



**2024 Report**

# Corporate Responsibility at WisdomTree

April 2025

## About WisdomTree

WisdomTree is a global financial innovator, offering a diverse suite of exchange-traded products (“ETPs”), models and solutions, as well as digital asset-related products. Our offerings empower investors to shape their financial future and equip financial professionals to grow their businesses. Leveraging the latest financial infrastructure, we create products that emphasize access and transparency and provide an enhanced user experience. Building on our heritage of innovation, we offer next-generation digital products and services related to tokenized real-world assets and stablecoins, as well as our blockchain-native digital wallet, WisdomTree Prime®, and institutional platform, WisdomTree Connect™.<sup>1</sup>

As of December 31, 2024, we managed approximately \$109.8 billion in assets under management. We create our own indexes for most of our products, and our ETPs span a broad range of strategies, including equities, fixed income, commodities, leveraged and inverse, currency, alternatives and cryptocurrency exposures. We have launched many first-to-market products and pioneered a unique alternative-weighting approach called “Modern Alpha” that combines the outperformance potential of active management with the cost-effective benefits of passive management.

Our products are distributed across all major asset management industry channels, including banks, brokerage firms, registered investment advisers, institutional investors, private wealth managers and online brokers, primarily through our dedicated sales team. We believe technology is transforming how financial advisors conduct business, and through our Advisor and Portfolio Solutions programs, we offer technology-enabled and research-driven solutions. These include portfolio construction, asset allocation, practice management services and digital tools to help advisors address technology challenges and scale their businesses.

As a pioneer in blockchain-enabled financial services, we view the tokenization of real-world assets to be the next phase in the evolution of our industry. Through our digital assets strategy, we are committed to “responsible DeFi,” aligning with regulatory standards to foster growth in this rapidly evolving space. As part of this commitment, we actively engage with regulators and industry stakeholders to promote responsible innovation while ensuring compliance with applicable financial regulations. We recognize that regulatory frameworks for digital assets and decentralized finance continue to develop globally, and we remain focused on integrating appropriate risk management, security and transparency into our digital asset offerings. Our approach to responsible DeFi includes adherence to evolving best practices for consumer protection, financial integrity and operational resilience, reinforcing our commitment to a secure and well-regulated digital financial ecosystem.

<sup>1</sup> The WisdomTree Prime digital wallet and digital asset services and WisdomTree Connect institutional platform are made available through WisdomTree Digital Movement, Inc., a federally registered money services business, state-licensed money transmitter and financial technology company (NMLS ID: 2372500) or WisdomTree Digital Trust Company, LLC, in select U.S. jurisdictions and may be limited where prohibited by law. WisdomTree Digital Trust Company, LLC, is chartered as a limited purpose trust company by the New York State Department of Financial Services to engage in virtual currency business. Visit <https://www.wisdomtreeprime.com> or the WisdomTree Prime mobile app or <https://www.wisdomtreeconnect.com> for more information.

As used in this report, “WisdomTree” or “the Company” refers to WisdomTree, Inc. (“WT”), and, as applicable, its global subsidiaries or business as a whole.

WisdomTree Asset Management, Inc. (“WTAM”), is a subsidiary of WT and a registered investment adviser with the Securities and Exchange Commission (“SEC”). WTAM provides an investment management program for the U.S.-listed WisdomTree exchange-traded funds (“ETFs”) issued by WisdomTree Trust. WTAM also develops, maintains and makes available asset allocation models based on different investment strategies. WisdomTree’s European-listed ETPs are managed by certain subsidiaries of WT based in Europe (collectively, “WisdomTree Europe”).

WTAM and WisdomTree Europe arrange for sub-advisory, transfer agency, custody, fund administration, securities lending and other non-distribution-related services necessary for the U.S.-listed ETFs and European-listed ETPs, respectively.

WisdomTree’s digital funds and tokenized assets business, including WisdomTree Prime and WisdomTree Connect (collectively, “WT Digital Assets”), are operated and managed by certain subsidiaries of WT with the engagement of certain third-party service providers.

WisdomTree® is the marketing name for WisdomTree, Inc., and its subsidiaries worldwide.

WisdomTree®, WisdomTree Prime®, WisdomTree Connect™ and Modern Alpha® are trademarks of WisdomTree, Inc., in the United States and in other countries.

