









# Appendix 1: SASB Index

Topic	Metric	Category	Units	Code	Stifel 2023 Response
<b>Commercial Banks</b>					
<b>Data Security</b>	(1) Number of data breaches (2) Percentage that are personal data breaches (3) Number of account holders affected	Quantitative	Number, Percentage (%)	FN-CB-230A.1	Except as a matter of public record or regulatory compliance, we do not disclose this information.
	Description of approach to identifying and addressing data security risks	Discussion and Analysis	N/A	FN-CB-270.2	 See Stifel's <a href="#">Annual Report</a> for risk factors related to data security.
<b>Financial Inclusion and Capacity Building</b>	(1) Number and (2) Amount of loans outstanding that qualify for programs designed to promote small business and community development	Quantitative	Number, USD (\$)	FN-CB-240a.1	Number: 67 Amount: \$30,655,718
	(1) Number and (2) Amount of past due and nonaccrual loans or loans subject to forbearance that qualify for programs designed to promote small business and community development	Quantitative	Number, USD (\$)	FN-CB-240a.2	Number: 1 Amount: \$1,407.73
	Number of no-cost retail checking accounts provided to previously unbanked or underbanked customers	Quantitative	Number	FN-CB-240a.3	This is not relevant to Stifel's community investment activities.
	Number of participants in financial literacy initiatives for unbanked, underbanked, or underserved customers	Quantitative	Number	FN-CB-240a.4	1,436 participants benefited from financial literacy events that were sponsored by Stifel's banks or our staff volunteered in. However, we provide financial literacy materials on a much broader basis. In 2023, we provided 3,908 Budget Bunny coloring and 1,389 comic books to local elementary school classrooms, nonprofit partners, and individuals. Additionally, we sponsor online financial education access for underbanked and underserved community members.  We are the lead sponsor of the St. Louis Financial Empowerment Coalition, which provides financial literacy resources and classes year-round to consumers within the St. Louis region. As a result, we are able to reach a broader audience each year.
<b>Incorporation of Environmental, Social, and Governance Factors in Credit Analysis</b>	Description of approach to incorporation of environmental, social, and governance (ESG) factors in credit analysis	Discussion and Analysis	N/A	FN-CB-410a.2	Please refer to page 15 of this report.


Topic	Metric	Category	Units	Code	Stifel 2023 Response
<b>Commercial Banks (Continued)</b>					
<b>Financed Emissions</b>	Absolute gross financed emissions, disaggregated by (1) Scope 1 (2) Scope 2 and (3) Scope 3	Quantitative	Metric tons (t) CO <sub>2</sub> -e	FN-CB-410b.1	Stifel currently does not assess its financed greenhouse gas emissions.
	Gross exposure for each industry by asset class	Quantitative	USD (\$)	FN-CB-410b.2	Stifel currently does not assess its financed greenhouse gas emissions.
	Percentage of gross exposure included in the financed emissions calculation	Quantitative	Percentage (%)	FN-CB-410b.3	Stifel currently does not assess its financed greenhouse gas emissions.
	Description of the methodology used to calculate financed emissions	Quantitative	N/A	FN-CB-410b.4	Stifel currently does not assess its financed greenhouse gas emissions.
<b>Business Ethics</b>	Total amount of monetary losses as a result of legal proceedings associated with fraud, insider trading, antitrust, anticompetitive behavior, market manipulation, malpractice, or other related financial industry laws or regulations	Quantitative	USD (\$)	FN-CB-510a.1	2023 firm-wide losses as the result of legal proceedings totaled \$6,515,887.81.
	Description of whistleblower policies and procedures	Discussion and Analysis	N/A	FN-CB-510a.2	 Non-retaliation policies protect the rights of individuals who report issues in good faith, either through one of the reporting means described in the Obligation to Report Violations section (pages 10-11, <a href="#">Code of Ethics</a> ) or to government authorities. The company maintains a reporting hotline (866-514-5292), where employees and individuals outside the company can anonymously submit a complaint or concern regarding compliance with applicable laws, rules or regulations, the <a href="#">Code of Ethics</a> , as well as accounting, auditing, ethical or other concerns.
<b>Systemic Risk Management</b>	Global Systemically Important Bank (G-SIB) score, by category	Quantitative	Basis points (bps)	FN-CB-550a.1	Stifel and its affiliates are not designated as G-SIBs.
	Description of approach to integrate results of mandatory and voluntary stress tests into capital adequacy planning, long-term corporate strategy, and other business activities	Discussion and Analysis	N/A	FN-CB-550a.2	We conduct an annual idiosyncratic enterprise-wide stress test and other specific stress tests for market, credit, liquidity, and capital in accordance with Federal Reserve Supervisory Guidance 12-7: Supervisory Guidance on Stress Testing for Banking Organizations with More Than \$10 Billion in Total Consolidated Assets.
<b>Activity Metrics</b>	(1) Number and (2) Value of checking and savings accounts by segment: a) Personal b) Small business	Quantitative	Number, USD (\$)	FN-CB-000.A	Given our business model, this is not a meaningful aspect of our banking activities.
	(1) Number and (2) Value of loans by segment: a) Personal, b) Small business, and c) Corporate	Quantitative	Number, USD (\$)	FN-CB-000.B	 Please refer to page 12 of Stifel's <a href="#">4th Quarter and Full-Year 2023 Quarterly Financial Supplement</a> .



