Steering Committee.

### Legal & Regulation

**Doug Friedman\***  
General Counsel

### Jennifer Keser

Head of Regulation & Market Structure (Europe & Asia)

### Risk and Facilities

**Scott Zucker\***  
Chief Risk and Administrative Officer

### Stanislas Beckmann

Head of Tradeweb EUBV

### Corporate Development / ESG / Investor Relations

**Simon Maisey\***  
Global Head of Corporate Development, ESG Steering Committee Chair

### Heather Wootten

Corporate Social Responsibility & ESG

### Ashley Serrao\*

Head of U.S. Corporate Development & Investor Relations

### Sameer Murukutla

Investor Relations

### Technology

**Justin Peterson\***  
Chief Technology Officer

### Marketing and Communications

**Michael Cohen\***  
Global Head of Marketing & Communications

### Susan Bennett

Head of Marketing and Communications, Europe & Asia

### Sales and Relationship Management

**Keith Fell\***  
Head of Senior Relationship Management, U.S.

### Zara Pratley\*

Managing Director, Head of European Sales

### Human Resources

**Fred Strobel\***  
Global Head of Human Resources

### Eleanor Quantick

Human Resources



Tradeweb’s approach to integrating ESG into our business comes from a place of thoughtful intention, and represents an organic evolution of the foundation of good work that we pride ourselves in. Utilizing our position at the center of global fixed income markets, we believe we have the opportunity to, in partnership with our clients and other stakeholders, create genuine value in this space and support sustainable evolution in our business. »



### SIMON MAISEY

Global Head of Corporate Development  
ESG Steering Committee Chair

\* Member of the Tradeweb Global Operating Committee



# Global Risk Management ...

The resiliency of our systems and the protection of data are upheld with the highest level of priority. Tradeweb's robust governance structure around data security, regulatory compliance, risk management protocols, and cybersecurity management has many layers consisting of committees and policies in place both regionally and globally and at the highest executive levels of the company. These processes are overseen by our Chief Risk Officer. Tested protocols and structured communication chains dictate precisely how to respond in events such as an outage, breach, or disaster, should one occur, and specific duties and responsibilities are assigned at various levels of the command chain.

Tradeweb has not experienced any data breaches to date.

## THIRD-PARTY VENDOR MANAGEMENT

All critical third-party vendors undergo a robust due-diligence process including analysis relevant to the level of service that they are providing. This includes, but is

not limited to, cyber and risk management review of their controls, policies, and procedures, and a financial review. We conduct these assessments both at the initiation of the relationship and annually thereafter. A full disclosure of Third-Party Data Provider Terms and Conditions can be found [here](#). Additionally, during the onboarding process for all client integrations, we set documentation in place around protocols for use of data, as well as secure data transfer processes in which we plan for and manage any potential associated risk. Tradeweb's Privacy Policy Statement can be found on our [website](#).