## Mission, Vision, Values

### OUR MISSION

To deliver a better financial experience through the quality of our products, solutions and engagement

- + Be a profitable, growing and enduring financial services company with diversified revenue streams, client segments and global coverage

### OUR VISION

To be the leader in the best transparent structures and executions in financial services

- + Deliver profitable growth through a balance of top-line revenue, expense management and prudent growth and efficiency investments

### OUR VALUES

Excellence & Innovation – *“Play for greatness”*

- + Think big, don’t be afraid to disrupt the status quo
- + Relentlessly focus on improving our process, product and solutions

Transparency & Accountability – *“Be accountable to ourselves and each other”*

- + Always strive to do the right thing, without shortcuts or exceptions
- + Learn from our mistakes and celebrate success

Have Fun

- + Work with integrity and purpose
- + Support each other as a global team

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## 1. Overview

### CORPORATE RESPONSIBILITY AT WISDOMTREE

Corporate responsibility is embedded throughout our business, which we believe benefits employees, stockholders and other stakeholders. We have made a firm-wide commitment to incorporate corporate responsibility efforts through various initiatives, including working to enhance our employee experience through training and the provision of employee benefits, investing in our community through firm-wide service projects, caring for our environment and continuously striving to improve corporate governance. We are proud to have built a diverse and inclusive workforce, including our leadership teams and boards of directors.

You can access WisdomTree's Corporate Governance documents at:

<https://ir.wisdomtree.com/corporate-governance/governance-documents>



**PRI** In 2019, we became a signatory of the United Nations Principles for Responsible Investment (“PRI”) and continue to maintain our signatory status



**Corporate Responsibility Report** We published our first Corporate Responsibility Report in 2020, providing transparency into the different ways that WisdomTree incorporates corporate responsibility into our business



**Women's Initiative Network** We established a Women's Initiative Network (“WIN”) in 2019, designed to empower women in our organization and showcase our commitment to equity in the workforce



**Inclusion & Engagement** We established an employee-led Diversity, Equity & Inclusion Council in 2021 to foster a diverse, equitable and inclusive workplace culture

## 2. Governance

### CORPORATE RESPONSIBILITY GOVERNANCE

WisdomTree has established a Global Sustainability Committee to drive corporate responsibility efforts and advance our long-term sustainability strategy, with oversight from the WT Board of Directors (the “Board”) and our executive management team.

The Nominating and Governance Committee of the Board reviews and provides oversight of the Company’s strategy, initiatives and policies concerning corporate responsibility, including an annual review of the Company’s human rights policy and environmental, social and governance matters, and makes recommendations to the Board regarding such initiatives and relevant public reporting and disclosures. The executive management team provides guidance and direction on the implementation of sustainability initiatives through the Global Sustainability Committee.

Our Global Sustainability Committee is comprised of leaders throughout the firm and is responsible for developing and implementing WisdomTree’s corporate sustainability strategy across the Company.



## 2. Governance (continued)

### WISDOMTREE BOARD OF DIRECTORS

The Board sets high standards for employees, officers and directors. Implicit in this philosophy is the importance of sound corporate governance. It is the Board's duty to serve as a prudent fiduciary for stockholders and to oversee the management of the Company's business. To this end, the Board has established an Audit Committee, a Compensation Committee, a Nominating and Governance Committee and a Technology Strategy Committee, each of which operates pursuant to a charter adopted by the Board.

The Board has developed Corporate Governance Guidelines that serve to promote effective governance of WisdomTree. These guidelines include, but are not limited to:

- + Standards for Board composition, leadership, term and independence
- + Conflicts of interest
- + Compensation and Stock Ownership Guidelines
- + Annual Board and Committee evaluations

### UN PRINCIPLES FOR RESPONSIBLE INVESTMENT (PRI)

Since February 2019, WisdomTree has been a signatory of the United Nations Principles for Responsible Investment.



Founded in 2005, the PRI is a United Nations-supported network that encourages asset managers and other institutional investors to engage with corporations on environmental, social and governance issues to create a more sustainable global financial system and support long-term investment value.



### 3. Third-Party Service Providers

#### **SERVICE PROVIDER CODE OF CONDUCT**

WisdomTree is committed to conducting its business activities in a socially responsible and ethical manner, and we expect our service providers to act in the same manner. Similar to WisdomTree, the service providers that are most critical to our business are primarily financial and professional services companies whose environmental impact is fairly low. WisdomTree is dedicated to working with service providers who are committed to upholding the highest ethical standards, particularly in how they support their employees and sustainability initiatives. We expect each service provider to have a robust corporate responsibility program in place, and we thoughtfully incorporate the review of these programs into our standard due diligence process. On an ongoing basis, we review the policies of our most critical service providers to ensure that they continue to meet these high ethical standards. To date, we have not found any such service providers to be in noncompliance.

At a minimum, WisdomTree expects primary service providers to:

- + hold themselves to the highest ethical standards and act with integrity at all times;
- + fully comply with all applicable laws and regulations within their respective industries and jurisdictions, including with regard to fair competition and anti-trust, bribery and corruption, employee wages and working hours, the use of child or forced labor, and involvement with human trafficking and slavery across their supply chain;
- + provide a safe work environment for their employees and treat all employees and suppliers with dignity and respect; and
- + disclose any potential conflicts of interest in relation to the business they conduct with WisdomTree.

