



# Supplier Code of Conduct

Workiva Inc., and its subsidiaries (collectively, “**Workiva**”) is committed to conducting its business in an ethical, legal and socially responsible manner. This Workiva Supplier Code of Conduct (“**Code**”) defines the basic requirements for Workiva suppliers, vendors, contractors, consultants, and all other third-party companies (including the subsidiaries of such suppliers, vendors, contractors, consultants or third parties) which constitute Workiva’s supply chain (each, a “**Supplier**”). This Code is based on our values, commitments, and internal requirements which we adhere to for all of our daily activities. Supplier is expected to fully comply with this Code and all applicable laws, rules, and regulations of the countries in which they operate and in turn apply a similar code of conduct to their own suppliers.

## Compliance with the Law

Supplier shall conduct its business activities in a manner that:

- Is in full compliance with the applicable laws and regulations of the United States, all countries in which Supplier is operating, and any other applicable laws;
- Ensures that products, services and shipments adhere to all applicable international trade compliance laws, rules and regulations;
- Reflects Supplier’s ethical standards and establishes controls to satisfy them; and
- Is in compliance with all laws and regulations on bribery, corruption, and prohibited business practices.

## Ethics

Supplier shall uphold the highest standards of ethics to promote honesty and integrity in their business operations, including by:

- Not offering or accepting any form of bribery, corruption, extortion, or embezzlement;
- Not making illegal payments directly or indirectly;
- Implementing monitoring and enforcement procedures to ensure compliance with anti-corruption laws;
- Not providing gifts, or offers of gifts, to Workiva employees to influence business decisions; and
- Respecting intellectual property rights, and conducting technology and know-how transfers in a manner protecting intellectual property rights.

## Conflicts of Interest

Supplier shall recognize and avoid situations that can create an actual or apparent conflict of interest when working with or on behalf of Workiva.

Conflicts of interest can occur in the following ways:

- A personal, social, financial, professional, or political activity interferes or appears to interfere with a Supplier’s ability to perform its work with or on behalf of Workiva effectively and objectively;



- An employee, officer or director (or a member of their family) takes actions or has interests that may make it difficult to perform their work for Workiva objectively and effectively; or
- When an employee, officer or director (or a member of their family) receives improper personal benefits as a result of their position with Workiva;
- If Supplier allows a Workiva employee to hold a position, provide independent consulting or services, or have a financial or business relationship with Supplier.

### **No Tolerance for Discrimination; Equal Opportunity**

Workiva does not tolerate any form of discrimination in the workplace. Workiva is committed to fostering an inclusive work environment. Accordingly, Supplier shall:

- Provide equal employment and business opportunities irrespective of race, religion, age, nationality, skin color, gender, gender identity, disability, pregnancy, marital status, political affiliation, military status, or sexual orientation; and
- Engage in fair and open procurement practices that provide equal opportunities for all qualified suppliers, including women-owned, minority-owned, and small disadvantaged businesses.

### **Labor, Human Rights, and Wages**

Workiva is committed to upholding the human rights of workers and treating them with dignity and respect. This applies to all workers, including temporary, migrant, student, contract, direct employee, and any other type of worker. Accordingly, Supplier shall:

- Not engage in any form of forced, bonded, or involuntary labor, human trafficking, or modern slavery. Supplier must not require workers to pay recruitment fees and must not withhold identity documents (e.g., passports, government-issued IDs) or personal belongings.
- Not employ any person who is under the legal minimum age for work in the country of operation, or under the age of 15, whichever is greater. Furthermore, workers under the age of 18 shall not perform hazardous work, night shifts, or excessive overtime.
- Comply with all applicable wage, overtime, and hour laws. Workers must be compensated fairly, and compensation must be sufficient to meet basic needs and provide some discretionary income. All overtime must be voluntary and paid at a premium rate as required by law.
- Provide a workplace free from harassment, discrimination, and inhumane treatment. Employment decisions must be based on qualifications and ability, not on personal characteristics such as race, color, gender, age, sexual orientation, disability, or religion.
- Respect the right of employees to form or join trade unions and to bargain collectively. Where the right to freedom of association is legally restricted, Supplier shall not interfere with workers' efforts to develop parallel means for independent and free association and bargaining.
- Provide a confidential and accessible grievance mechanism that allows workers to report concerns about labor and human rights issues without fear of retaliation.
- Treat all employees and contractors with respect and dignity and their privacy and rights shall be protected.

