



Equiniti Group

SUPPLIER CODE OF CONDUCT

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I am very pleased to present our Supplier Code of Conduct. As a Group, Equiniti wants to ensure that all our suppliers operate in an ethical and responsible manner and we want our suppliers to share our vision of helping businesses and individuals succeed.

This Code outlines key social, ethical and environmental principles that we wish our supply chain to abide by. We believe that by working together we can improve people's lives through our products and services, have a positive impact on employee wellbeing, and support our local communities whilst continuously improving our environmental sustainability”.

Siusai McCarthy-Wyper, Director, Group Procurement

Supplier Code of Conduct

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INTRODUCTION AND PRINCIPLES

This Supplier Code of Conduct (“the Code”) for Equiniti Group (“Equiniti”) sits alongside our Supplier Relationship Management due diligence processes, and aims to help suppliers quickly understand Equiniti’s standards on key social, ethical and environmental issues.

Equiniti seeks to continually improve the services we provide, making responsible decisions in how we manage our business and the social and environmental impacts of what we do. We focus on improving lives through our products and services, having a positive impact on employee wellbeing, supporting our local communities, and continuously improving our environmental sustainability both within our own organisation and also in supporting and influencing the development of these areas within our supply chain.

Equiniti aligns its operations with universal principles on labour, human rights, environment and anti-corruption as set out in the The United Nations Global Compact (UNGC) and we encourage the same of our suppliers. All suppliers to Equiniti must have processes in place to maintain the standards outlined in the Code, and be able to provide evidence if required.

Where a supplier or one of its subcontractors is found to not be in compliance with the Code, Equiniti will work with the supplier on an improvement plan. If the supplier continues not to be compliant with the Code, Equiniti will take steps to review the terms of the contract.

BUSINESS INTEGRITY & ETHICAL BEHAVIOUR

We expect suppliers to:

- conduct your business ethically and responsibly, and in line with regulatory requirements;
- adopt your own Ethical Business Policy, or a similar policy or statement that covers: adherence to local laws; bribery and corruption; and business integrity (including conflicts of interest, market abuse issues, improper payments, fraud, anti-competitive behaviour, gifts and hospitality, and brand and intellectual property protection);
- provide mechanisms for stakeholders to anonymously raise concerns, for example via a whistle blowing service.

PEOPLE

We expect suppliers to:

- respect human rights, both within your own workforce and your supply chain, and to comply with all relevant legislation, regulations and directives in the countries and communities in which you operate, to include standards on wages and working hours;
- offer fair reward and compensation to employees;
- prohibit the use of forced labour, human trafficking, and child labour;
- have policies and procedures in place which protect employees, and prevent any form of harassment;
- comply with the Modern Slavery Act 2015 where applicable. Equiniti's Modern Slavery Policy Statement can be found [here](#);
- treat all employees fairly and not discriminate against any group in your employment practices;
- be respectful of its employees' right to join and form independent trade unions and freedom of association.

DIVERSITY & INCLUSION

We expect suppliers to:

- support a culture of equality, diversity and inclusion, both within your own operations and your supply chain;
- have a documented diversity and inclusion approach, which as a minimum should include
 1. equality of opportunity in employment, skill development and career advancement
 2. commitments to identify, measure and improve a culture of inclusion
 3. accountability and monitoring of D&I within the workplace and supply chain
 4. diversity and inclusion through your own supply chain

ENVIRONMENTAL SUSTAINABILITY

To support the reduction of our environmental impacts we have set ambitious targets and we encourage our suppliers to join us in our efforts appropriate to their businesses.

As a minimum, suppliers will be working towards:

- Understanding and reducing your environmental impacts, including your carbon footprint. This could include energy and water consumption, waste management, resource consumption, travel and supply chain
- Establishing operational policies and practices that minimise your impact on the environment.
- Setting environmental targets and commitments that identify, measure and reduce negative environmental impacts
- Reporting on environmental impacts, as they relate to the goods and services you offer

HEALTH & SAFETY

We expect suppliers to:

- provide a safe work environment, abiding by local laws and regulations;
- ensure health and safety is effectively managed, so that related risks, issues, incidents and non-compliance are identified and addressed in order to provide adequate facilities to ensure the health and well-being of the workforce.

SUPPLY CHAIN

We expect suppliers to:

- be able to evidence the management of your own suppliers appropriately and in accordance with the principles of the Code.
- Manage and mitigate supply chain risks





If you have any questions or concerns about complying with our Code of Conduct, please contact your Supplier Owner, or email procurement@equiniti.com

To raise a concern confidentially, you can contact Safecall, an independent company that operates a confidential reporting service for global businesses. Safecall are based in the UK and you can reach them 24/7, 365 days of the year via the Freephone number 0800 915 1571, by email at equiniti@safecall.co.uk or via the web at <http://www.safecall.co.uk/file-a-report/>