## 4. Culture of Compliance

### COMPLIANCE

WisdomTree is proud of its robust compliance program. It is WisdomTree's policy to comply with all applicable governmental laws, rules and regulations. Each employee is responsible for adhering to the standards and restrictions imposed by those laws, rules and regulations, including those relating to accounting and auditing matters.

### COMPLIANCE TRAINING FOR EMPLOYEES

WisdomTree requires all new employees to attend a compliance training session with a Compliance Officer. This comprehensive training covers all material aspects of WisdomTree's policies and procedures, including the Code of Ethics, and ensures that employees understand regulatory requirements and ethical responsibilities. The Code of Ethics is a document that sets forth the standard of conduct for employees, including, among other things, the safeguarding of material non-public information, the avoidance of conflicts of interest, complying with applicable federal securities laws and promptly reporting any violations of the Code of Ethics. Thereafter, at least annually, employees are required to attest that they have read and understood all employee-related applicable policies and procedures. These requirements are mandatory; non-attendance/non-completion may result in disciplinary action and, ultimately, loss of employment.

Certain WisdomTree employees are designated as "Access Persons" because of their job function/title or their access to certain information. Access Persons are subject to additional compliance requirements, including pre-clearing certain personal security trades with the Compliance Department before execution.

WisdomTree employees in Europe who hold "Certification Functions" or are "Senior Managers" under the Senior Managers and Certification Regime in the UK and pre-approved Control Functions under the Irish regulatory regime are required to undergo fitness and probity testing on an annual basis to ensure they remain competent to hold "client dealing" functions or other positions of responsibility at the Company.

All European employees are required to complete "continuous professional development" hours each year alongside their compliance training. This requirement is 10 or 15 hours, depending on their jurisdiction in Europe.

To help reinforce WisdomTree's commitment to shared values and to keep integrity, teamwork and excellence at the forefront, WisdomTree conducts training in order to educate employees on impending regulatory changes, certain compliance policies and procedures, and industry best practices as they arise. For example, on an annual basis, WisdomTree provides unconscious bias and other training for all employees, including leaders and managers, to assist in addressing potential personal biases that they may have when considering new hires and the advancement of existing employees. WisdomTree continuously explores other training opportunities and needs within the Company.

## 4. Culture of Compliance (continued)

### EMPLOYEE POLICIES & PROCEDURES

WisdomTree employees are required to adhere to strict policies and procedures to ensure that they act with the highest ethical and business standards:

- + **Code of Business Conduct and Ethics:** This policy governs the expectations for the conduct of our employees. At the time of hire and annually thereafter, WisdomTree employees are required to certify that they have read, understand and agree to comply with the Company's Code of Business Conduct and Ethics.
- + **Whistleblower Policy:** WisdomTree has an established Whistleblower Policy that enables employees to report instances of noncompliance on a named or anonymous basis (see additional information in the Whistleblower Policy section below).
- + **Insider Trading Policy:** The Insider Trading Policy aims to prevent insider trading in the Company's securities, misuse of material nonpublic information and impropriety while ensuring compliance with legal obligations and supervision of Company personnel.
- + **Political Contributions Policy:** This policy sets forth parameters and reporting requirements for employee contributions to political organizations and campaigns for U.S.-based employees.

### BUSINESS CONTINUITY AND DISASTER RECOVERY

At WisdomTree, ensuring the continued operation of our business in the event of a significant business disruption or disaster is critical to us and our investors. To that end, WisdomTree has established a formal Business Continuity Plan (the "BCP"), which is designed to address unexpected events or significant business disruptions and to comply with all applicable federal securities laws and other applicable laws or regulations to ensure preparedness during and following an unexpected event or significant business disruption. The BCP provides a structure and necessary operational details so that employees, the executive team, management, business operations and technical teams can respond appropriately in the event of any disruption that could impact critical business functions. The BCP is designed to assess any situation and identify the potential impact on any critical business functions of WisdomTree, enabling us to recover and restore business operations as quickly as possible, continue to provide an acceptable level of services during any prolonged disruption, protect our books and records, and preserve Fund shareholder services.

## 4. Culture of Compliance (continued)

### CYBERSECURITY

WisdomTree's cybersecurity risk management approach is based on emerging best practices for protecting against cyber threats—namely, the NIST Cybersecurity Framework.<sup>2</sup> The NIST Cybersecurity Framework defines the set of people, processes and technology activities required to assess and mitigate cybersecurity risk. These activities are mapped to a set of specific technical security controls and cybersecurity policies and applied to information assets<sup>3</sup> based on their business criticality and level of risk.

