



**workiva**

**w✓Life**

# **Code of Conduct**

# Code of Conduct Use and Purpose

The Code of Conduct outlines the policies and principles that guide us in our daily work together at Workiva. It explains what to expect on a company level and what is expected of each of us.

Workiva employees are expected to read and follow the Code of Conduct - both in spirit and letter - always bearing in mind that each of us has a personal responsibility to incorporate the conduct detailed, in addition to ensuring others to do the same. The Code of Conduct applies to all of us, unless otherwise stated in writing.

The policies, procedures, and practices described in the Code of Conduct should not be taken for granted and are subject to change based on Workiva business practices, legislation or regulation. While we will attempt to give you ample notice when a policy or benefit change is made, there are circumstances under which advance notice may not be possible.

The Code of Conduct contains the employment policies and practices of Workiva in effect at the time of publication. All previously issued communications and any inconsistent policy statements are superseded. Workiva reserves the right to revise, modify, delete, or add to any and all policies, procedures, workplace practices, and guidelines stated in this, or in any other document, except for the policy of at-will employment. However, no oral statements or representations can in any way change or alter the provisions of the Code of Conduct.

No waiver of the Code of Conduct for any executive officer or director may be made without the approval of the Board of Directors or a Committee thereof.

Investigation of potential violation and enforcement of the Code of Conduct is handled in accordance with Workiva's Inappropriate Acts Review Procedures. Allegations of violation are generally reviewed by the Chief Legal Officer and the Chief People Officer. Fraud related complaints are handled by the Chief Financial Officer, Chief Accounting Officer, Senior Director of Internal Audit, and Chair of the Audit Committee. Those parties will determine the appropriate processes necessary for investigation and remediation (if applicable). Complaints involving allegations of fraud or financial misstatements are reviewed with the Audit Committee at least once per quarter. In addition, the overall process for reviewing and addressing compliance issues is reviewed with the Board of Directors at least once per year. Violations of the Code of Conduct may result in disciplinary action, up to and including, termination.



WELCOME TO WORKIVA

**This is our company**



# Mission, Values, and Principles

Our Mission, Values and Leadership Principles are at the core of everything we do. We believe in creating a work environment and employment practices that support our Mission and Values, and how we do that is through our Leadership Principles.

## Workiva Values

- **Win as a team** - There are no lone heroes here—we chase goals, break barriers, and conquer challenges together.
- **Make a positive impact** - We bring our best selves to do our best work and take action to positively affect the world around us.
- **Innovate fearlessly** - We didn't get to where we are by following the status quo. We operate with appropriate urgency and build transformational products.
- **Amaze our customers** - Simplifying the complex is our specialty, and our commitment to delight beyond expectation is what sets us apart.
- **Do the right thing** - There are always choices, but with compassion, clarity, and confidence, we make the right calls to fulfill our commitments.

## Workiva Principles

- **Accountability** - Fulfill your commitments and take ownership of your actions.
- **Communication** - Engage in the open and candid exchange of information, ideas, and feedback.
- **Respect** - Treat others with dignity and set one another up for success.
- **Empathy** - Put yourself in another person's shoes to understand their point of view.
- **Collaboration** - Leverage each other's strengths to deliver the best outcome.
- **Inclusion** - Uphold a diverse community where everyone belongs.
- **Trust** - Believe in each other's capabilities and positive intentions.

## Workiva Mission

Powering transparent reporting for a better world.



# Ethics and Conduct Team

## Legal

### Brandon Ziegler

Executive Vice President, Chief Legal and Administrative Officer and Corporate Secretary

[brandon.ziegler@workiva.com](mailto:brandon.ziegler@workiva.com)

515-663-4496

## People & Culture

### Emily Forrester

Senior Vice President and Chief People Officer

[emily.forrester@workiva.com](mailto:emily.forrester@workiva.com)

515-661-3013

## Accounting & Finance

### Junko Swain

Senior Vice President and Chief Accounting Officer

[junko.swain@workiva.com](mailto:junko.swain@workiva.com)

408-421-4993

## Ethics Hotline

- **Telephone:**  
1-844-600-0063 (US)
- **Website:**  
[lighthouse-services.com/workiva](https://lighthouse-services.com/workiva)
- **Email:**  
[reports@lighthouse-services.com](mailto:reports@lighthouse-services.com)  
(must include company name with report)



[ethics@workiva.com](mailto:ethics@workiva.com)

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# Whistleblowing Procedure

Workiva is committed to high standards of ethical, moral, and legal business conduct. In line with this commitment, and Workiva's commitment to open communication, we provide an ethics hotline that is used for individuals to raise concerns with complete assurance that they will be protected from reprisals or victimization for whistleblowing.