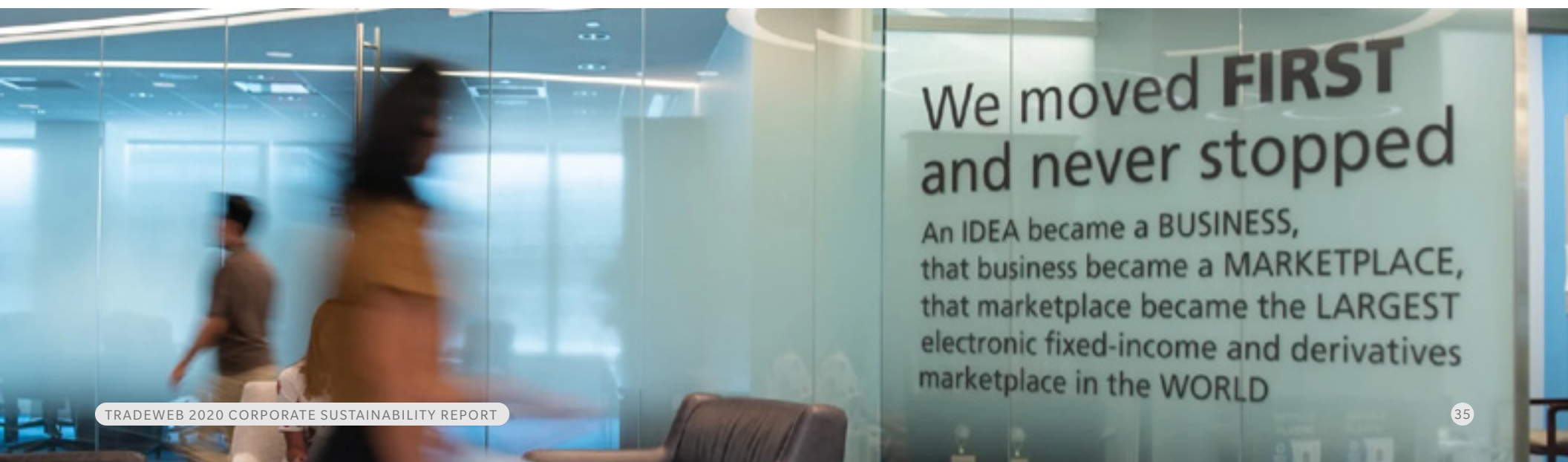
## EMPLOYEE TRAINING

All employees, globally, complete a variety of trainings throughout each year which include (but are not limited to) training on: data privacy and management, information security and cyber risks, data loss prevention (DLP), password management, home network security, business continuity and disaster recovery, and GDPR training.

An ongoing simulated email phishing campaign for all employees helps them to identify and report potential malicious emails. In addition, Tradeweb is fully compliant in our integration of all applicable regulatory requirements for our businesses and employees, including annual Anti Money Laundering (AML) training that is provided to all registered reps in the U.S. through tailored content. All new employees, regardless of registered status, go through new employee training, which includes references to AML requirements, and a full onboarding compliance training. Finally, our Code of Conduct has sections relevant to financial crime; the Code is distributed to all employees globally and required to be reviewed and accepted by all employees when updated.

## SOFTWARE DEVELOPMENT AND RELEASE MANAGEMENT

Tradeweb follows a strict software development lifecycle process by which technical requirements are scripted, then coded utilizing secure coding practices, QA tested, and



assured prior to release. All technology releases are planned via standardized testing and deployment processes, involving change management and release management protocols and authorizations, and conducted through advanced communication internally, and externally to clients. We perform regular system testing and maintenance, including penetration and vulnerability testing, and ongoing monitoring, in addition to maintaining logical and physical segregation of production and non-production environments.

## REGULATORY COMPLIANCE

Tradeweb is a highly regulated organization and, as such, we are in ongoing communication with various regulatory agencies, providing required transparency and reporting. We believe that working closely with such external stakeholders makes us a better, and stronger, organization.

Tradeweb internal controls enable us to anticipate and mitigate various forms of risk. Our Enterprise Risk and Compliance Committee meets regularly and includes representation from executive and senior management, business and information security teams, risk and compliance employees, and internal audit team members.

Annually, we facilitate SOC 1 and SOC 2 audits for all of our business lines, we are GDPR compliant, we comply with section 404 of the Sarbanes-Oxley Act of 2002 and SOX 404, and we conduct continuous internal risk assessments concentrated on each of our business lines. These include Disaster Recovery planning, stress and vulnerability testing, and more, overseen by various committees such as the Risk Steering Committee, Enterprise Risk & Compliance Committee, and Audit Committee. Over the course of 2020, we implemented increased monitoring across our entire system architecture to meet the needs and challenges of a remote work environment.

## TRADEWEB MARKETS IS REGULATED IN THE FOLLOWING MAJOR MARKETS:

### NORTH AMERICA

#### U.S.

[Tradeweb LLC](#), [Tradeweb Direct LLC](#), [Dealerweb Inc.](#)

Securities and Exchange Commission (SEC): registered broker-dealers and Tradeweb Direct and Dealerweb are operators of Alternative Trading Systems (ATS)

Member of FINRA and MSRB

#### TW SEF, DW SEF

Commodity Futures Trading Commission (CFTC): registered as operators of Swap Execution Facilities (SEF)

Member of the NFA

#### Canada

[Tradeweb LLC](#), [Tradeweb Direct](#), [TW SEF](#), [DW SEF](#)

Ontario Securities Commission (OSC) and other Canadian Provinces: registered as an International Dealer and offer services pursuant to an exemption from ATS registration

### EUROPE

#### UK

[Tradeweb Europe Limited](#)

FCA: Authorized Investment Firm and permitted to operate as, and regulated as, a Multilateral Trading Facility (MTF), an Approved Publication Arrangement (APA), and an Organised Trading Facility (OTF)