Our cybersecurity risk management policies and procedures include processes for the identification, assessment and treatment through mitigation, transfer, avoidance and/or acceptance of cybersecurity risks and are designed to address cybersecurity risks identified by external auditors and assessors, threat intelligence providers, internal stakeholders, vulnerability management programs and security management programs.

As part of our cybersecurity risk management program, WisdomTree uses external service providers, where appropriate, to assess, test or otherwise assist with aspects of our security controls. Additionally, as a public company, we are subject to Sarbanes-Oxley (SOX) requirements and must undergo independent audits of Information Technology General Controls (ITGC) in support of Internal Control over Financial Reporting (ICFR). These audits assess key information security and cybersecurity risks in the environment that may affect the confidentiality, integrity and availability of financial reporting systems and data.

WisdomTree also conducts employee training and awareness programs that include periodic and ongoing assessments in an effort to drive adoption and awareness of cybersecurity processes and controls. On an annual basis, employees are trained to identify potential cybersecurity threats so that they are better able to protect the Company and colleagues from such risks. In addition, WisdomTree carries an information security risk insurance policy that covers information security breaches.

Our cybersecurity risk management program and related operations and processes are directed by our Chief Information Officer ("CIO"), and the Board's Audit Committee, which is 100% independent, oversees WisdomTree's management of cybersecurity risks. Pursuant to the Audit Committee charter, the Audit Committee is responsible for discussing cybersecurity-related risks with management and the steps management has taken to monitor and control such risks, including our risk assessment and risk management policies. The CIO regularly reports to the Audit Committee on our cybersecurity risks, and the chair of the Audit Committee reports on these discussions with the full Board of Directors. In addition, the CIO provides periodic reports to our Board of Directors.

To date, WisdomTree has not experienced any information security breaches. Accordingly, WisdomTree has not incurred any expenses from information security breaches or from related penalties and settlements to date.

<sup>2</sup> National Institute of Standards and Technology (NIST) Cybersecurity Framework: <http://www.nist.gov/cyberframework/>.

<sup>3</sup> An information asset is any data stored in company systems that is used or transformed by business processes.

## 4. Culture of Compliance (continued)

### **POLITICAL CONTRIBUTIONS**

Political contributions by corporations to candidates are regulated, and may be prohibited, by the election laws of the applicable jurisdiction. Accordingly, it is WisdomTree's policy not to use company funds to make contributions for political purposes where such contributions are not permitted by the laws of the applicable jurisdiction. Any such contributions, where permitted, must be reviewed and approved by the Chief Legal Officer in advance.

In 2024, WisdomTree did not make any corporate political contributions other than membership dues to trade associations.

In addition, U.S.-based employees of WisdomTree must follow the procedures and reporting requirements of the Company's Political Contributions Policy when making personal political contributions, which includes the requirement to pre-clear any such contributions with the Company's Compliance Department.

### **WHISTLEBLOWER POLICY**

In order to maintain the highest standards of business conduct and ethics regarding its accounting standards and disclosures, internal accounting controls, audit practices and compliance with applicable laws, rules and regulations, WisdomTree has established a formal Whistleblower Policy.

If employees have concerns or complaints related to compliance policies and procedures or applicable laws, or if they believe that a potential compliance violation has occurred or is occurring, relating to WisdomTree, they may submit the complaint or concern directly to the applicable Chief Compliance Officer ("CCO"), Chief Legal Officer ("CLO") or other designated officers of WisdomTree under the Whistleblower Policy, as applicable. Alternatively, employees can make an anonymous submission through the Company's compliance management portal or send their complaint or concern to the mailing address and e-mail address maintained for the receipt of any accounting or auditing concerns or to the Company's outside legal counsel. WisdomTree's European employees have the option to submit whistleblowing notifications to the relevant regulator if they feel that concerns cannot be raised internally.

All complaints and concerns submitted will be treated seriously and with the utmost care, promptly reviewed by the applicable CCO, CLO or other designated officers and, if applicable, such other business area(s) as may be affected by such complaints or concerns and brought to the attention of other members of senior management and/or the applicable board of directors for further review or action. Each review will be conducted in a confidential manner to the fullest extent possible, consistent with the need to conduct an adequate review.

WisdomTree will not discharge, demote, suspend, threaten, harass or in any manner retaliate or discriminate against any employee who, in good faith, reports concerns regarding the Company's accounting, internal accounting controls, financial statements or auditing or compliance matters.

To date, no employee whistleblower complaints have been made.

## 4. Culture of Compliance (continued)

### ANTI-MONEY LAUNDERING

WTAM has adopted AML policies and procedures as best practice for its U.S. ETF business. The U.S. AML policy identifies an AML Compliance Officer (“AMLCO”) who is responsible for overseeing, implementing, monitoring and enforcing all aspects of the AML policy.