The whistleblowing procedure is intended to be used for serious and sensitive issues. Such issues, including those related to financial reporting and unethical or illegal conduct, may also be reported directly to the Ethics and Conduct Team.

## No Retaliation for Whistleblowing

Workiva prohibits retaliation against any person who reports or participates in an investigation of a possible violation of our policies (whistleblowing).

Workiva aims to provide protections for you if you raise concerns regarding:

- incorrect financial reporting;
- unlawful activity;
- activities that are not in line with Workiva policies, including its code of conduct; or
- activities that amount to serious improper conduct

# Employment at Workiva

# At-will Employment

Employment at Workiva is "at-will" unless state law provides otherwise. Your employment may be terminated for any or no reason, with or without cause or notice at any time. This At-Will Employment Policy is the sole and entire agreement between you and Workiva regarding the fact that employment with the Company is at-will. Nothing in WLife, or in any other personnel document, including benefit plan descriptions, creates or is intended to create a promise or representation of continued employment for any employee. No statements in any document shall limit the right to terminate employment at-will. No manager, supervisor or employee of Workiva has any authority to enter into an agreement for Workiva employment for any specified period of time or to make an agreement for Workiva employment other than at-will. Only the CEO of Workiva, or their authorized representative, has the authority to make any such Workiva agreement and then only in writing.

## Work Eligibility

We comply with laws and regulations when hiring individuals to work for Workiva.

## Performance Expectations

Workiva is committed to maintaining an environment where employees receive ongoing and transparent feedback on their performance (including behavior) that contributes to their personal and professional development. Feedback can be delivered verbally or in writing, and can come from management, peers, direct reports, or other stakeholders (internal or external).

If expectations of work performance are not being met, managers will take action to address the performance gaps and provide direction for improvement. Performance improvement actions can lead to a variety of outcomes up to and including termination of employment.

Workiva complies with all employment regulations that require specific disciplinary processes to be followed.

# Inclusive Workplace

Workiva is committed to upholding a work environment that encourages fairness, teamwork, and respect among all employees. We value diversity of backgrounds, beliefs, experiences, and interests, and strive to ensure that every person feels welcomed, valued, heard, and supported. We believe that a diverse and inclusive workplace fosters innovation, increases employee engagement, and contributes to business performance that best positions us to meet the needs of our customers.

We are committed to maintaining a work environment in which all employees are treated with dignity and respect, and where decisions related to hiring, training, promotion, compensation, and recognition are made fairly. We strive to ensure that every individual has equal access to meaningful opportunities for professional growth, career advancement, and rewards based on performance and contributions to the company's success.

# Equal Opportunity Employer

Workiva is an equal opportunity employer. It is our strong belief that equal opportunity for all employees is central to the continuing success of our organization. We will not discriminate against an employee or applicant for employment because of age, disability, language, marital or family status, nationality or citizenship, race/ethnicity, religion or belief, sex/gender including gender identity and expression, sexual orientation, political opinion, pregnancy and parental status, social or economic background, veteran status, or any other characteristic protected by federal, state, or local law, ordinance, or regulation. Opportunity is provided to all employees based on merit and qualifications meeting job requirements.

Workiva is committed to providing equal employment opportunities to qualified individuals with disabilities and complies with all state, provincial, local, and federal regulatory requirements to do so, including but not limited to the Americans with Disabilities Act. Workiva will make reasonable accommodations to disabled applicants and employees if the reasonable accommodation would allow the individual to perform the essential functions of the job, unless doing so would create an undue hardship.