#### The Netherlands

[Tradeweb EUBV](#)

Permitted to operate, and regulated as, an MTF, APA and OTF

Authorized to offer services throughout Europe Union (EU) and European Economic Area pursuant to European Passport regime

### ASIA

#### China (Shanghai)

[Tradeweb Commercial Information Consulting Co., Ltd.](#)

Recognized electronic trading platform by the PBOC (People's Bank of China)

#### Japan (Tokyo)

[Tradeweb Japan KK](#)

Regulated by the JFSA and JSDA as a Private Trading System (PTS) and Electronic Trading Platform (ETP)

#### Hong Kong

[Tradeweb Europe Limited \(HK Branch\)](#)

Regulated by the SFC as an Automated Trading System (ATS)

#### Singapore

[Tradeweb Europe Limited \(Singapore Branch\)](#)

Regulated by the MAS as a Regulated Market Operator (RMO)

#### Australia

[Tradeweb Europe Limited](#)

TWE is exempt from registration with the Australian Securities & Investments Commission (Australia)

## COVID-19 Preparedness and Rapid Response ...

Tradeweb's swift and seamless transition to work from home during the COVID-19 pandemic was the direct result of a successful implementation of our thorough and tested Business Continuity and Disaster Recovery Plan, in conjunction with early preparation and our historical implementation of remote access setup. Our response began even before office closure mandates, conducting remote work tests at home which helped facilitate a smooth transition.

During this time, the health and safety of our people was the highest priority, ensuring that all employees had the necessary resources, equipment, and support to operate at 100% capacity from the safety of their homes. Due to our resilient and robust BCP/DR protocols that were in place prior to the pandemic, our response to COVID-19 was in large part an extension and expansion of these existing procedures. To that end, we implemented stronger oversight and escalated monitoring over this time, enabling elevated communication abilities. Relevant considerations included additional testing of access and monitoring of the remote environment. Given that employees were previously permissioned for remote work, the infrastructure was largely in place and therefore organically expanded in response to the pandemic. Some specific aspects of our remote infrastructure include utilizing multi-factor authentication access for all employees, and additional protections associated with data loss protection controls, such as restricted printing from outside of the office, locking of desktops, media removal restrictions from Tradeweb remote environment, and other policies that ensure proper data protection. To facilitate collaboration and communication in a remote environment, various IT solutions were installed for all employees.

It's important to note that through one of the greatest periods of market volatility we have experienced, Tradeweb systems performed with no material or significant technological disruptions. This is a testament to our system's resilience, the dedication of our teams, and the strength of our preparedness planning. During this time,

and because of the stability and reliability of our systems, relationships with our clients were not only sustained, but strengthened. Tradeweb's ability to plan ahead, provide employees with all of the equipment and support they needed to operate at full capacity at home, and our numerous remote work trials and risk and compliance testing, prepared us to be at our best even amid the uncertainty of a volatile market and a global health crisis.

### OFFICE RE-ENTRY PLANNING

As a matter of policy, ongoing risk assessments are completed to ensure adaptation to changing guidelines and environments. Given the immediate change brought on by the COVID-19 pandemic, additional assessments were completed to determine areas of focus and updates needed before we could plan for a feasible return to office. Following those assessments, we created an Office Re-Entry Policy to provide guidance and protocols to staff on everything from how to book a seat, to what to do if you have a suspected or confirmed COVID-19 case. New Office Guidance Manuals defined the rules to follow when entering and working in each location, including all relevant local guidance and restrictions. Safety Officers were appointed to ensure the execution of safety protocols and office guidelines. Track and Trace protocols were also developed to provide transparency on who entered the office on what day, and where they sat.

Any re-entry to the office in 2020 was strictly on a voluntary basis.

Under the guidance of executive management and our Health & Safety Steering Committee we continue to adapt to the changing local and global environments, adhering to varying protocols based on relevant jurisdictions.