Given WTAM’s business structure, the AML function is performed for the Company’s U.S. ETF business by our transfer agent, The Bank of New York Mellon (“BNY”), and our distributor, Foreside Fund Services, LLC (“Foreside”), (referred to collectively as the “AML service providers”). The AMLCO oversees these AML service providers on an ongoing basis consistent with the AML policy and procedures, ensuring established written anti-money laundering compliance programs reasonably designed to comply with all relevant anti-money laundering laws. The AMLCO receives a quarterly AML certification from each AML service provider attesting to the effectiveness of its procedures and notifications of any AML issues that occurred during the period.

Further, WT Digital Assets presents an addition to the Company’s overall AML compliance responsibilities and potential liability. Unlike WTAM and the U.S. ETF business, WT Digital Assets sells products directly to consumers. This obligates WT Digital Assets to develop an AML program that fully complies with the U.S. Bank Secrecy Act (“BSA”), related state laws and the economic sanctions program administered by the Office of Foreign Assets Control (“OFAC”). As a result, WT Digital Assets has developed an AML program that has:

- + appropriate policies and procedures to comply with the relevant regulation under the BSA. This includes appropriate controls to detect and report unusual or suspicious activity;
- + designated an AMLCO for WT Digital Assets;
- + an independent test (audit) of the AML compliance function on an at least annual basis; and
- + appropriate subject-matter-related training.

In addition, WT Digital Assets has created an appropriate OFAC compliance program. All customers are scanned against the relevant sanctions list at account opening and ongoing. Vendors and U.S.-based employees of WT Digital Assets are included in the screening program.

In Europe, WisdomTree is required, under legal and regulatory requirements, to adopt effective and adequate procedures to detect and prevent money laundering and terrorist financing. Our Europe AML policies and procedures extend across our European business and also consider the implications and potential risks of any third parties and service providers. Under our Europe AML policy, WisdomTree has appointed Money Laundering Reporting Officers who are responsible for overseeing, implementing, monitoring and enforcing all aspects of the AML policy for their respective WisdomTree Europe entities. The Company’s compliance function supports these efforts. Policy reviews are undertaken on a periodic basis with reporting to senior management, the boards of directors of WisdomTree UK Ltd and WisdomTree Ireland Ltd and the WT Board.

## 4. Culture of Compliance (continued)

### ANTI-BRIBERY AND CORRUPTION

WisdomTree has established policies to demonstrate its commitment to preventing bribery and corruption and establishing a zero-tolerance approach in all parts of the organization's business operation. These policies are overseen by the WT Board of Directors and executive management team.

WisdomTree aims to limit its exposure to bribery by:

- + setting out clear policies that prohibit bribery and corruption for WisdomTree's operations;
- + training all employees so that they can recognize and avoid bribery offenses or suspicious activity;
- + encouraging employees to be vigilant and to report any suspicion of bribery, providing them with suitable channels of communication and ensuring sensitive information is treated appropriately; and
- + taking appropriate action against any individual(s) involved in bribery.

To date, no fines have been imposed on, and no associated settlements have been entered into by, WisdomTree relating to bribery or corruption violations.

### THIRD-PARTY OVERSIGHT

WisdomTree's business relies on third-party sub-advisers and other service providers for trading, investment management, distribution and administrative services, and it has formal agreements in place for all such relationships. Sub-advisers have a fiduciary duty to manage all investor accounts in a fair and equitable manner, while service providers must comply with all applicable rules and regulations regarding trading, investment management and administrative activities.

Department heads conduct initial and ongoing due diligence on sub-advisers and/or third-party service providers as it relates to their functions and operations, reporting any issues that present business or compliance concerns to the appropriate member of senior management and/or the CCO. The CCO receives periodic due diligence questionnaires from each sub-adviser detailing the sub-adviser's compliance with applicable securities laws. Certain WisdomTree employees also review reports that detail the internal control environment specifics and whether any deficiencies exist that require remediation.

In addition, WisdomTree has established Risk Management Committees in both the U.S. and Europe. These committees, which generally meet quarterly, consist of members of senior management and oversee relevant risks both inside and outside the Company, including any heightened or changed risks as they relate to independent third-party service providers.

WT Digital Assets also maintains a vendor management program specially designed to assess and manage risks associated with third-party relationships. Through initial due diligence, ongoing monitoring and regular review by the Digital Assets Risk Management Committee, the program helps ensure that vendors comply with contractual, legal, regulatory and information security requirements. The program also incorporates key regulatory expectations, such as OFAC checks and documented testing.

## 5. Inclusion & Engagement

### LEADERSHIP & EMPLOYEE BASE

We recognize that a diverse set of perspectives is critical to innovation. We are committed to fostering an inclusive workplace by seeking qualified candidates from a broad range of backgrounds and experiences, including those outside of traditional fields.