Topic	Metric	Category	Units	Code	Stifel 2023 Response
<b>Investment Banking &amp; Brokerage (Continued)</b>					
<b>Employee Diversity and Inclusion</b>	Percentage of (1) Gender and (2) Diversity group representation for: a) Executive management, b) Non-executive management, c) Professionals, and d) All other employees	Quantitative	Percentage (%)	FN-IB-330a.1	Please refer to page 47 of this report.
<b>Incorporation of Environmental, Social, and Governance Factors in Investment Banking and Brokerage Activities</b>	Revenue from (1) Underwriting, (2) Advisory and (3) Securitization transactions incorporating integration of environmental, social, and governance (ESG) factors, by industry	Quantitative	USD (\$)	FN-IB-410a.1	We have implemented a mechanism in our internal customer relationship management tool (via Salesforce) to capture qualitative information as it relates to ESG impact for traditional U.S. M&A advisory transactions, which represents a subset of the broader IB and Institutional Group business operations.
	(1) Number and (2) Total value of investments and loans incorporating integration of environmental, social, and governance (ESG) factors, by industry	Quantitative	Number, USD (\$)	FN-IB-410a.2	We do not make material proprietary investments or loans as part of our investment banking and brokerage activities.
	Description of approach to incorporation of environmental, social, and governance (ESG) factors in investment banking and brokerage activities	Discussion and Analysis	N/A	FN-IB-410a.3	As part of our investment banking activities, Commitment Committee memos must address any relevant environmental, social, and governance (ESG) considerations affecting the issuer and the subject offering, e.g., the issuer’s commitment to contribute positively to environmental or social causes and to conduct its business ethically and responsibly, climate/environmental sustainability issues, diversity, human rights, corporate governance, etc.
<b>Business Ethics</b>	Total amount of monetary losses as a result of legal proceedings associated with fraud, insider trading, antitrust, anticompetitive behavior, market manipulation, malpractice, or other related financial industry laws or regulations	Quantitative	USD (\$)	FN-IB-510a.1	2023 firm-wide losses as the result of legal proceedings totaled \$6,515,887.81.
	Description of whistleblower policies and procedures	Discussion and Analysis	N/A	FN-IB-510a.2	 <p>Non-retaliation policies protect the rights of individuals who report issues in good faith, either through one of the reporting means described in the Obligation to Report Violations section (pages 10-11, Code of Ethics) or to government authorities. The company maintains a reporting hotline (866-514-5292), where employees and individuals outside the company can anonymously submit a complaint or concern regarding compliance with applicable laws, rules or regulations, the <a href="#">Code of Ethics</a>, as well as accounting, auditing, ethical, or other concerns.</p>