**Relevant documentation has been made available for all Tradeweb employees on our Coronavirus Update intranet page, including:**

- Risk Assessment
- Office Re-entry Policy
- Office Guidance Manuals
- Local Requirements (e.g., New York City Reopening Safety Plan)
- List of Tradeweb Safety Officers

Additional measures implemented include requiring all employees to review and complete a health screening form for each day at the office. This was expanded to the option of providing proof of vaccination once available. The facilities team in charge of re-entry met twice a week to review COVID-19 updates for all offices globally. A log of office attendance globally is kept and reported to senior management daily. Seating in the office is mandated to be socially distanced, and the office capacity strictly follows limits set by local jurisdictions, usually ~50%. Throughout re-entry, any positive COVID-19 cases of staff have been closely monitored to ensure employee health and safety.

Tradeweb continues to reflect on the lessons learned during these challenging times and will continue to evolve and enhance these efforts into the future.

# Appendix

## INVESTOR CONTACT

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Daniel Noonan  
+1 646 767 4677  
[Daniel.Noonan@tradeweb.com](mailto:Daniel.Noonan@tradeweb.com)

## Forward-Looking Statements and Other Disclosures ...

This document contains forward-looking statements within the meaning of the federal securities laws. Statements related to, among other things, our outlook and future performance, the industry and markets in which we operate, our expectations, beliefs, plans, strategies, objectives, prospects and assumptions, and future events are forward-looking statements. The sustainability data set forth in this report has not been independently audited or verified. The inclusion of information within this report should not be construed as a characterization regarding the materiality of such information for purposes of securities laws or regarding the financial impact of such information.

We have based these forward-looking statements on our current expectations, assumptions, estimates, and projections. While we believe these expectations, assumptions, estimates, and projections are reasonable, such forward-looking statements are only predictions and involve known and unknown risks and uncertainties, many of which are beyond our control. These and other important factors, including those discussed under the heading “Risk Factors” in documents of Tradeweb Markets Inc. on file with or furnished to the SEC, may cause our actual results, performance, or achievements to differ materially from those expressed or implied by these forward-looking statements.

Given these risks and uncertainties, you are cautioned not to place undue reliance on such forward-looking statements. The forward-looking statements contained in this report are not guarantees of future performance and our actual results of operations, financial condition or liquidity, and the development of the industry and markets in which we operate, may differ materially from the forward-looking statements contained in this report. In addition, even if our results of operations, financial condition or liquidity, and events in the industry and markets in which we operate, are consistent with the forward-looking statements contained

in this report, they may not be predictive of results or developments in future periods.

Any forward-looking statement that we make in this report speaks only as of the date of such statement. Except as required by law, we do not undertake any obligation to update or revise, or to publicly announce any update or revision to, any of the forward-looking statements, whether as a result of new information, future events or otherwise, after the date of this report.



# GRI ...

## GRI 102. General Disclosures

### 102-1 to 102-8

Organizational Profile - Name of Organization; Activities, brands, products, and services; Location of headquarters; Location of operations; Ownership and legal form; Markets served; Scale of organization; Information on employees and other workers

Tradeweb Markets Inc.

Tradeweb is an electronic operator of global markets. All of the markets served can be found on our website “Our Markets” page: <https://www.tradeweb.com/>

A list of Tradeweb-offered Market Data products can be found on our website: <https://www.tradeweb.com/our-markets/data-reporting/>

Tradeweb’s Global Headquarters is located in New York City: 1177 Avenue of the Americas, New York, NY 10036

Tradeweb has offices in the United States (headquarters in New York and various satellite offices), the United Kingdom (London office building), The Netherlands, China, Japan, Hong Kong, and Singapore.

Tradeweb is a U.S. publicly listed company that is also a controlled company with majority owner LSEG. Full ownership structure and additional information can be found in our 2020 Annual Reports and Filings: <https://investors.tradeweb.com/financial-information/sec-filings> , <https://investors.tradeweb.com/financial-information/annual-reports>

More than 2,500 clients connect to Tradeweb to form a global network of the world’s largest banks, asset managers, hedge funds, insurance companies, wealth managers, and retail clients. With leading offerings in government bonds, mortgage securities, municipal bonds, credit, and derivatives, we offer over 40 products in more than 65 countries across the globe.

Tradeweb total revenue in 2020 was \$893 million, with an Average Daily Volume of \$838 billion.

Total Number of Global employees as of December 31, 2020 was 961–698 of whom were based in the United States and 263 of whom were based outside of the United States.

There is not a significant portion of the organization’s activities performed by workers who are not employees.