In evaluating director candidates, the Nominating and Governance Committee, in accordance with the Board's Corporate Governance Guidelines, considers, among other things, whether the candidate:

- + if elected, assists in achieving a mix of Board members that represents a diversity of background and experience, inclusive of gender, race, ethnicity, age, gender identity, gender expression and sexual orientation;
- + is accomplished in their field and has a reputation, both personal and professional, that is consistent with the image and reputation of the Company;
- + has knowledge of the Company and its industry and the issues affecting the Company;
- + is able to develop a good working relationship with other Board members and contribute to the Board's working relationship with the senior management of the Company; and
- + is able to suggest business opportunities to the Company.

Background information about the members of the Board can be found at <https://ir.wisdomtree.com/corporate-governance/board-of-directors>.

As it relates to our employees, WisdomTree's organizational policies emphasize fairness and equal opportunity for all, ensuring a non-discriminatory approach to hiring, development and performance evaluations. We pride ourselves on the diversity of our employee base globally and are committed to offering employment to the best possible candidates. Notably, WisdomTree Europe boasts employees from 25 different nationalities who speak 17 languages and are based throughout multiple countries, including the United Kingdom, Italy, Ireland, France, Germany, Spain and Sweden.



## 5. Inclusion & Engagement (continued)

### DEI COUNCIL

At WisdomTree, we envision a future of investment excellence driven by a commitment to continuously strengthen our diverse, equitable and inclusive workplace culture. Our global, employee-led Diversity, Equity & Inclusion (DEI) Council, established in 2021, is comprised of senior leaders and employees from both the U.S. and Europe and oversees initiatives like neurodiversity training, implicit bias workshops, inclusive feedback training and financial literacy programs. The DEI Council also promotes awareness days and months across the firm in recognition of Black history, women's history, pride, mental health and men's health, among others.



### WOMEN'S INITIATIVE NETWORK (WIN)

WisdomTree's Women's Initiative Network, or WIN, is a global, employee-led network that was launched in 2019 and supports career and leadership development through global events, seminars, roundtable forums, charitable giving initiatives and a mentorship program that connects employees of all genders with firm leaders to help them achieve their career development goals. WIN initiatives have fostered firm-wide connectivity and increased internal and external visibility for female employees.



## 6. Employee Experience

### COMPENSATION AND BENEFITS

WisdomTree is committed to rewarding and supporting our employees in order to continue to attract and retain top talent. Our incentive compensation program has been designed to reward our employees for their individual performance as well as the Company's performance and includes various quantitative metrics and qualitative results that incentivize growth. We believe a key factor in our success has been and continues to be fostering an entrepreneurial culture in which our employees act and think like our owners. As such, we believe that equity awards are an important part of our employees' overall compensation package and that incentivizing our employees with equity aligns the interests of our employees with our stockholders.

We also offer a wide array of benefits including:

- + Generous health care coverage
- + Employee retirement program – In the U.S., 50% of employee 401(k) contributions are matched
- + Employee HSA deductible benefit – In the U.S., WisdomTree contributes 50% of the medical deductible toward the Health Savings Accounts (HSAs) of eligible employees
- + Flexible paid time off for U.S. employees
- + Additional “Wellness Days” for U.S. employees, which are scheduled office closures around major market holidays
- + Eight weeks of paid sabbatical leave after 10 years of service with WisdomTree
- + Life insurance and short- and long-term disability benefits
- + Educational Assistance Program
- + Paid parental leave for both parents
- + Travel insurance
- + Stipend for mobile phone and home office supplies
- + Discounted gym memberships
- + Coverage for pet insurance
- + Virtual yoga, wellness and meditation sessions
- + Volunteer opportunities
- + Commuter benefits
- + Employee referral bonus
- + Corporate entertainment discount programs

## 6. Employee Experience (continued)

### EMPLOYEE TRAINING AND DEVELOPMENT OPPORTUNITIES

WisdomTree provides a variety of opportunities for our employees to build new skills and further their career development, including:

- + **WisdomTree Talks:** Employees are invited to discussions hosted by each department to gain a holistic view of the Company and better understand what their colleagues' jobs entail
- + **Job-specific training courses:** Employees are invited to training sessions, including regular technology-focused sessions
- + **Professional skills training:** WisdomTree partners with leading training providers to offer sessions on key workplace skills, including productivity, collaboration, communication and more; these interactive trainings equip employees with practical tools to enhance their effectiveness and professional growth
- + **Leadership coaching:** WisdomTree's full-time leadership specialist encourages team building, facilitates 360° manager feedback and provides communication coaching to managers and future leaders
- + **Executive lunches:** These group lunches offer an opportunity for all employees to get to know their senior leaders in a less structured setting
- + **Cybersecurity training:** In addition to our robust cybersecurity policies and procedures in place, on an annual basis, employees are trained to identify potential cybersecurity threats so that they are better able to protect the Company and colleagues from such risks
- + **Town halls:** Monthly regional and quarterly global town halls are held to inform our employees of business developments and job openings for those seeking career development opportunities
- + **WIN/DEI Council-sponsored events:** All employees are invited to participate in training, roundtable discussions and events sponsored by WIN and/or the DEI Council, which include topics such as negotiation skills, male allyship and women in leadership
- + **Mentorship program:** The WIN mentorship program connects employees of all genders with firm leaders to help them achieve their career development goals
- + **Certification & licensing support:** WisdomTree provides financial support or study resources for employees pursuing industry-recognized certifications (e.g., CFA, CFP, FINRA licenses) to enhance their professional expertise
- + **Weekly leadership update:** There is a weekly email from leadership providing key business updates, company milestones and industry insights, ensuring employees stay informed and connected to the broader goals of the organization