### **Health and Safety**

Supplier shall integrate the following health and safety management requirements into business processes to provide workers with a healthy and safe work environment:



- Provide employees with a safe and healthy environment to conduct their work; and
- Implement reasonable and effective occupational health and safety measures.

### **Environmental protection**

Supplier shall develop, implement, and maintain environmentally responsible business practices. This includes conserving natural resources and energy, reducing waste and the use of hazardous substances, and minimizing adverse impacts on the environment by:

- Operating in accordance with all applicable environmental laws, regulations, and standards;
- Ensuring all required environmental permits and registrations are obtained, maintained, and kept current, and their operational and reporting requirements are followed;
- Seeking ways to conserve natural resources, energy, and water, which includes minimizing adverse impacts on the environment by implementing proper waste management and responsibly handling hazardous substances.
- Identifying and implementing methods to improve energy efficiency and reduce greenhouse gas (GHG) emissions.

### **Protect Workiva's information, assets, and interests**

Workiva expects its Supplier to protect Workiva's reputation and any information or property we entrust to Supplier. Accordingly, Supplier shall:

- Protect any of Workiva's confidential information to which they have access, including its intellectual property, trade secrets, or financial information;
- Safeguard any property belonging to Workiva while under Supplier's control; and
- Avoid any situations that may adversely affect Workiva's business interests or reputation.

### **Insider Trading**

Insider information is defined as non-public information about Workiva or its customers and partners which a reasonable investor would consider important in deciding whether to buy or sell the underlying company's securities. Such information may include financial results and information about possible mergers, acquisitions or divestitures, capital increases, capital market transactions, important licensing agreements and other collaborations.

Workiva employees are considered insiders. Likewise, a Workiva Supplier and their employees who obtain such insider information may also be considered insiders depending on their access to such insider information. Insiders shall comply with the following rules:

- Insider information must be kept strictly confidential and may not be disclosed to any non-insider, including family members;
- Insiders must not buy, sell or otherwise trade in securities of Workiva, or any company for which insider information is accessible to such insider; and
- Insiders must not provide trading recommendations to non-insiders.



Workiva expects Supplier to protect insider information, prevent insider trading, and to notify Workiva pursuant to the Reporting Violations section below if you have any questions or concerns about this policy, or any information about a violation of Workiva's insider trading policies.

### **Management System**

Supplier shall adopt or establish a management system to track and carry out these responsibilities. The management system shall be designed to ensure Supplier's operations:

- Comply with applicable laws and regulations;
- Conform with this Code;
- Identify and mitigate operational risks related to this Code; and
- Facilitate continual improvement.

### **Record Keeping**

Supplier shall maintain documentation necessary to demonstrate compliance with this Code and must provide Workiva with access to that documentation upon Workiva's request.

### **Reporting Violations**

Subject to local laws and any legal restrictions applicable to such reporting, Supplier shall promptly inform Workiva of any questionable behavior, concerns, or potential or actual violations of this Code upon learning of the same, whether or not the concern involves Supplier and, where applicable, implement a corrective action plan to cure the non-compliance as soon as reasonably possible but in any event within a period of time specified to Workiva in writing. Supplier should contact [ethics@workiva.com](mailto:ethics@workiva.com) or by mail/courier at Workiva Inc., 2900 University Blvd., Ames, Iowa 50010, Attn: Legal Department. Workiva will not tolerate any retribution or retaliation taken against any individual who has, in good faith, sought out advice or has reported questionable behavior or suspected violations of this Code.

Supplier shall promptly respond to requests for information from Workiva, or an authorized third party working on Workiva's behalf, regarding matters covered by this Code. Violations of this Code will require the prompt establishment of corrective action plans or training. Failure to meet the corrective action plan may affect Supplier's standing with Workiva, may lead to disqualification from future opportunities with Workiva and may result in the termination of Workiva's business relationship with Supplier. Workiva reserves the right to hold Supplier responsible for reasonable costs of investigating non-compliance and appropriate remediation resulting from a Supplier's non-compliance.

This Code is intended to facilitate improved communications by informing current and potential Suppliers of Workiva's standards, and ethical expectations of its Suppliers generally. Questions regarding this Code should be directed to [ethics@workiva.com](mailto:ethics@workiva.com).