# How We Conduct Ourselves

**Uphold High Standards — Responsible — Respectful**

# Respectful Workplace

Workiva strives to create and maintain an open door culture where leaders and managers make themselves available to employees at any time for open, candid two-way communication. By fostering transparency, leading with trust, and supporting collaboration across the company, employees are encouraged to voice their ideas, concerns, feedback, or questions respectfully and freely. Employees should discuss questions or concerns directly with one another and can raise them directly to company management, leadership, and their stakeholders from across the company.

If a conflict or concern arises, all Workivians are responsible for working together to resolve it by focusing on solutions and keeping issues work-related. Employees should start by communicating directly with the person or persons with whom they have the conflict or concern or who are responsible for the area of the business that the concern relates to. In most cases, discussing a situation will resolve it or lead to a mutually agreeable solution. If employees are not able to resolve a conflict and need assistance, they should discuss the issue with their manager or leader. As needed, the People & Culture team is also available for support.

Workiva expects employees to maintain high standards of professional conduct during all work activities and events - whether in an office, at an off-site Workiva/customer/partner event, or while representing Workiva externally in any forum. Additionally, any time an employee is wearing Workiva apparel, their actions and behaviors are a reflection on Workiva.

It is understood and respected that personal relationships between co-workers may occur. When a relationship is formed with a co-worker, the relationship must not interfere with your work or with the work of others. Both parties must maintain professionalism and not engage in conduct that would be offensive or make others uncomfortable.

# Discrimination and Harassment-Free Workplace

Workiva is committed to treating every individual with dignity and respect. We seek to provide and maintain a work environment free from discrimination and harassment of any kind. Workiva prohibits discrimination or harassment based on any protected characteristic including race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, military status, veteran status, and any other basis protected by federal, state or local law, ordinance or regulation.

- Discrimination involves treating someone unfavorably or unfairly because of a protected characteristic. Discrimination can be both direct (clear and observable actions) and indirect (policies or practices that disproportionately affect certain groups).
- Harassment refers to unwelcome or unwanted verbal, visual, or physical behavior that is based on a protected characteristic and creates a hostile, intimidating, degrading, and/or offensive environment or unreasonably interferes with work performance. Examples of harassment include, but are not limited to, unwelcome sexual advances; uninvited suggestive remarks; sexist, racist, or religious slurs; and ethnic jokes.
- Sexual harassment is a type of harassment and a form of employee misconduct. It is defined as unwelcome sexual advances, requests for sexual favors, offering employment benefits in exchange for sexual favors and other verbal (use of derogatory comments, slurs, or jokes), visual (leering, making sexual gestures, displaying sexually suggestive objects or pictures) or physical conduct of a sexual nature, including sexual assault, and includes gender-based harassment of a person of the same sex as the harasser. Sexual harassment also includes making or threatening reprisals after a negative response to sexual advances.

Anyone who witnesses or experiences discrimination or harassment must report the incident. If another person's behavior feels discriminatory or harassing, even if the behavior is not directed toward you, you need to make a report. All managers are required to bring any reports of discrimination or harassment to the People & Culture team immediately for investigation, even if it concerns employees who do not directly report to them. Workiva will undertake a thorough, timely, and objective investigation of the allegations.

Any discriminatory treatment or harassment of employees, contractors, or vendors, including conduct which is a violation of Workiva's values or federal or state law, will result in appropriate disciplinary action, up to and including termination of employment.

# Alcohol, Tobacco, and Drug Use

Workiva is committed to providing a safe, healthy, and productive work environment. Workiva has no tolerance for any employee who reports to work while under the influence of drugs or alcohol or who becomes impaired by the use of drugs or alcohol at work.