### 102-9

A description of the organization’s supply chain, including its main elements as they relate to the organization’s activities, primary brands, products, and services

See Tradeweb’s Supply Chain Transparency Disclosure statement at <https://www.tradeweb.com/supply-chain-transparency/>

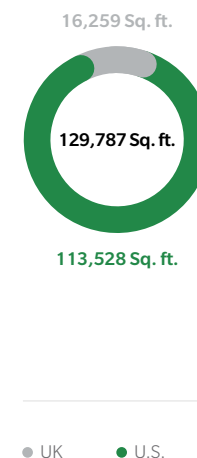
102-10	Significant changes to the organization’s size, structure, ownership, or supply chain	In the year 2020 there were no significant changes to the organization’s size, structure, or supply chain. The significant change in ownership came with London Stock Exchange Group’s purchase of Refinitiv, making LSEG the new majority owner of Tradweb.
102-11	Precautionary Principle or approach - Whether and how the organization applies the Precautionary Principle or approach	
102-12	A list of externally-developed economic, environmental and social charters, principles, or other initiatives to which the organization subscribes, or which it endorses	
102-13	A list of the main membership of industry or other associations, and national or internaional advocacy organizations	See <a href="#">page 36</a> of report
102-14/15	Strategy	See <a href="#">pages 2–3</a> of this report
102-16/17	Ethics & Integrity	See information on our website at <a href="https://www.tradeweb.com/who-we-are/about-us/">https://www.tradeweb.com/who-we-are/about-us/</a>
102-18-39	Governance	For disclosed information, see the Governance section of this report starting on <a href="#">page 31–36</a>
102-40-44	Stakeholder engagement	For relevant stakeholder information, please see our website <a href="http://www.tradeweb.com">www.tradeweb.com</a>
102-45-56	Reporting Practice	For information regarding our reporting practice in this 2020 CSR, see the “About This Report” section on <a href="#">page 4</a> of this report. Tradeweb did not receive any external assurance for this report but that is under consideration for future Corporate Sustainability Reports.
103	Management Approach	Tradeweb has not yet performed an official and documented ESG materiality & management approach assessment; however, we hope to complete one in the coming year.
201	Economic Performance	For Financial Performance data, please visit Tradeweb’s Annual filings on our website <a href="http://investors.tradeweb.com">investors.tradeweb.com</a> . Tradeweb has not formally conducted an environmental materiality assessment but does not believe that there are any material risks to our operations, revenue, or expenditures posed by climate change. Tradeweb does not receive financial assistance from the government.
202	Market Presence	
203	Indirect Economic Impacts	

204	Procurement Impacts	Tradeweb does not track this information at this time; however, we are reviewing procurement processes in the 2021 calendar year and hope to be able to provide additional disclosure in the future.
205	Anti-corruption	Tradeweb employees receive regular anti-corruption training. Tradeweb has had no incidents of corruption or actions taken.
206	Anti-competitive Behavior	Please see our publicly disclosed 10-Q report: <a href="https://investors.tradeweb.com/sec-filings/sec-filing/10-q/0001758730-21-000014">https://investors.tradeweb.com/sec-filings/sec-filing/10-q/0001758730-21-000014</a>

## ENERGY



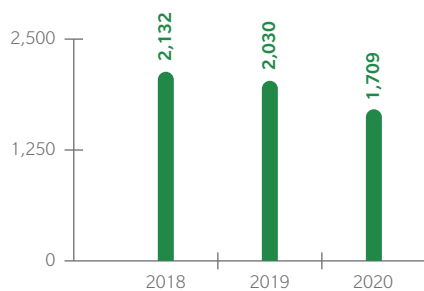
## OFFICE AND DATA CENTER SQUARE FOOTAGE



301	Materials used	N/A—Tradeweb does not manufacture or package goods
302-1	Energy consumption within the organization (renewable and non-renewable)	See energy data table above for our U.S. offices and data centers as well as our London office and UK data centers. NOTE: All energy used for London office is 100% renewable by way of purchasing the renewable energy portion of the energy grid. Tradeweb's UK data centers are covered by 100% REGO-backed certified renewable energy.

