

Supplier Code of Conduct

September 22



Introduction

ASX procures a variety of goods and services from a diverse supplier base and looks to partner with suppliers who not only deliver quality products, superior service and value for money but share our environmental, social and governance (ESG) standards also known as Corporate Social Responsibility (CSR).

When selecting suppliers, ASX will actively seek suppliers who respect and adopt positive ESG principles and adhere to the minimum requirements outlined in this Code of Conduct.

Managing 'Responsible' Procurement

ASX has developed a process for promoting ESG practices in our supply chain. As part of this process, ASX:

- Requires principle suppliers to be compliant with ASX's Supplier Code of Conduct, and its requirements.
- Evaluates financial viability and ESG weightings of potential suppliers during the tender process.
- Incorporates ESG contract clauses within our Standard Supplier Agreements.
- Will review supplier practices and documentation necessary to demonstrate conformance with this Code.
- Expects suppliers to measure and continually improve their ESG practices.

Principles

ASX has established the following principles for our suppliers.

1. Corporate Governance and Ethical Practices

ASX is committed to conducting business in an open and accountable way.

Suppliers are expected to:

- Comply with all relevant laws and regulations in relation to bribery, corruption and other prohibited practices.
- Be able to provide documentation on social, ethical and environmental practices.
- Act in an ethical, fair and professional manner.
- Not offer ASX representatives gifts or entertainment for the purpose or perceived purpose of gaining improper advantage or preferential treatment.
- Declare any conflicts of interest that may affect commercial arrangements between the supplier and ASX.

2. Workplace Health & Safety

ASX is committed to promoting a culture of health and safety awareness and practice that ensures risks in the workplace are identified, assessed and eliminated or controlled. This may include the provision of safe operating procedures, installation and maintenance manuals, registration, licensing or competency requirements and material safety data sheets.

Suppliers are expected to:

- Comply with all health and safety laws and regulations.
- Develop and implement written health and safety policies and standards.
- Take proactive measures to identify, assess and manage workplace risks.
- Provide appropriate training to workers so they may perform their jobs safely.

3. Environmental Management

ASX is proactive in measuring and reducing its environmental footprint, with the aim of procuring products and services that have the least possible negative environmental impact.

Suppliers are expected to:

- Comply with all applicable environmental protection laws and regulations.
- Maintain policies and practices for the efficient use of energy, water and natural resource consumption.
- Maintain policies and practices that reduce the risks of pollution, loss of biodiversity, deforestation, damage to ecosystems and greenhouse gas emissions.
- Establish environmental targets and report regularly in the public domain on progress towards these.
- Have an Environmental Management System in place to measure and monitor environmental performance (such as energy usage, water usage, waste and emissions).
- Have appropriate sustainability certifications related the use of primary materials in production or supply chain.

4. Employment Practices

ASX is committed to the principles of Equal Employment Opportunity (EEO) in the workplace and promoting a positive work environment which values equal opportunity free of modern slavery, unlawful discrimination, bullying, or harassment.

Suppliers are expected to:

- Comply with all applicable laws and regulations in relation to employment practices including modern slavery.

- Have an EEO policy in place which meets or exceeds requirements of any relevant laws where the product is made or service delivered.
- Provide an environment where people are treated lawfully, without consideration to irrelevant characteristics and are regarded with dignity and respect.
- Promote “zero” tolerance of unlawful discrimination and harassment.
- Not use forced, bonded or involuntary labour in its business operations and supply chains.
- Provide goods and services in a manner consistent with any applicable human rights obligations and modern slavery legislation.

5. Diversity

ASX is committed to providing an environment in which employees have equal access to opportunities available at work, are treated with fairness and respect, and are not judged by unlawful or irrelevant reference to their attributes.

Suppliers are expected to:

- Respect the diversity of their employees, clients and others with whom they interact, including respect for differences such as gender, race, colour, age, disability, sexual orientation, ethnic origin and religion.
- Promote gender equality (including equal participation of women and men) in their workplace or comply with WGEA reporting requirements as applicable.

6. Risk Management

ASX uses a risk assessment framework to identify and assess financial and operational risk exposure. To assess procurement and supply chain risk exposure, we consider a supplier’s credentials. From time to time further information will be required from our suppliers.

Suppliers are expected to:

- Comply with all relevant laws and regulations pertinent to their operations regarding all products and services they provide to ASX.
- Understand regulatory and compliance obligations applicable to the product or service being supplied.

- Cooperate with and support ASX to meet its regulatory obligations particularly in relation to identification and assessment of potential critical service providers.
- Implement procedures for employees to comply with applicable to privacy laws and keeping ASX data secure against unauthorised access or use.
- Actively manage performance and risk and proactively bring anything of concern to ASX’s notice in a timely manner.
- Have a Business Continuity Plan (BCP) that is maintained and tested to minimise business impacts in the event of major disruption.
- Implement risk management frameworks and practices that proactively manages risks that might impact ASX and the wider community. E.g. Cyber security or other significant incidents.
- Identify matters that may lead to actual, potential or perceived conflicts of interest and raising those with ASX.

Code Compliance

ASX reserve the right to carry out regular assessments of the practices of our suppliers to ensure alignment with this Code. This may include self-assessment by suppliers, or a request for additional information, or site visits. We also reserve the right to audit the suppliers.

Suppliers are expected to:

- Respond in full and be open and honest in response to any request for information.
- Complete an agreed corrective action plan until a satisfactory level of improvement is reached should any breaches or shortcomings regarding this Code be identified.

Where a supplier is in breach of this Code and does not agree to work with ASX to implement a corrective action plan, ASX will seek to take further action, which may include termination of the supplier relationship where necessary and appropriate.

Further enquiries:

We are interested in your feedback on our Supplier Code of Conduct and welcome you to contact us: SupplierManagement@asx.com.au

For more information on ASX’s corporate responsibility strategy, go to: <http://www.asx.com.au/about/corporate-overview.htm>

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