The following expectations apply to all individuals in a Workiva office or conducting business on behalf of Workiva, regardless of location:

- The possession, use, sale, purchase, manufacture, or distribution of illegal drugs or unauthorized controlled substances on company premises or while conducting company business is strictly prohibited.
- Reporting to work under the influence of illegal drugs or misused controlled substances, or impaired by alcohol is prohibited.
- Consumption of liquor is not allowed inside Workiva offices.
- Consumption of beer or wine is allowed only during designated social events. Consumption must never lead to impairment or interfere with job performance, professional behavior, or safety.
- Smoking and vaping (the use of electronic nicotine delivery systems) is prohibited inside all Workiva workplaces.
- Smoking, vaping, and consuming alcohol is prohibited when conducting Workiva business or attending business meetings in a virtual environment.

The legal use of prescribed controlled substances must not impair the employee's ability to perform their job safely and effectively. Employees are expected to take prescription medications only as directed by a licensed healthcare provider.

An employee who is arrested and convicted for an offense related to drugs or alcohol is subject to disciplinary action that may include termination of employment.

# Avoid Conflicts of Interest

Employees are expected to use good judgment and adhere to high ethical standards to avoid situations that create an actual or potential conflict of interest between your interests and the interests of Workiva. A conflict of interest occurs when an individual's private interest interferes, or even appears to interfere, with the company's interest as a whole. Actions by members of your family, significant others, or other persons who live in your household also may result in actual or potential conflicts of interest. If you are unsure whether a certain transaction, activity, or relationship, including outside employment, constitutes a conflict of interest, you should discuss it with your supervisor.

## Conflicts could include, but are not limited to:

- Employment outside Workiva
- Creating software that is not for the benefit of Workiva
- Business-related interactions with a Workiva competitor
- A board or committee appointment outside of Workiva
- Entering into contractual or financial obligations on the behalf of Workiva that would personally benefit you



*If you question whether an event or transaction is a potential conflict, you should get approval from the Chief Legal Officer before proceeding.*

Any opportunities discovered through the use of company resources, information, or one's position at Workiva must be presented to the company and cannot be pursued for personal gain by employees, officers, or directors. We all have a responsibility to act in the best interests of Workiva and to advance its legitimate opportunities when they arise.

# Maintain a Clear Criminal Record

To the extent allowed by law, a background check will be conducted of candidates being offered a position with the company prior to the commencement of employment. This check will extend back to the maximum period provided by each jurisdiction and may include a review of criminal records, terrorist status, activity subject to sanctions, and may also include confirmation of education, certifications and employment. Workiva will decline to hire any individual convicted of a felony or equivalent seriousness, a conviction for theft or fraud, or an indictable offense that is related any way to the individual's prospective job duties with Workiva. Workiva will review background check results, including convictions for misdemeanors, to determine whether they would compromise our reputation for safety and security.

Any individual convicted of a crime or entering into a guilty or nolo contendere plea (no contest) agreement during employment at Workiva must report convictions or pleas to People & Culture within five (5) business days. Workiva will review the conviction and subject to applicable country laws, determine disciplinary action, which may include suspension or termination of employment.

Failure to report a new conviction or plea may result in disciplinary action up to and including termination of employment.



# Violence-Free Workplace

Workiva is committed to maintaining a safe, secure, and violence-free work environment and will not tolerate any level of violence or the threat of violence in the workplace and/or while conducting company business.

Use or possession of weapons on company property or while performing job duties is expressly prohibited.

All threats or acts of violence must be reported immediately to a manager and/or the Workiva Ethics & Conduct Team.

Workiva will promptly investigate all reports of workplace violence and may involve third parties, such as the police, if necessary.

## No Solicitation

Workiva does not permit solicitation, money collection, or the sale of merchandise by one employee to another while either employee is on work time. Work time means all time on Workiva premises, or when traveling, to or from a Workiva facility or on company business (other than meal periods and break times).

Workiva likewise restricts the distribution of non-work related literature, petitions or advertisements. Distribution of political or for-profit business literature, petitions or advertisements is prohibited.

Soliciting or distributing any literature by a non-employee is prohibited on all Workiva property without approval.

# **Financial Integrity & Responsibility**

# Financial Integrity

Workiva is required to maintain and report financial information accurately, timely, completely and understandably. As a public company, the integrity of our records and public disclosure depends upon the accuracy and completeness of the information supporting the entries in our books of account. The making of false or misleading entries, whether they relate to financial results or otherwise, is strictly prohibited.

