



# **Preqin 2020 Modern Slavery and Human Trafficking Statement**

## About this statement

This Statement is made pursuant to Section 54 of the United Kingdom Modern Slavery Act 2015 (the Act). The Act requires companies operating in the United Kingdom ("UK") to disclose information regarding the steps taken to eradicate slavery and human trafficking from their business and global supply chains.

Preqin Limited ("Preqin") (company number 04456744) was throughout 2020, a direct and wholly owned subsidiary of Preqin Holdings Limited (company number 07633796), both are Limited companies registered in England & Wales. The statement describes our business structure, relevant policies, and ongoing efforts to reduce the possibility that slavery and human trafficking occur in our business or global supply chains.

Preqin approves and releases this statement in compliance with the Act for its financial year ending 31 December 2020.

---

## About our company

Preqin is the Home of Alternatives™, the foremost provider of data, analytics, and insights to the alternative assets community. From pioneering rigorous methods of data collection to developing a revolutionary platform, we have committed ourselves to furthering the understanding of alternatives. Through close partnership with our clients, our 300 researchers based in key financial centres worldwide combine with cutting-edge technology to make sure our data and research is unique, timely, accurate and insightful.

Today, over 120,000 fund managers, investors, placement agents, service providers, advisors and other industry professionals from more than 38,000 firms worldwide are empowered with information that underpins their daily workflow including fundraising, asset allocation, investor relations, origination and business development.

---

## Organisation's structure

Preqin Limited is a wholly owned subsidiary of Preqin Holdings Limited, both UK entities. Preqin Limited has 7 operating subsidiaries worldwide employing over 560 employees. The expanded group operates in Europe (UK and Germany), USA, Asia (Hong Kong, Japan and Singapore), UAE (Dubai) and Australia. Preqin Limited had a global annual turnover of £70million for the FY20.

---

## Our business

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

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

We are organised functionally, but also across four main reportable segments supported by a corporate centre:

- Preqin Pro: Private market data sets and tools
  - Preqin Insights: Research, multi-media and events
  - ESG Solutions: Industry's leading standard for how ESG factors at a firm, portfolio, and asset level are measured, compared, and communicated.
  - Managed Data Services: AI-powered services that extract and harmonize data from GP documents to outsource the creation of an LP's IBOR
- 

## Our supply chains

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

---

## Our policies on slavery and human trafficking

We are committed to ensuring that there is no modern slavery or human trafficking in our supply chains or in any part of our business. Our Anti-slavery Policy reflects our commitment to acting ethically and with integrity in all our business relationships and to implementing and enforcing effective systems and controls to ensure slavery and human trafficking is not taking place anywhere in our supply chains.

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

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

## Due diligence processes for slavery and human trafficking

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

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

## Supplier adherence to our values

We have zero tolerance to slavery and human trafficking. To ensure all those in our supply chain including contractors comply with our values we have in place a rigorous supply chain compliance process.

This process includes a risk assessment of whether a supplier or business partner may have engaged or might engage in unethical and/or unlawful acts such as bribery or corruption, or unethical labour practices such as slavery or human trafficking. Under our internal policies, suppliers and business partners are to be approved through a dedicated procurement compliance team before Preqin enters into an agreement for goods or services. If a screening shows potential problems, we work with business partners on a case-by-case basis to identify underlying issues and to remedy them to our satisfaction.

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

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

Our dedicated compliance team consists of involvement from the following internal departments:

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

---

## Training

To ensure a high level of understanding of the risks of modern slavery and human trafficking in our supply chains and our business, we provide training to our staff.

---

## Our effectiveness in combating slavery and human trafficking

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

---

This statement is made pursuant to section 54(1) of the Modern Slavery Act 2015 and constitutes our slavery and human trafficking statement for the financial year ending 31st December 2020. It was approved by the Preqin Holding Limited board on 29th June 2021.



---

Chris Ferguson, director of Preqin Limited  
Date: 29 June 2021