## 6. Employee Experience (continued)

### EMPLOYEE WELLNESS, HEALTH AND SAFETY

The well-being of our employees is a primary focus. We are continuously evolving and refining how we work best to achieve individual, team and Company goals. We embrace a “Work Smart” philosophy that transcends physical work settings, with a focus on optimizing the productivity, efficiency and effectiveness of our work. Time in the office generally is not prescribed, and team leaders are empowered to determine how their teams work best, based on their roles, with employees remaining accountable for achieving individual, team and Company outcomes.

To foster employee well-being and a healthy work-life balance, we offer numerous wellness programs, including meditation and yoga classes, health webinars, a weekly wellness newsletter and access to mental health professionals and other resources. Leveraging technology, we enhance the employee experience through digital wellness platforms, facilitating remote access to health and well-being resources. We also offer paid vacation and sick leave to provide employees with additional flexibility, and our U.S. employees enjoy additional “wellness days,” which are scheduled office closures around major market holidays for employees to collectively disconnect and rejuvenate. We support employees with their information technology needs, provide a monthly stipend to cover remote work-related business expenses and provide guidance for managers to ensure that employees remain connected and maintain physical, mental and emotional well-being.

In keeping with “Work Smart,” we maintain an office footprint globally that aligns with the number of employees expected to collaborate in person on any given day, while providing a space for employees to work and socialize. Our offices are located in buildings with robust security procedures, fire safety, and sanitation and health practices.

### EMPLOYEE ENGAGEMENT

We believe engaging employees fosters innovation and drives commitment and productivity. We communicate frequently and transparently with our employees, including through an annual global virtual offsite where senior leaders review the firm’s prior-year accomplishments and articulate the objectives for the coming year, and each department presents its respective prior-year accomplishments and current-year objectives, frequent town halls and firm-wide weekly emails championing the team’s work. We also seek feedback from our employees through annual engagement surveys and follow-up pulse surveys on various topics. In addition, we provide opportunities for employees to participate in volunteer and charitable events.

We also believe it is important to celebrate employee and Company accomplishments. In 2024, we celebrated our fifth annual “Team Alpha” Awards to mark significant events and successes and to recognize employees who led those successes while exhibiting extraordinary teamwork and demonstrating strong character. More than 75 nominations were submitted and narrowed down by a selection committee. The winners received a modest incentive compensation award and the opportunity to donate to a charity of their choice and to recognize other employees who assisted them.

The success of our employee engagement efforts is demonstrated by our employee retention rate of approximately 93.8% in 2024. We also achieved overall positive results from our 2024 global employee engagement survey, with a 99% participation rate. Additionally, in the U.S., we were named a “2024 Best Places to Work in Money Management” by Pensions & Investments for the fifth consecutive year and ranked second within the category for managers with 100–499 employees. In the U.K., we were also named Best Workplace for medium-sized companies for a fifth consecutive year and a 2024 Best Workplace for Women by *Great Place to Work*.

## 7. Community Investment

### COMMUNITY SERVICE AT WISDOMTREE

WisdomTree encourages employees to actively engage in their communities and give back through various programs at both the global level and within our U.S.- and London-based offices. We offer multiple initiatives to support charitable giving and select a different charity each month to receive a donation. Employees can also nominate organizations that are personally meaningful to them for consideration and are offered paid time off to volunteer at a charitable organization of their choice.

**Team Alpha Awards:** Each year, WisdomTree hosts the Team Alpha Awards to celebrate significant achievements and recognize the global employees who played a key role in those successes—demonstrating exceptional teamwork and strong character. In addition to a modest monetary award, winners have the opportunity to donate to a charity of their choice. In 2024, this initiative contributed \$50,000 in charitable donations across our U.S. and European offices, benefiting organizations such as the American Red Cross, Big Brothers Big Sisters of America, the Humane Society of New York, Médecins Sans Frontières, Opera San Francesco, Planned Parenthood, St. Jude Children’s Research Hospital, Safe Ireland and the Teenage Cancer Trust.