## It is important that:

- No entry be made in our books and records that intentionally hides or disguises the nature of any transaction or of any of our liabilities or misclassifies any transactions as to accounts or accounting periods;
- Transactions be supported by appropriate documentation;
- The terms of commercial transactions be reflected accurately in the documentation for those transactions and all such documentation be reflected accurately in our books and records;
- Employees comply with our system of internal controls; and
- No cash or other assets be maintained for any purpose in any unrecorded or “off-the-books” funds.

# Internal Controls

Financial integrity and fiscal responsibility is at the heart of Workiva's professional conduct. Everyone has a role in making sure company money is appropriately spent, our financial records are complete and accurate, and internal controls are honored. This matters every time we hire a new vendor, expense something to Workiva, sign a new business contract or enter into any deals on Workiva's behalf. To make sure we get this right, we maintain a system of internal controls to reinforce our compliance with legal, accounting, tax, sourcing and procurement and other regulatory requirements in every location in which we operate.

## Spending and Reimbursements

Be responsible when you spend money on Workiva's behalf and when submitting an expense for reimbursement. Expenses will be reimbursed in accordance with the company's Travel, Corporate Card, and Expense Policy. All employees are to receive approval from their manager before spending money on Workiva's behalf. All purchases must be directly related to company business and supported by appropriate documentation. If you're uncertain about whether you should spend money or submit an expense for reimbursement, check with your manager.

Managers are responsible for all money spent and expenses incurred by their teams, and are held accountable for carefully reviewing all spending and reimbursements of their team.



# Fair Dealing

You must deal fairly with Workiva's customers, suppliers, partners, service providers, competitors, employees and anyone else with whom you have contact in the course of company business. You must not take unfair advantage of anyone through manipulation, concealment, abuse of privileged information, misrepresentation of facts or any other unfair dealing practice.

## Accuracy of Records and Reports

It is important that anyone relying on records and reports - management, supervisors and other decision makers, stockholders, customers and auditors - have complete, accurate and timely information. Anyone involved in preparing financial or accounting records or reports or in certifying the accuracy of those records or reports should make an inquiry or review adequate to establish a good faith belief in their accuracy.

Even if you are not directly involved in financial reporting or accounting, you may be involved with financial records or reports of some kind - for example, a certification voucher, time sheet, invoice, or expense report. Workiva expects all employees to use all reasonable efforts to ensure that every business record or report with which you deal is accurate, complete and reliable.

# SEC Reporting and Other Public Communications

Workiva's financial and accounting records are relied upon to produce public communications and reports for governmental agencies. In particular, we rely upon our accounting and other business and corporate records in preparing the periodic and current reports that we file with the United States Securities and Exchange Commission, or the SEC.

Employees involved in the preparation of these reports must use all reasonable efforts to comply with our disclosure controls and procedures, which are designed to promote full, fair, accurate, timely and understandable disclosure and to fairly present our financial condition and results of operations in our SEC reports and other public communications. In addition:

- You may not knowingly take or authorize any action that would cause Workiva's financial records or financial disclosure to fail to comply with generally accepted accounting principles, the rules and regulations of the SEC or other applicable laws, rules and regulations;
- You are expected to cooperate fully with requests from our finance and accounting personnel, as well as our independent public accountants and counsel, respond to their questions with candor and provide them with complete and accurate information to help ensure that our books and records, as well as our reports filed with the SEC, are accurate and complete; and
- You should not knowingly make, or cause someone else to make, any false or misleading statement in any of these reports or knowingly omit, or cause someone else to omit, any information necessary to make the disclosure in these reports accurate in all material respects.

# **Obey the Law**

**You must respect and obey the laws of the jurisdictions in which we operate. It is the personal responsibility of each employee to adhere to the standards and restrictions imposed by those laws, rules and regulations.**

**It is important that you seek advice from supervisors, the legal department or other appropriate personnel if you have questions regarding the laws, rules and regulations that apply to the Company's business.**

# Sourcing and Procurement

The procurement of goods and services for Workiva must be conducted in an open and competitive environment, to promote value and innovation and ensure fair and reasonable pricing. When it comes to our suppliers, Workiva is committed to balancing price, quality and performance while maintaining the highest ethical standards.