302-2	Energy consumption outside of the organization	Tradeweb does not track this information at this time.
302-3	Energy Intensity	Tradeweb is in the process of capturing and producing this metric.
303	Water	Tradeweb is in the process of working with our leased office space to track and measure our water usage.
304	Biodiversity	Tradeweb does not produce, manufacture, or ship materials as part of our business nor do we own or lease land adjacent to or in protected areas or areas of high biodiversity value.
305	Emissions	Tradeweb does not produce, manufacture, or ship materials as part of our business and therefore we do not believe we have any significant Scope 1 emissions to report. Please see informational charts below on the data we have been able to accumulate, thus far, relating to our Scope 2 emissions. NOTE: Tradeweb has not yet completed a formal environmental materiality assessment and is only able to disclose data received from our leased office buildings and data centers in the U.S. and the UK. Energy data is supplied based on Tradeweb's occupancy of each leased office space. Our London, New York City, and Jersey City office locations provide energy information based on our own meter, and the Garden City office location provides energy information based on % occupancy of the building. Energy data in the U.S. was converted to emissions data via the GHG Equivalencies Calculator from U.S. EPA. We do not provide emissions data for our UK office energy as it is 100% renewable.

**CO<sub>2</sub> EMISSIONS FOR U.S. OFFICE BUILDINGS (METRIC TONS)**



306	Effluents and waste	Tradeweb does not have a comprehensive accounting of this data available for 2020 and prior.
307	Environmental Compliance	Tradeweb has not been the subject of significant fines or non-monetary sanctions for non-compliance with environmental laws and/or regulations, and we are not aware of any non-compliance with environmental laws and/or regulations.
404	Training and Education	See <a href="#">page 25</a> of the report.

405	Diversity & Opportunity	For all publicly disclosed diversity information, please see <a href="#">pages 14–15</a> of this report.
406	Non-discrimination	Tradeweb has not had any reported incidents of discrimination in the reporting period.
407	Freedom of Association and Collective Bargaining	
408	Child Labor	
409	Forced or Compulsory Labor	
410	Security Practices	
411	Rights of Indigenous Peoples	Tradeweb has no incidents of violations involving rights of indigenous peoples.
412	Human Rights Assessment	Tradeweb has a supply chain policy statement available on our website and is working on a formal Human Rights Policy Statement this calendar year that will expand outside of the scope of our already documented disclosure and commitments for protecting Human Rights. <a href="https://www.tradeweb.com/supply-chain-transparency/">https://www.tradeweb.com/supply-chain-transparency/</a> .
413	Local Communities	
414	Supplier Social Assessment	Tradeweb will be conducting a relevant assessment in the 2021 calendar year and hopes to provide additional information in the future.
415	Public Policy	Tradeweb does not provide political contributions.
416	Customer Health & Safety	
417	Marketing & Labeling	Product labeling compliance is not relevant to Tradeweb’s business. With regard to the marketing and representation of Tradeweb and our business, we have a Social Media policy for all employees, and dedicated marketing and communications personnel to oversee all public marketing and communications.
418	Customer Privacy	Tradeweb has not received any substantiated complaints concerning breaches of customer privacy or losses of customer data in the reporting period. Tradeweb has had no data breaches in the reporting period.
419	Socioeconomic Compliance	Tradeweb is not in non-compliance with any regulations in the social and economic area.

# SASB...

## Securities and Commodities Exchanges

### Promoting Transparent & Efficient Capital Markets

FN-EX-401a.1 - (1) Number and (2) average duration of (a) halts related to public release of information and (b) pauses related to volatility	N/A—as we are not an exchange, but an electronic trading venue
FN-EX-401a.2 - Percentage of trades generated from automated trading systems	Tradeweb hopes to provide this information in the future.
FN-EX-401a.3 - Description of alert policy regarding timing and nature of public release of information	N/A—as we are not an exchange, but an electronic trading venue
FN-EX-401a.4 - Description of policy to encourage or require listed companies to publicly disclose ESG information	N/A—as we are not an exchange, but an electronic trading venue

### Managing Conflicts of Interest

FN-EX-510a.1 - Total amount of monetary losses as a result of legal proceedings associated with fraud, insider trading, anti-trust, anti-competitive behavior, market manipulation, malpractice, or other related financial industry laws or regulations	\$0
FN-EX-510a.2 - Discussion of processes for identifying and assessing conflicts of interest	Code of Conduct policy is distributed annually to employees who are required to review and attest to understanding and agree to act in accordance.

