



**ASIC**  
Australian Securities &  
Investments Commission

## Community Benefit Payment Report

This report is dated 9 February 2022.

Under paragraph 6.2 of the court enforceable undertaking (CEU) given by Barclays Capital Inc (BCI), Barclays Capital Asia Limited (BCAL) and Barclays Capital Securities Limited (BCSL) (together; the Barclays Entities) on 22 March 2017, the Barclays Entities agreed to make a Community Benefit Payment (CBP) of \$500,000.00 [BCI - \$250,000; BCAL - \$125,000; and BCSL - \$125,000] to The Ethics Centre.

Reporting Requirement	Recipient Report
Timing	1. The Ethics Centre confirmed the total payment of the CBP was received from the Barclays Entities on 12 April 2017, in accordance with paragraph 6.2 of the CEU.
CBP initiatives	2. The Ethics Centre has advised that it applied the CBP in accordance with paragraph 6.2 of the CEU and delivered the following initiatives: <ul style="list-style-type: none"><li>a. <b>Ethics Counsel Review</b> - a one-on-one education program for individuals in the financial services industry to make better decisions and act more ethically in their professional life;</li><li>b. <b>Customer Advocate Project</b> - a report on the role of the customer advocate in large banks and financial institutions;</li><li>c. <b>Fieldkit</b> - a digitally delivered capability for financial services professionals to make more ethically informed decisions that are aligned to organisational values, principles and professional codes;</li><li>d. <b>Viewfinder</b> – a diagnostic tool used in ethics education programs to increase the level of ethical literacy of professionals within the financial services sector;</li></ul>

	<ul style="list-style-type: none"> <li>e. <b>Ethics Professional Program Initiative</b> – a workshop program on professional ethics delivered to finance professionals; and</li> <li>f. <b>Banking and Finance Oath</b> –initiatives raising the moral and ethical standards of the banking and finance industry including through the implementation of the Banking and Finance Oath.</li> </ul>
<b>Other conditions or requirements</b>	<ul style="list-style-type: none"> <li>3. The total paid to The Ethics Centre by the Barclays Entities, \$500,000 was expended as per the CBP initiatives.</li> </ul>