



Code of Conduct for Suppliers

August 2013

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)

Therefore when engaging new suppliers, ASX will actively seek and favour suppliers who respect and adopt positive ESG principles.

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 Code of Conduct for Suppliers, and its requirements
- Evaluates ESG weightings of potential suppliers during the tender process
- Incorporates ESG contract clauses within our Standard Supplier Agreements
- Will regularly 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 to be used to gain improper advantage or preferred treatment
- Declare any conflicts of interest that may impact 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.

Suppliers are expected to:

- Comply with all health and safety laws and regulations
- Take proactive measures to prevent workplace risks

3. Environmental Management

ASX recognises the importance of minimising environmental impacts through our own operational activities and indirectly through the activities of our suppliers

Suppliers are expected to:

- Comply with all applicable environmental regulations
- have a written environmental policy statement
- have systems in place to measure and monitor environmental performance

4. Employment Practices

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

Suppliers are expected to:

- Comply with all relevant laws and regulations in relation to employment practices
- Provide an environment where people are treated lawfully without consideration to irrelevant characteristics and are regarded with dignity and respect

Code of Conduct for Suppliers

- Promote “zero” tolerance of unlawful discrimination and harassment
- Provide fair pay and working conditions for employees including adequate rest periods, leave, minimum wage requirements, freedom of association and collective bargaining
- Ensure that no child, involuntary or forced labour is used

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
- Demonstrate gender equality (including equal

participation of women and men) in their workplace or comply with WGEA reporting requirements as applicable

6. Risk Management

ASX views effective risk management as key to achieving operational and strategic objectives.

Suppliers are expected to:

- Have a business continuity plan that is maintained and tested to minimise business impacts in the event of major disruption
- Have appropriate information security policies and procedures in place to secure access to our information

Code Compliance

Failure to comply or address non-compliance with this Code may result in contract termination.

Contacts

Any questions about this code should be directed to Procurement Manager: procurement@asx.com.au



Disclaimer: This document provides general information only, does not constitute financial product advice and may be subject to change at any time without notice. Although ASX Limited ABN 98 008 624 691 and its related bodies corporate (“ASX”) has made every effort to ensure the accuracy of the information as at the date of publication, ASX does not give any warranty or representation as to the accuracy, reliability or completeness of the information. To the extent permitted by law, ASX and its employees, officers and contractors shall not be liable for any loss or damage arising in any way (including by way of negligence) from or in connection with any information provided or omitted or from any one acting or refraining to act in reliance on this information.

© Copyright 2013 ASX Limited ABN 98 008 624 691. All rights reserved 2013. www.asx.com.au