In the United States, WisdomTree has supported several charitable organizations through donations, including Autism Speaks, Earthday.org, Family Giving Tree, Manna Food Bank, Midwest Innocence Project, the National Alliance on Mental Illness (NAMI), New York Cares and Project Hope. Additional recipients include:

- + **Malala Fund:** WisdomTree partnered with the Malala Fund, which advocates for girls’ education and works toward a world where every girl can learn and lead. The fund focuses on expanding access to secondary education for girls globally.
- + **Nomi Network:** WisdomTree contributed to the Nomi Network, a nonprofit dedicated to empowering survivors of human trafficking and women at risk of exploitation. Through workforce development programs in India, Cambodia and the U.S., the organization provides job training, economic opportunities and career pathways, helping women achieve financial independence and break the cycle of poverty.
- + **SEEDS – Action Changes Everything:** WisdomTree supported SEEDS, a nonprofit that transforms educational opportunities for high-achieving students from low-income families. Since 1992, SEEDS has identified motivated students, provided rigorous academic preparation and facilitated their placement into selective independent schools and colleges with substantial financial aid.

## 7. Community Investment (continued)

In our London office, we supported several organizations, including:

- + **Ambitious About Autism:** A UK-based charity dedicated to supporting autistic children and young people through education, employment opportunities and advocacy. It operates specialist schools and colleges, provides employer training and campaigns for policy changes to create a more inclusive society, empowering autistic individuals to reach their full potential.
- + **Movember:** In November, several WisdomTree employees participated in Movember, a global movement raising awareness and funds for men's health issues. As part of our efforts, WisdomTree hosted a fundraising event, raising over £2,000 in Europe and more than \$3,500 in the U.S. These funds support initiatives focused on early detection, treatment and mental well-being, reinforcing our commitment to fostering a culture of support and awareness.
- + **Refuge UK:** WisdomTree raised funds for Refuge, the UK's largest domestic abuse organization. Every day, Refuge provides life-changing support to thousands of women and children, helping them overcome the physical, emotional and financial impacts of abuse so they can rebuild their lives free from fear.

Additionally, in London, as part of its aim to amplify access to opportunities, the DEI Council engaged with various high schools to provide financial literacy and exposure to roles within the financial service industry to unrepresented/underprivileged groups.

## 8. Environment

### CLIMATE AWARENESS STATEMENT

WisdomTree considers its impact on the environment to be low. Due to the nature of our business, WisdomTree has a relatively light carbon footprint and does not generate hazardous waste or emit meaningful levels of greenhouse gases.

However, we acknowledge the threat of climate change on the environment and recognize that it is imperative to use our position as a global platform to implement positive change so that we may offset any negative impact. To that end, WisdomTree seeks to operate a more sustainable business through various initiatives, including, but not limited to, an organization-wide commitment to sustainability efforts and becoming a signatory to the PRI.

### GOING “GREEN” AT WISDOMTREE

WisdomTree strives to maintain an environmentally friendly workplace, and we encourage our employees to avoid waste where possible.

WisdomTree currently employs a “Work Smart” philosophy that transcends physical work settings, with a focus on optimizing the productivity, efficiency and effectiveness of our work. Time in the office is generally not prescribed, and team leaders are empowered to determine how their teams work best, based on their roles, with employees remaining accountable for achieving individual, team and Company outcomes. In keeping with this approach, we maintain a smaller office footprint globally that aligns with the number of employees expected to collaborate in person on any given day, which we believe will make us more efficient and sustainable over the long run.

### CARBON OFFSETTING IN EUROPE

Through carbon offsetting, our European operations have been carbon neutral since 2019. Partnering with an organization called Carbon Footprint, we calculate and offset our carbon emissions through Verified Carbon Service/ Gold Standard-approved projects with a positive environmental impact, such as planting native trees, investing in carbon reduction projects, helping disadvantaged communities and providing wildlife habitats. To date, our European operations have offset more than 605 tonnes of CO2 emissions.

We are proud to be supporting a new project to offset 2023 emissions, the UpEnergy Improved Cookstoves Programme in Uganda. UpEnergy is a social impact business that makes clean technologies accessible to underserved communities in Sub-Saharan Africa. Since it was founded, UpEnergy has served more than 125,000 Ugandans, avoiding more than 30,000 tonnes of CO2 emissions and saving more than 120,000 trees. The UpEnergy Improved Cookstoves Programme distributes locally made fuel-saving stoves to replace traditional three-stone fires, helping to reduce emissions, protect local forests and improve the financial well-being of those vulnerable to climate risk. Further information relating to our approach to carbon offsetting in Europe is available on our website at <https://www.wisdomtree.eu/en-gb/strategies/carbon-offsetting>.