All Workivians must take care to avoid the intent and appearance of unethical relationships, actions, and communications with suppliers. All sourcing and procurement activities include obligations to obtain proper documentation, maintain fiscal responsibility and ethical behavior, and adhere to our Financial Integrity and Information Security policies.

Procurement activities are globally centralized and managed by Workiva's Sourcing and Procurement department. Goods and services must always be procured in accordance with the Workiva Procurement Policy. In order to ensure that sourcing activities are conducted in alignment with both best practices and Workiva's values, contact the Procurement & Sourcing team before engaging a vendor or supplier.

## Confidential Customer and Material Non-Public Information

Because of the type of financial solutions Workiva offers to its customers, there is a possibility that you may have direct or indirect access to a company's "material non-public information," which is Confidential Customer Information. "Material" generally means information that would be considered relevant to an investor who is investing in a particular stock, or a current shareholder making a decision to sell stock. "Non-public" is defined as information that has yet to be disclosed to the general public. Relying on material non-public information or "insider tips" when buying or selling stocks is considered "Insider Dealing or Trading" and is strictly prohibited by the SEC.

# Customer Securities Trading

Persons in possession of Confidential Customer Information, including material non-public information, must not disclose that information to anyone, except as necessary for conducting company business or where legally mandated. You may not buy stocks, bonds or any type of securities of any current or prospective Workiva customer (see the Workiva No Trade List on Connect). You must follow the Workiva trading policies when selling the stock of companies on the Workiva No Trade List. Failure to follow this policy will subject you to appropriate disciplinary actions including termination of employment, and you may be subject to legal and regulatory actions or proceedings. If you know anyone that has violated this policy you have a duty to report it to Workiva's Chief Legal Officer as soon as possible.

## Insider Trading

Trading in Workiva stock (or the stock of any other company) while in possession of material non-public information is strictly prohibited and is illegal. Material non-public information is information that has not been released to the public and which a reasonable investor would find useful in determining whether to buy, hold or sell stock. Examples of this "inside information" include financial results, sales results, mergers & acquisitions or other major business plans, customer wins or losses, or changes in senior management. Additionally, you cannot give inside information to anyone else, including your family or friends (this is called "tipping"). Consequences for violations are severe and could include jail time. See Workiva's Insider Trading Policy for more information.

# No Bribery

Like all businesses, Workiva is subject to various laws that prohibit bribery in virtually every kind of commercial setting. The rule for us at Workiva is simple - don't bribe anybody, anytime, for any reason.

You should also be careful when you give gifts and pay for meals, entertainment or other business courtesies on behalf of Workiva. We want to avoid the possibility that the gift, entertainment or other business courtesy could be perceived as a bribe, so it's always best to provide business courtesies infrequently and, when you do, keep the value nominal.

Never give gifts to thank government officials for doing their jobs. Offering gifts, entertainment or other business courtesies that could be perceived as bribes becomes especially problematic if you're dealing with a government official. "Government officials" include any federal, state or municipal government employee; candidate for public office; or employee of government-owned or -controlled companies, public international organizations, or political parties. This includes officials from any jurisdiction or government organization. Several laws around the world, including the U.S. Foreign Corrupt Practices Act the UK Bribery Act, and the Canadian Corruption of Foreign Public Officials Act specifically prohibit offering or giving anything of value to government officials to influence official action or to secure an improper advantage. This not only includes traditional gifts, but also things like meals, loans, investment opportunities, travel, political or charitable contributions and job offers for government officials' relatives.

? Before offering any gifts or business courtesies to a government official, you should contact Workiva's Ethics & Conduct Team to obtain pre-approval.

# Protecting Workiva and Yourself

Security

[helpdesk@workiva.com](mailto:helpdesk@workiva.com)

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# Confidentiality & Privacy

Simply stated, if you question whether or not it is okay to share certain information with another person, whether inside or outside of Workiva, it is probably considered "Proprietary Information," and the sharing of the information may not be permissible. "Proprietary Information" includes all non-public information that might be of use to competitors or harmful to Workiva, its employees, or its customers, if disclosed. If you are not sure whether you are permitted to share certain information, check with your manager or the Ethics and Conduct Team before sharing the information.