### Managing Business Continuity & Technology Risks

FN-EX-550a.1 - (1) Number of significant market disruptions and (2) duration of downtime	Information coming soon
FN-EX-550a.2 - (1) Number of data breaches, (2) percentage involving personally identifiable information (PII), (3) number of customers affected	0. Tradeweb did not experience any data breaches.
FN-EX-550a.3 - Description of efforts to prevent technology errors, security breaches, and market disruptions	Tradeweb has robust information security, cyber, and risk management protocols in place including stress tests, vulnerability tests, and employee trainings, among other policies and procedures in place. Find a list and description of these activities on <a href="#">pages 35–37</a> .

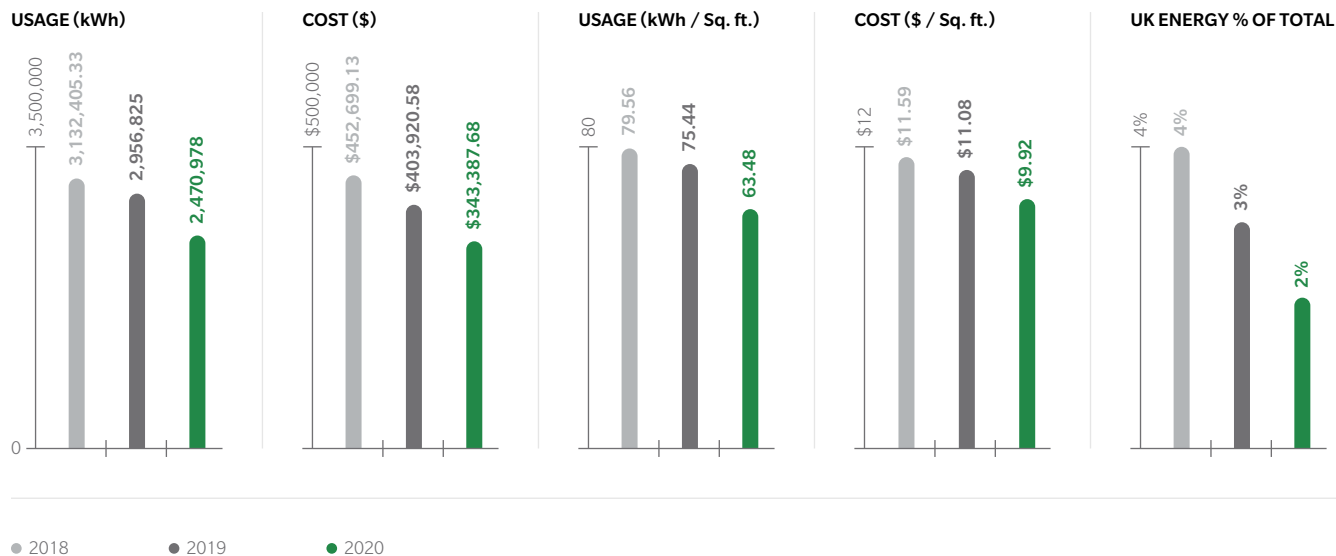
Software & IT Services

Environmental Footprint of Hardware Infrastructure

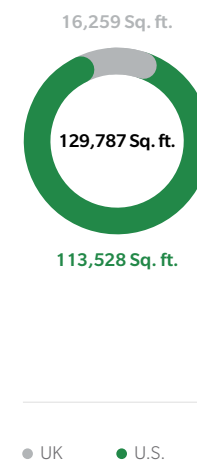
TC-SI-130a.1 - (1) Total energy consumed, (2) percentage grid electricity, (3) percentage renewable

Tradeweb's UK data centers utilize 100% renewable energy coverage, and our London office space is powered completely by renewable energy. In the U.S., we do not currently utilize any renewable energy for office spaces or data centers. See a breakdown of energy usage below.

ENERGY



OFFICE AND DATA CENTER SQUARE FOOTAGE



TC-SI-130a.2 - (1) Total water withdrawn, (2) total water consumed, percentage of each in regions with High or Extremely High Baseline Water Stress

Tradeweb is in the process of working with our various leased office locations to gather data on our total water consumption and understand the sources of water for our buildings. Tradeweb's London Office Location does utilize a percentage of water from rainwater capture.

TC-SI-130a.3 - Discussion of the integration of environmental considerations into strategic planning for data center needs

Tradeweb is currently in process of auditing our data centers to understand renewable options, and each of our data center partners' plans and policies around environmental sustainability.

