



# Code for Suppliers

This document applies to suppliers of wholly owned companies of SIX and SIX Interbank Clearing AG and to their subcontractors.

The smooth functioning of the financial center is crucial for the economy. As an infrastructure services provider for the Swiss financial center and a large international customer base, we are aware of our systemic significance and as such exercise great responsibility.

SIX is determined to ensure the highest standards in carrying out its business activities and expects all its employees to comply with all relevant laws and to demonstrate proper ethical conduct in all matters. SIX makes the same demands of its suppliers.

SIX's Code of Conduct sets out the fundamental standards of ethical and professional behavior expected of its employees. This Code for Suppliers lays down equivalent rules for suppliers of SIX.

All suppliers and their subcontractors are bound by the Code for Suppliers and must behave in accordance with its terms. This means that suppliers of SIX must ensure that the Code for Suppliers is integrated, applied, and communicated within their organizations.

The Code of Suppliers serves as a benchmark against which the ethical business practices of SIX's suppliers can be judged. Reference is made to this code in the contracts and standard terms and conditions of business governing relationships between SIX and its suppliers. It comprises standards on human and labor rights and the environment, as well as principles for the combatting of corruption as laid down in SIX's Code of Conduct.

Should you require further information, please contact:

**SIX Procurement**

procurement@six-group.com

www.six-group.com/codeforsuppliers

**Reporting of potential misconduct**

If a supplier thinks that an employee of SIX has behaved illegally or engaged in any other form of misconduct, it should inform SIX. The supplier can report the matter to Compliance anonymously (<https://six.integrityplatform.org>). A supplier's relationship with SIX will not be jeopardized by the reporting in good faith of potential misconduct.

# Business ethics and compliance

## **Legal and compliance**

Suppliers must of course comply with all applicable laws, rules, regulations, and local practices in force in the countries in which they operate, produce, or conduct transactions.

## **Combatting corruption**

Suppliers must not engage in bribery, price fixing, or any other form of corruption aimed at securing or retaining business. Suppliers are also prohibited from demanding bribes from SIX if SIX wishes to work with them. Any supplier that acts in such a way will immediately be excluded from supplying SIX.

## **Anticompetitive conduct**

Laws that protect and promote competition, particularly antitrust laws, must be complied with. Suppliers must abide by the prohibition on collusion between competitors and other actions that might inhibit the smooth functioning of the free market.

## **Protecting business secrets**

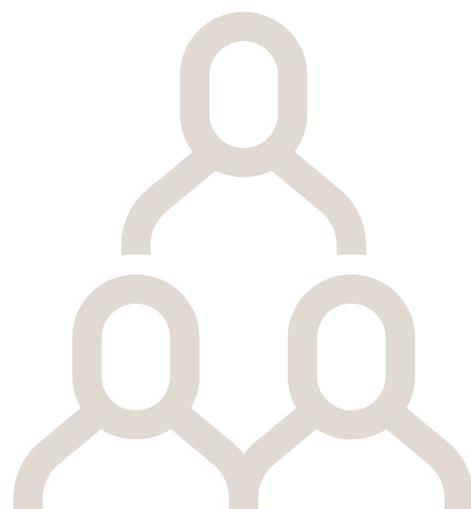
Suppliers are required to protect confidential information relating to SIX of which they have become aware through a business relationship and to treat it as a business secret. Suppliers must not deal in securities on the basis of confidential information shared with them by SIX, nor encourage others to do so.

## **Data protection**

SIX expects its suppliers to comply with a high data protection and security standard. Suppliers are therefore obliged, among other things, to process and protect the personal data of SIX in accordance with the applicable laws. In particular, the personal data of SIX may only be processed in accordance with the respective contractual agreements and directives of SIX and must not be disclosed to third parties without written approval.

## **Protection of intellectual property**

Suppliers must respect the protection of patents, copyrights, and trademarks. Consent from the party in question must be obtained in all cases; otherwise such intellectual property may not be used.



# Employment standards and environmental protection

## **Compliance with human rights**

Suppliers are required to respect internationally recognized human rights and ensure that these are complied with. They should promote a working environment that is free from harassment, intimidation, and bullying.

## **Health and safety**

Suppliers should ensure a safe workplace, in order to prevent occupational accidents and injuries. The same applies to living space that suppliers provide to staff.

## **Free choice of work**

Suppliers must not operate any form of forced, prison, slave, or involuntary labor. Employees must have the right to terminate their employment, subject to a reasonable notice period.

## **Avoidance of child labor**

Suppliers must not employ any children below the minimum age set by the International Labor Organization.

## **Prohibition of discrimination**

Suppliers are required to apply equal opportunity principles in their personnel decisions. Nobody may be discriminated against on the basis of their origin, ethnic background, gender, nationality, age, physical capabilities, sexual orientation, or religion.

## **Freedom of association and right to collective bargaining**

Suppliers must uphold and respect the rights of their employees to freedom of association and collective bargaining. The right of employees to join a union must be respected.

## **Salaries and ancillary benefits**

Suppliers must pay salaries and additional benefits that comply with all applicable laws and are consistent with local practices.

## **Working hours and rest periods**

Suppliers must ensure that their employees' working hours do not exceed local limits on regular hours and overtime. Legally mandated rest periods must be adhered to.

## **Environment**

With regard to environmental issues, suppliers must act in accordance with the precautionary principle, i.e., any negative impact of their products or services on the environment must be avoided or kept to an absolute minimum.



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