Topic	Metric	Category	Units	Code	Stifel 2023 Response
<b>Investment Banking &amp; Brokerage (Continued)</b>					
<b>Professional Integrity</b>	(1) Number and (2) Percentage of licensed employees and identified decision-makers with a record of investment-related investigations, consumer-initiated complaints, private civil litigations, or other regulatory proceedings	Quantitative	Number, Percentage (%)	FN-IB-510b.1	189 employees, representing approximately 3% of all employees. Stifel tracks this metric company-wide and does not disaggregate by complaint type.
	Number of mediation and arbitration cases associated with professional integrity, including duty of care, by party	Quantitative	Number	FN-IB-510b.2	Clients: 23 Employees: 8 Other: 0
	Total amount of monetary losses as a result of legal proceedings associated with professional integrity, including duty of care	Quantitative	USD (\$)	FN-IB-510b.3	2023 firm-wide losses as the result of legal proceedings totaled \$6,515,887.81.
	Description of approach to ensuring professional integrity, including duty of care	Discussion and Analysis	N/A	FN-IB-510b.4	 Please see Stifel's <a href="#">Code of Ethics</a> .
<b>Systemic Risk Management</b>	Global Systemically Important Bank (GSIB) score, by category	Quantitative	Basis points (bps)	FN-IB-550a.1	Stifel and its affiliates are not designated as G-SIBs.
	Description of approach to integrate results of mandatory and voluntary stress tests into capital adequacy planning, long-term corporate strategy, and other business activities	Discussion and Analysis	N/A	FN-IB-550a.2	We conduct an annual idiosyncratic enterprise-wide stress test and other specific stress tests for market, credit, liquidity, and capital in accordance with Federal Reserve Supervisory Guidance 12-7: Supervisory Guidance on Stress Testing for Banking Organizations with More Than \$10 Billion in Total Consolidated Assets.
<b>Employee Incentives and Risk-Taking</b>	Percentage of total remuneration that is variable for Material Risk Takers (MRTs)	Quantitative	Percentage (%)	FN-IB-550b.1	 Variable compensation for named executive officers accounted for approximately 73% of total compensation in 2022. We provide additional information about the proportions of variable and fixed compensation to our executive officers on page 23, as well as selected information regarding potential risks posed by our compensation policies and practices on pages 41-42 of our <a href="#">Proxy Statement</a> . Updated information will be included in future proxy statements.
	Percentage of variable remuneration of Material Risk Takers (MRTs) to which malus or clawback provisions were applied	Quantitative	Percentage (%)	FN-IB-550b.2	 We describe our compensation recoupment policy on page 43 of our <a href="#">Proxy Statement</a> under the heading Clawback and Recoupment Policies. No application of this policy has been made to date.
	Discussion of policies around supervision, control, and validation of traders' pricing of Level 3 assets and liabilities	Discussion and Analysis	N/A	FN-IB-550b.3	 Our Level 3 assets were 5% of assets measured at fair value and less than 1% of total assets as of December 31, 2023. Our Level 3 liabilities were 1% of liabilities measured at fair value and approximately 0% of total liabilities as of December 31, 2023. For more information around our financial assets and liabilities at fair value, please see page 91 in our <a href="#">10-K</a> filing. Updated information will be included in future reports.

Topic	Metric	Category	Units	Code	Stifel 2023 Response
<b>Investment Banking &amp; Brokerage (Continued)</b>					
<b>Activity Metrics</b>	(1) Number and (2) Value of: a) Underwriting, b) Advisory, and c) Securitization transactions	Quantitative	Number, USD (\$)	FN-IB-000.A	We have a mechanism in place that captures qualitative information as it relates to ESG impact for U.S. M&A advisory transactions. We can quantify deal count and fees earned from transactions with this designation.
	(1) Number and (2) Value of proprietary investments and loans by sector	Quantitative	Number, USD (\$)	FN-IB-000.B	We do not make material proprietary investments or loans as part of our investment banking and brokerage activities.
	(1) Number and (2) Value of market making transactions in: a) Fixed income, b) Equity, c) Currency, d) Derivatives, and e) Commodity products	Quantitative	Number, USD (\$)	FN-IB-000.C	Market making activities are not a material component of our overall business activities.

Topic	Metric	Category	Units	Code	Stifel 2023 Response
<b>Asset Management</b>					
<b>Transparent Information and Fair Advice for Customers</b>	(1) Number and (2) Percentage of licensed employees and identified decision-makers with a record of investment-related investigations, consumer-initiated complaints, private civil litigations, or other regulatory proceedings	Quantitative	Number, Percentage (%)	FN-AC-270a.1	Please refer to FN-IB-510b.1 on page 44 of this report.
	Total amount of monetary losses as a result of legal proceedings associated with marketing and communication of financial product-related information to new and returning customers	Quantitative	USD (\$)	FN-AC-270a.2	2023 firm-wide losses as the result of legal proceedings totaled the \$6,515,887.81.
	Description of approach to informing customers about products and services	Discussion and Analysis	N/A	FN-AC-270a.3	Please refer to page 11 of this report.
<b>Employee Diversity and Inclusion</b>	Percentage of (1) Gender and (2) Diversity group representation for: a) Executive management, b) Non-executive management, c) Professionals, and d) All other employees	Quantitative	Percentage (%)	FN-AC-330a.1	Please refer to page 47 of this report.