### Data Privacy & Freedom of Expression

TC-SI-220a.1 - Description of policies and practices relating to behavioral advertising and user privacy	
TC-SI-220a.2 - Number of users whose information is used for secondary purposes	Tradeweb does not use user information for secondary purposes
TC-SI-220a.3 - Total amount of monetary losses as a result of legal proceedings associated with user privacy	\$0
TC-SI-220a.4 - (1) Number of law enforcement requests for user information, (2) number of users whose information was requested, (3) percentage resulting in disclosure	None
TC-SI-220a.5 - List of countries where core products or services are subject to government-required monitoring, blocking, content filtering, or censoring	

### Data Security

TC-SI-230a.1 - (1) Number of data breaches, (2) percentage involving personally identifiable information (PII), (3) number of users affected	0. Tradeweb did not experience any data breaches.
TC-SI-230a.2 - Description of approach to identifying and addressing data security risks, including use of third-party cybersecurity standards	Tradeweb has robust information security, cyber, and risk management protocols in place including stress tests, vulnerability tests, and employee trainings, among other policies and procedures in place. Find a list and description of these activities on <a href="#">pages 35–37</a> .

### Recruiting & Managing a Global, Diverse & Skilled Workforce

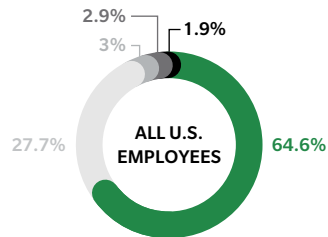
TC-SI-330a.1 - Percentage of employees that are (1) foreign nationals and (2) located offshore	Tradeweb does not disclose this information at this time.
TC-SI-330a.2 - Employee Engagement as a percentage	Tradeweb began tracking employee engagement as a percentage in 2021, but do not have this information available for the year ending 2020 or prior. All of our employee engagement opportunities and internal affinity networks, see report <a href="#">pages 14–26</a> .



TC-SI-330a.3 - Percentage of gender and racial/ethnic group representation for (1) management, (2) technical staff, and (3) all other employees

See tradeweb gender and diversity statistics, below:

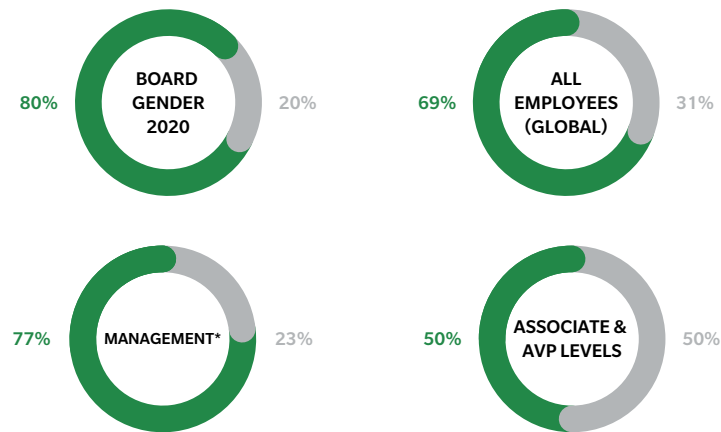
### 2020 U.S. ETHNICITY STATISTICS



- White
- Asian
- Black / African American
- Hispanic or Latino
- Other\*

\*Other = self identification as "two or more races" or "American Indian or Alaskan Native".

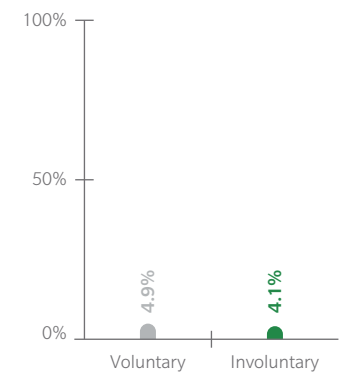
### GENDER STATISTICS



- Male
- Female

\* Management is defined by employees that manage at least one other employee

### EMPLOYEE TURNOVER (2020)



### Intellectual Property Protection & Competitive Behavior

TC-SI-520a.1 - Total amount of monetary losses as a result of legal proceedings associated with anti-competitive behavior regulations

\$0

### Managing Systemic Risks from Technology Disruptions

TC-SI-550a.1 - Number of (1) performance issues and (2) service disruptions; (3) total customer downtime

TC-SI-550a.2 - Description of business continuity risks related to disruptions of operations