

# Herbert Smith Freehills

## Third Party Compliance Standards

May 2023

Herbert Smith Freehills provides a full and extensive range of legal services to a diverse body of clients. We seek excellence in every aspect of our business and are committed to the highest standards of professionalism, ethics and integrity. This includes a commitment to working with **third parties**<sup>1</sup> to ensure a high level of compliance. We look for compliance in the categories set out below and expect third parties to share our commitment and to have their own internal policies and procedures in place to support such commitment.

Where incorporated into any contract, these Standards shall survive the contractual term.

### 1. Confidentiality

- 1.1 Herbert Smith Freehills treats the information of our clients and staff with the utmost respect. As a law firm we have professional obligations of confidentiality and it is important that you understand this.
- 1.2 We expect you to keep all information received about any Herbert Smith Freehills entity, client, or staff member confidential. We require you to put in place safeguards to ensure that access to confidential information is appropriately restricted. We may require you to enter into a non-disclosure agreement on our terms when provided confidential information in advance of contractual agreement.

### 2. Information Security

- 2.1 We are committed to maintaining the highest standard of information security when it comes to handling our clients', employees', and our own, information.
- 2.2 You are expected to put in place appropriate technical and organisational measures to protect information received about any Herbert Smith Freehills entity, its clients or its staff.
- 2.3 We expect you to have your own internal information security policy which will be made available to us for review. If we have concerns about the adequacy of the security measures we may require you to comply with Herbert Smith Freehills' Information Security Policy, which outlines the behaviours and security measures required in protecting the information of our clients and the firm.

### 3. Data Protection and Privacy

- 3.1 Herbert Smith Freehills is fully committed to compliance with its obligations as a data controller and/or regulated entity under the General Data Protection Regulation 2018 ("GDPR"), the UK version of the GDPR brought into force by the European Union Withdrawal Act 2018 ("UK GDPR"), the UK Data Protection Act 2018, the Australian Privacy Act 1988 and all other data protection legislation in the jurisdictions in which we operate or where our personal data is transferred or processed (the "Global DP Laws").
- 3.2 We expect you to be fully aware of and abide by the applicable Global DP Laws, and not do anything which would prevent Herbert Smith Freehills or its clients from complying with their obligations under applicable Global DP Laws.

### 4. Anti-Bribery and Corruption

- 4.1 Herbert Smith Freehills is committed to preventing bribery and corruption. Herbert Smith Freehills has anti-bribery policies designed to prevent persons employed by or performing services on its behalf from paying or receiving bribes. We expect you to have similar policies, or to comply with Herbert Smith Freehills' anti-bribery policies.
- 4.2 It is important to us that you share our commitment to preventing bribery and corruption. In certain circumstances it could be alleged that we or our clients are liable for the actions of others, if they bribe on our behalf or on our clients' behalf to obtain or retain work or a business advantage for us or our clients.
- 4.3 Our policy specifically prohibits dealings for the purpose of improperly obtaining or retaining business or for any other improper purpose or business advantage, as well as the making of facilitation payments.
- 4.4 We expect you to act in the best interests of us or our client and take steps to avoid, or disclose, conflicts in your provision of goods or services to us or our client.

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<sup>1</sup> We use "third parties" in this document to mean both (i) service providers and other suppliers who provide services or goods to Herbert Smith Freehills entities and (ii) service providers and other suppliers (including law firms) who provide services to our clients, where we are involved in their engagement (although only as an agent or intermediary for our client).

4.5 You must not offer any partner or employee of Herbert Smith Freehills or a client any gift or hospitality of such value that it might have the effect, or perceived effect, of improperly influencing their decisions.

## 5. Sanctions Compliance

5.1 It is the firm's policy to adhere to all applicable sanctions laws and regulations and we expect you to do the same.

5.2 You must not cause us to breach applicable sanctions laws. You must tell us if you become subject to sanctions and if you are, or become, owned or controlled by a sanctioned person to any extent.

## 6. Tax Evasion

6.1 It is the firm's policy to adhere to all applicable tax laws and we expect you to do the same. We expect you to implement appropriate procedures, systems and controls relevant to your business to prevent the criminal facilitation of tax evasion.

6.2 We do not tolerate tax evasion (or any form of financial crime) and any third parties found to be engaging in these practices may be reported to the relevant authorities.

## 7. Modern Slavery

7.1 Our Modern Slavery statement is published on our website. We are continually working towards ensuring that our policies and procedures comply with the requirements of applicable UK and Australian modern slavery legislation and operate in accordance with our Responsible Procurement policy.

7.2 We expect you to consider the requirements of any applicable legislation, and to the extent possible examine your own supply chain to highlight the risk areas in relation to slavery and human trafficking.

7.3 We expect you (whether you are required to comply with the applicable legislation or not) to give due consideration to what the legislation seeks to address (including considering and addressing parts of your own supply chain that are at risk of slavery and human trafficking) and act in accordance with the spirit of the legislation.

## 8. Workplace Health & Safety

8.1 We expect you to be fully aware of and abide by your obligations under applicable workplace health and safety legislation, regulations and standards, and to have in place an internal policy to ensure compliance with such obligations.

## 9. Labour Laws (including Labour Hire Licensing)

9.1 We expect you to pay fair wages and compensate workers in accordance with all applicable labour laws, including those relating to minimum wages, overtime hours and legally mandated benefits.

9.2 We expect you to follow all applicable laws and regulations with respect to working hours.

9.3 We adhere to all applicable labour hire licensing laws and, where required by law, we will only engage suppliers of labour hire services who hold and maintain a labour hire licence (and provide such licence on request).

9.4 Where applicable, we expect providers will provide any necessary labour hire licences to us prior to the provision of services and at other times on our request.

## 10. Competition

10.1 It is the firm's policy to comply rigorously with relevant competition laws. We expect you to do the same and to assist us in our compliance.

10.2 Accordingly, you must not share information with us which might result in an anti-competitive effect or object. This would include for example: specific information about significant costs of our competitor firms, the markets in which they compete, and the means by which they deliver key services and make key strategic decisions. If in any doubt, describe to us in advance the nature of information you consider passing to us, and we will advise whether we are able to receive it.

## 11. Regulatory Compliance

11.1 As a global firm of legal professionals our practice and conduct are regulated in every jurisdiction where we operate. Our regulators have a say in the way we do business, and they regulate our relationships with third party suppliers and service providers. We expect you to recognise the fact that we are subject to such regulatory obligations – the nature and extent of which may differ from one jurisdiction to the next – and that it may affect our dealings with them.

11.2 Where you have access to confidential information, we expect you to permit audits to be carried out as required by our professional regulators and to provide every assistance reasonably requested.

## 12. Diversity and Inclusion

12.1 Herbert Smith Freehills is committed to diversity and inclusion. We do not tolerate any form of discrimination, bullying, harassment or unacceptable/inappropriate behaviour. We expect our suppliers to share our commitment, which includes demonstrating through your actions that you value all forms of diversity and treat all individuals, including our people as well as your own suppliers and employees, with dignity and respect.