Topic	Metric	Category	Units	Code	Stifel 2023 Response
<b>Asset Management (Continued)</b>					
<b>Incorporation of Environmental, Social, and Governance Factors in Investment Management and Advisory</b>	Amount of assets under management, by asset class, that employ (1) Integration of environmental, social, and governance (ESG) issues, (2) Sustainability themed investing, and (3) Screening	Quantitative	USD (\$)	FN-AC-410a.1	Stifel-wide, excluding 1919  <i>MF Assets:</i> Total AUM and Accounts Equities: \$612,489,964 (672 Accounts) Total AUM and Accounts Allocation: \$83,705,602 (324 Accounts) Total AUM and Accounts Fixed Income: \$74,604,593 (294 Accounts)  <i>ETF Assets:</i> Total AUM and Accounts Equities: \$220,085,021 (201 Accounts) Total AUM and Accounts Fixed Income: \$4,661,145 (48 Accounts) Total AUM and Accounts Commodities: \$354,057 (12 Accounts) Total AUM and Accounts Allocation: \$0 (5 Accounts)
	Description of approach to incorporation of environmental, social, and governance (ESG) factors in investment or wealth management processes and strategies	Discussion and Analysis	N/A	FN-AC-410a.2	Please refer to page 16 of this report.
	Description of proxy voting and investee engagement policies and procedures	Discussion and Analysis	N/A	FN-AC-410a.3	Please refer to page 16 of this report.
<b>Financed Emissions</b>	Absolute gross financed emissions, disaggregated by (1) Scope 1, (2) Scope 2, and (3) Scope 3	Quantitative	Metric tons (t) CO <sub>2</sub> -e	FN-AC-410b.1	Stifel currently does not assess its financed greenhouse gas emissions.
	Total amount of assets under management (AUM) included in the financed emissions disclosure	Quantitative	USD (\$)	FN-AC-410b.2	Stifel currently does not assess its financed greenhouse gas emissions.
	Percentage of total assets under management (AUM) included in the financed emissions calculation	Quantitative	Percentage (%)	FN-AC-410b.3	Stifel currently does not assess its financed greenhouse gas emissions.
	Description of the methodology used to calculate financed emissions	Discussion and Analysis	N/A	FN-AC-410b.4	Stifel currently does not assess its financed greenhouse gas emissions.
<b>Business Ethics</b>	Total amount of monetary losses as a result of legal proceedings associated with fraud, insider trading, antitrust, anticompetitive behavior, market manipulation, malpractice, or other related financial industry laws or regulations	Quantitative	USD (\$)	FN-AC-510a.1	2023 firm-wide losses as the result of legal proceedings totaled \$6,515,887.81.
	Description of whistleblower policies and procedures	Discussion and Analysis	N/A	FN-AC-510a.2	 Non-retaliation policies protect the rights of individuals who report issues in good faith, either through one of the reporting means described in the Obligation to Report Violations section (pages 10-11, <a href="#">Code of Ethics</a> ) or to government authorities. The company maintains a reporting hotline (866-514-5292), where employees and individuals outside the company can anonymously submit a complaint or concern regarding compliance with applicable laws, rules or regulations, the Code of Ethics, as well as accounting, auditing, ethical, or other concerns.

Topic	Metric	Category	Units	Code	Stifel 2023 Response
<b>Asset Management (Continued)</b>					
<b>Activity Metrics</b>	Total assets under management (AUM)	Quantitative	USD (\$)	FN-AC-000.A	 Please refer to our <a href="#">10-K</a> for fiscal year ended December 31, 2023, for total assets under management.
	Total assets under custody and supervision	Quantitative	USD (\$)	FN-AC-000.B	 Please refer to our <a href="#">10-K</a> for fiscal year ended December 31, 2023, for total assets under management.

<b>Table 3. Gender Representation of U.S. Employees (%)*</b>			
	Women	Men	Not Disclosed
Executive Management	29%	71%	0%
Non-Executive Management	23%	77%	0%
Professionals	31%	69%	0%
All Other Employees	38%	62%	0%

\*Percentages may not add up to 100% as they are rounded to the nearest whole number.

<b>Table 4. Diversity Group Representation of U.S. Employees (%)*</b>						
	Hispanic or Latino	Black or African American	Asian	Two or More Races	White	Other or Not Identified
Executive Management	0%	6%	3%	0%	90%	0%
Non-Executive Management	3%	2%	4%	<1%	91%	<1%
Professionals	4%	5%	7%	<2%	82%	<1%
All Other Employees	4%	4%	4%	<2%	87%	<1%

\*Percentages may not add up to 100% as they are rounded to the nearest whole number.