

2021 Firm Stakeholder Metrics

CLIENT PORTFOLIO METRICS	2018	2019	2020	2021
Teams with access to environmental, social and governance (ESG) research	100%	100%	100%	100%
Assets managed with consistent and demonstrable ESG integration	56%	58%	80%	86%
Shareholder meetings voted (#/%)	4,894/99%	4,738/100%	4,774/100%	4,645/99%
Total number of engagement meetings with corporate management teams				
Number of equity engagements held	1,324	1,173	2,213	3,162
Number of credit engagements held	1,728	901	1,453	1,463
% AUM engaged (public equity)	62%	68%	70%	78%
Percentage of UCITS and mutual funds with 3+ Globes on Morningstar Sustainability Ratings	50%	73%	68%	76%
Median stock turnover ratio for equity mutual funds	39%	37%	43%	30%
Number of adverse final judgments in legal proceedings relating to marketing communications of investment products	0	0	0	0
COMMUNITY METRICS	2018	2019	2020	2021
Corporate Charitable Giving (Inclusive of foundation-giving, employee gift-matching, disaster relief, and business-related charitable giving)	\$2,553,479	\$2,965,108	\$2,852,968	\$2,415,357
Firm-sponsored Volunteerism¹				
Employee volunteer hours	5,738	5,759	323	750
Employee volunteer participation (#) (not unique)	1,861	1,833	147	300
Unique volunteer participation	64%	58%	6%	13%
Firm and regional headquarter locations participating in volunteerism	100%	100%	100%	75% ²
Number of projects	166	147	26	35
Beneficiaries				
Organizations reached through giving	752	614	780	575
Organizations reached through volunteerism	111	115	21	30
Number of children/youth/students impacted through giving and volunteerism	496,557	1,176,025	563,499	675,000
Number of employees sitting on charitable boards	407	246	317	317
U.S. Minority Women-owned Business Enterprise (MWBE) suppliers	5%	5%	5%	5%

¹ COVID-19 restrictions limited our employees' capacity to engage in volunteer activities during 2021.

² The Tokyo Office was not able to participate in volunteerism in 2021 due to Covid-19 restrictions.

EMPLOYEE METRICS	2018	2019	2020	2021
Global				
Total employees, full-time	2,036	2,178	2,305	2,411
Total employees, part-time	44	43	40	32
Senior investment professional retention rate (MD/SVP)	95%	95%	97%	98%
Employees with access to benefits (full-time)	100%	100%	100%	100%
Percentage of firm owned by employees	100%	100%	100%	100%
Employees with firm ownership (#/%)	~500/~25%	~500/~24%	~550/~23%	~575/~24%
Portfolio Managers whose compensation is tied to multi-year performance	100%	100%	100%	100%
Employees with access to skills-based training	100%	100%	100%	100%
Employees with access to promotion opportunities	100%	100%	100%	100%
Employees with access to educational assistance	100%	100%	100%	100%
Staff Diversity (women %)				
Total staff	35%	37%	37%	38%
Senior staff (VP+)	26%	28%	28%	29%
New hires (% women, three-year average)	39%	40%	40%	42%
U.S.				
Total U.S. employees	1,578	1,690	1,732	1,777
Employees with 15% 401K firm contribution (no required match or vesting)	99%	99%	99%	98%
Staff Diversity (ethnic minority %)				
Total staff	29%	31%	31%	34%
Senior staff (VP+)	20%	22%	21%	24%
Ethnic minority hiring (% of new hires, 3-year average)	35%	38%	39%	45%
ENVIRONMENTAL METRICS				
Global				
Employees using public transportation	88%	89%	10%	33%
GHG emissions from business travel (Metric tons CO ₂ e)	5,500	5,000	889	559
GHG emissions offset from estimated global travel	100%	100%	100%	100%
Electricity used for regional headquarters (gigajoules) ³				22,593
NY Headquarters				
Square footage as percentage of total global office space	64%	58%	57%	63%
LEED certifications	Silver	Silver	Silver	Silver
Total energy used (gigajoules)	48,499	43,003	38,362	38,315
Electricity used (gigajoules)	21,508	21,911	19,552	19,020
Steam used (gigajoules)	26,991	21,092	18,810	19,296
GHG emissions from energy used (Metric tons CO ₂ e)	3,420	2,655	2,369	2,347
Total water used (million gallons)	8.6	8.4	6.5	5.9
Waste recycled (diversion rate)	47%	53%	59%	59%

³ The reported data for the London regional headquarters is half-year data due to the office's relocation. This was added as a standard metric in 2021.
Source: Neuberger Berman. Data for the calendar year 2021.

Note: As an employee-owned private firm, this report is not intended as a communication to investors, however the Sustainability Accounting Standards Board (SASB) standards for Asset Management & Custody Activities have helped inform this report. The SASB disclosure topics below align closely with our stakeholder metrics as noted.

1. Transparent Information & Fair Advice for Customers
 - i) Number of adverse final judgments in legal proceedings relating to marketing communications of investment products
2. Employee Diversity & Inclusion
 - i) Global Staff diversity metrics
 - ii) U.S. Staff diversity metrics
3. Incorporation of Environmental, Social, and Governance (“ESG”) Factors in Investment Management & Advisory
 - i) Assets managed with consistent and demonstrable ESG integration
 - ii) Total number of engagement meetings with corporate management teams including both equity and credit

All information is as of December 31, 2021 unless otherwise indicated. Firm data, including employee and assets under management figures, reflect collective data for the various affiliated investment advisers that are subsidiaries of Neuberger Berman Group LLC (the “firm”).

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Neuberger Berman
1290 Avenue of the Americas
New York, NY 10104-0001

www.nb.com