

# Supplier Code of Conduct



**UBS**

### **Purpose**

UBS's Supplier Code of Conduct sets out our expectations for our suppliers to support our sustainability priorities, embody positive environmental, social and governance practices in their operations and supply chain and operate according to the highest standards of business conduct, integrity and adherence to the law.

All UBS suppliers are expected to comply with this code of conduct and require their sub-contractors and suppliers to meet the relevant standards as well.

### **Updates**

This Supplier Code will be periodically updated and revised to reflect changes in laws and regulations, as well as UBS's policies and standards. The most current version is available online at <https://www.ubs.com/global/en/our-firm/suppliers/supplier-code-of-conduct.html> (the "UBS Supplier Website") and, unless stated otherwise, will be effective when posted.

We expect our Suppliers to keep informed as to any changes to this code of conduct and to visit the UBS Supplier Website regularly to keep themselves up to date. Compliance with this code of conduct shall be each of our Supplier's responsibility.

### **Acceptance and confirmation of this Supplier Code of Conduct**

We expect our Suppliers to accept and confirm this Supplier Code of Conduct followed by a UBS onboarding procedure before participating in any sourcing activities.

### **Violations**

Any violation of this Supplier Code of Conduct should be notified to UBS immediately.

As a supplier, if you or your staff identify or suspect any misconduct or behavior that may have an actual or potential negative environmental or social impact on stakeholders within our value chain, including workers and communities, you should report this via our Report Misconduct page at <https://www.ubs.com/global/en/contact/ubs-staff-misconduct.html>

Concerns should be raised without fear of reprisal. Examples of these environmental and social issues include, but are not limited to:

- Pollution or nature degradation
- Treatment of hazardous waste
- Working conditions
- Modern slavery, Forced labor or Human rights
- Unethical behavior

### **Responsible Supply Chain Management**

We embed environmental, social and governance (ESG) standards into our sourcing and procurement activities. Our firm-wide Responsible Supply Chain Management (RSCM) framework is based on identifying, assessing and monitoring vendor practices in the areas of human and labor rights, the environment, nature, health and safety, and anticorruption.

Suppliers must comply with the UBS Responsible Supply Chain Standard, (which incorporates UBS's standards on human rights, labor rights and environmental principles) published at <https://www.ubs.com/global/en/our-firm/suppliers/supply-chain.html>

### **Supplier Diversity**

We support diversity, equity and inclusion in both our own organization and in our Suppliers and encourage the use of diverse Suppliers and subcontractors, thereby creating a supply chain that is resilient, agile and fosters innovation. Read more at <https://www.ubs.com/global/en/our-firm/suppliers/supplier-diversity.html>

### **UBS policies**

Our expectations from our Suppliers when providing services to UBS is that they comply with the relevant UBS Policies published at <https://www.ubs.com/global/en/our-firm/suppliers/contracting-standards.html>

### **Whistleblowing and non-retaliation**

We expect our Suppliers to have formal policies and / or processes in place to protect their employees and staff who report conduct which they reasonably believe amounts to a violation of laws, regulations rules, codes of ethics or other professional standards from being terminated, demoted, suspended, threatened, harassed or in any other manner discriminated against or subject to detriment.