Employees are entrusted with highly confidential information from the company, fellow employees, vendors and our customers. It is up to each one of us to ensure the protection of that information. Each of us has the responsibility to follow the company's information protection policies, including Information Security, Acceptable Use, Third Party Security, Privacy, and Information Classification.

In addition to protecting Workiva's Proprietary Information, if you are in possession of sensitive information from a competitor or your former employer, Workiva does not want this information. If an opportunity arises to take advantage of a competitor's or former employer's sensitive information, don't do it. Notify the Ethics and Conduct Team or the Security team if you come in possession of a competitor's sensitive information so that a proper course of action can be taken.

# Data Protection

Employees are responsible for protecting company and customer data and information and following the Information Security Policies to ensure data and information is fully secured. Personal devices connected to Workiva systems are subject to tracking, inspection and remote wiping at the discretion of the company to ensure that data remains confidential. All personal devices must meet the same security requirements as company-owned devices. You are not to store customer or company data on a personal desktop or laptop, removable media or other personal device without authorization from the Information Technology team.

As an additional security measure, Workiva follows strict encryption standards for confidential data and information. Further, all company and customer data should be used only for legitimate business purposes.

## Data Requiring Encryption

There are several types of information that require encryption at rest (storage) or in motion (transmission) to protect confidentiality and integrity. This is not all-inclusive, and when in doubt, any information not approved for public release should be stored in encrypted form. The following is a list of examples:

- Passwords
- Customer pre-release financial information, or other sensitive proprietary customer information
- Lists of customers and their contact information
- Personal information about Workiva employees or their compensation
- Personal health information about anyone covered by Workiva insurance
- Information that, if released, could harm Workiva, its employees or its customers
- Any information with a classification of restricted

# Physical Security

Employees work from a variety of locations including Workiva offices of different sizes and home offices. Within Workiva offices, there are clearly defined "public," "private," and "restricted" spaces. More detail about the definition of these spaces can be found in the Physical Security Policy.

Workiva offices are protected with badging systems that require badging in and out of all spaces. Individuals are not permitted to enter a private or restricted space without proper authorization, and we do not permit others to piggy-back on the entry into any space.

Visitors to Workiva offices must obtain the appropriate badge at the location's reception desk in accordance with the Physical Security Policy. Visitors are not permitted to use Workiva fitness equipment at any time.

*Workiva offices are protected by outside security companies and/or cameras.*

# Use & Protection of Workiva Property

You may be authorized to purchase equipment on Workiva's behalf in accordance with the Workiva Procurement Policy. If you are unsure whether you are allowed to purchase on Workiva's behalf, talk to your manager, the Accounting team or the Sourcing and Procurement team.

When items (assets) are purchased for Workiva, they are entered into an inventory system and are given an identification tag. Employees must follow procurement procedures ie: creating purchase orders.

Everyone has a responsibility to protect the equipment provided to him or her to complete his or her work. You should make sure that the equipment assigned to you is in your possession. Each item provided to you is assigned to you in the Workiva inventory system and you are responsible for each of these items.

Employees must immediately report any lost or stolen equipment to the Employee Technology Services (ETS) team. Prompt reporting is critical for ensuring the security of company data and resources.

Employees experiencing hardware or software issues with company-provided equipment must contact ETS for support. Only ETS is authorized to diagnose and resolve such issues. Employees are strictly prohibited from working with third parties to troubleshoot or repair company-provided hardware or software.

Information stored on Workiva property is accessible by Workiva. You should understand that any information stored on Workiva equipment is the property of Workiva and may be accessed or disclosed to people inside and outside the company. Workiva may monitor, access and disclose employee communications housed on corporate email, voicemail, computer files and other materials with or without notice to the employee in response to a complaint, subpoena or warrant.

Failure to adhere to these processes may result in disciplinary action, up to and including termination of employment.



**This is our company**

