

Member of DJSI World, DJSI Europe

Company Information

Country: Switzerland

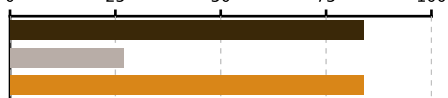
Index market cap*: 63,131

*USD millions

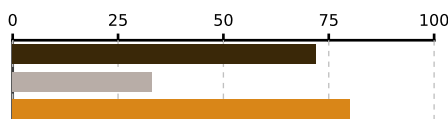
Source: S&P Global BMI, 31 July 2018

2018 Assessment Results

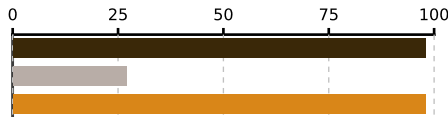
Total Scores



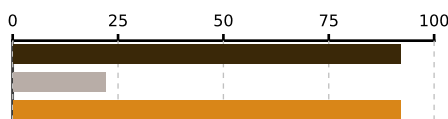
Economic Dimension



Environmental Dimension



Social Dimension



Legend: Industry best score (orange), Industry median score (grey), UBS Group AG (dark blue)

Industry Overview	Maximum Score	Median Score
Total	84	27
Economic Dimension	80	33
Environmental Dimension	98	27
Social Dimension	92	22

DJSI World	Maximum Score	Median Score
Total	84	69
Economic Dimension	80	65
Environmental Dimension	98	79
Social Dimension	92	68

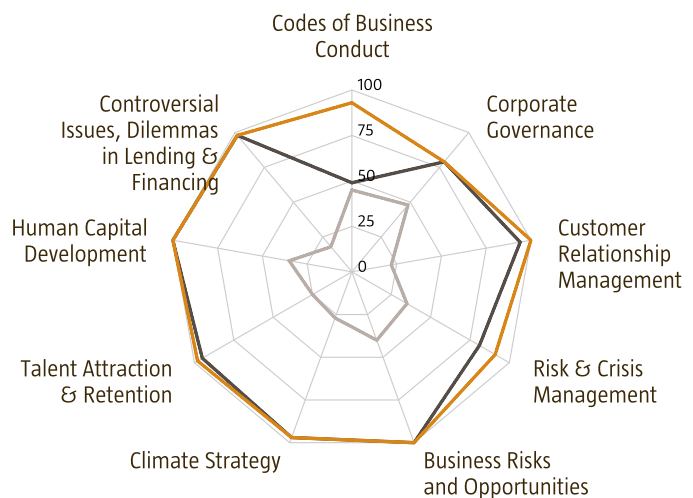
UBS Group AG leads the Diversified Financial Services and Capital Markets industry in RobecoSAM’s Corporate Sustainability Assessment based on its Total Sustainability Score in 2018. This report provides a broad overview of the performance of the Diversified Financial Services and Capital Markets industry and the relative positioning of UBS Group AG at the dimension and criteria level.

Industry Drivers

The diversified financial services and capital markets industry consists of a heterogeneous group of holding companies, credit rating agencies, stock exchanges, asset managers, custody banks, investment banks and brokerage companies. While sub-industry-specific business models expose companies to different sustainability issues, common material themes include corporate governance, risk management, compliance and customer relationships. Additionally, many of the financial service providers within the sector are increasingly managing confidential data. Therefore, protecting customers’ financial and personal data and minimizing cyber risk are crucial to maintaining client trust. Ongoing regulatory pressure, public outcry, publicized litigation and sizeable settlements have sensitized many in the capital markets industry to the very real threats posed by unethical business behavior. In turn, this is leading to greater scrutiny of potentially questionable practices and a re-shaping of corporate culture and employee behavior to better align with client needs and public interests.

Company Performance

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



Legend: Industry best score (orange), Industry average score (grey), UBS Group AG (dark blue)

Corporate Sustainability Assessment

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

RobecoSAM's CSA is one of the longest standing ESG rating methodologies worldwide, dating back to 1999. The CSA assesses companies on the basis of 80 – 120 industry-specific questions across 60 industries focusing on financially material economic, environmental, and social factors that are relevant to companies' success, but that are under-researched in conventional financial analysis. Every year, the CSA undergoes rigorous methodological review in order to ensure that the most current material sustainability topics, as well as emerging, long-term sustainability themes often of interest to investors are reflected, and companies are challenged on topics that lack disclosure today.

The results of the CSA are used for the annual rebalancing of the iconic Dow Jones Sustainability Indices (DJSI) and are made available to investors, researchers, and non-governmental organizations through the Bloomberg Professional platform. The results of the CSA are also used for the creation of the RobecoSAM Sustainability Yearbook, one of the most comprehensive annual publications on corporate sustainability.

Additional Resources

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

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

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