

## SUPPLIER GUIDELINES

DST is a leading provider of information processing and computer software services and products to the financial services, retirement, brokerage, communications and healthcare industries. Today, DST operates offices in 50 cities worldwide, employing approximately 13,000 associates. We believe our growth and success are based on clearly defined principles that serve as a foundation for achieving excellence in everything we do. We strive to preserve and enhance DST's reputation as a good corporate citizen. Having a significant position in the markets we serve, we believe we can help shape and influence standards wherever we do business. DST's evolving supplier initiatives emphasize these areas:

- I. Legal, Ethics and Compliance
- II. Risk Management for PII, PHI, and PCI
- III. Social Responsibility and Sustainability

### I. Legal, Ethics and Compliance

DST seeks to do business with Suppliers who are committed to acting with integrity. A Supplier's misconduct could cause serious reputational, operational and financial harm to DST and/or our customers. As such, we have well defined expectations and standards that must be met by the Suppliers with whom we work, as outlined in this document.

#### A. Business Integrity and Fair Competition

Suppliers shall conduct themselves and their business at all times in full compliance with all applicable laws, rules and regulations.

Suppliers shall not directly or indirectly take part in or condone any form of corruption, including but not limited to bribes, inducements, grease or facilitation payments, kickbacks, fraud, extortion, money-laundering or doing business with prohibited individuals, countries or companies.

Suppliers shall not directly or indirectly accept, offer or provide any improper inducements to, or attempt to improperly influence any government official, government entity, political party, political candidate, public international organization, private individual, organization or company. Suppliers shall be familiar with and comply with the U.S. Foreign Corrupt Practices Act, the UK Bribery Act and other applicable anti-corruption laws. In addition, they must ensure that their suppliers, subcontractors and agents are also compliant.

Suppliers shall conduct their business and activities in a competitive manner and shall ensure their suppliers, subcontractors and agents do the same. Suppliers shall not violate applicable antitrust and anti-competition laws, rules and regulations, which, among other things, generally prohibit price-fixing, dividing territories and bid-rigging.

Suppliers shall employ fair business practices and shall be accurate and truthful in their advertising and representations regarding their products and services.

Neither our Suppliers nor Associates can accept or provide gifts or entertainment which are solicited, excessive, a quid pro quo or could be viewed as a conflict of interest or an attempt to gain an improper business advantage or to influence a business decision. In addition, while travel and entertainment expenditures are necessary business activities, prudent use of Company funds for travel and entertainment is expected. It is customary and expected that Suppliers and Associates exercise proper business judgment when incurring travel and entertainment expenditures. Travel and entertainment expenses should be incurred on the most cost efficient basis to DST and our Clients, consistent with reasonable schedules, safe accommodations and comfortable service.

Dealings and transactions with our Suppliers are to be at arms-length. To that end, our Suppliers and Associates must not be in a situation where a conflict of interests exists because of a family relationship, a personal relationship, a business relationship, an investment or due to some other connection or relationship. Any such relationship or investment that could possibly give rise to a conflict of interest must be promptly disclosed to DST's Chief Procurement Officer and DST's Chief Ethics and Compliance Officer.

**B. DST's Business Ethics & Legal Compliance Policy**

Suppliers must also comply with the applicable provisions of DST's Code of Conduct Policy. It can be found on our website at [www.dstsystems.com](http://www.dstsystems.com).

**C. Reporting Violations and Misconduct**

DST Suppliers are expected to promptly report suspected and actual violations of these guidelines, violations of DST's Code of Conduct Policy and any other unethical or illegal activities to DST's Procurement Office, DST's Chief Ethics & Compliance Officer (+1 816 435 8640 / [codonaldson@dstsystems.com](mailto:codonaldson@dstsystems.com)) or anonymously using DST's Business Conduct Line, which is operated by a third-party vendor (+1 888 255 8146 or collect at +1 770 810 2629).

## **II. PII, PHI, & PCI RISK MANAGEMENT**

DST has made a conscientious commitment to address and manage risk with key suppliers. Because of this, we have a level of expectation for suppliers that offer products and services to DST and its subsidiaries. Once a supplier is identified by DST as critical to DST's business success, a risk assessment is completed. If applicable, (i.e. where DST data is taken outside DST's environment) a supplier may be required to complete a Standard Information Gathering (SIG) questionnaire. Depending on the responses to this questionnaire, DST may require additional communication with the supplier, which may include an on-site visit and/or audit. In addition to these, DST addresses and manages identifiable risks with key suppliers in their respective agreements, which may include but not be limited to, breach of confidentiality, disaster recovery procedures, business continuity, security breaches, financial viability, legal actions, new laws/ regulations and industry changes.

## **III. SOCIAL RESPONSIBILITY AND SUSTAINABILITY**

DST is committed to compliance with laws, regulations and ethical industry standards that support our social and environmental goals and responsibilities. These may include ethical business

practices, contributing to economic development, being good stewards of the environment and improving the quality of life of our workforce as well as the community at large.

A. Forced Labor/Child Labor

Suppliers shall comply with all applicable federal, state and local laws, regulations and ordinances concerning forced labor/child labor.

B. Non-discrimination

DST is committed to providing equal employment opportunities to current and potential employees and expects its suppliers to adhere to these standards that are protected by law. Suppliers shall comply with all applicable federal, state and local laws, regulations and ordinances concerning labor, employment, and employment discrimination, including, without limitation, laws relating to the protection of disabled individuals. Where applicable, suppliers must take affirmative action pursuant to the requirements of 41 CFR §§ 60-1.4(a), 60-300.5(a), and 60-741.5(a) to employ and advance in employment individuals without regard to race, color, religion, sex, national origin, protected veteran status or disability.

C. Health and Safety

DST is invested in protecting the health and safety of our employees and contractors globally and expects our suppliers to comply with all health and safety laws and regulations, applicable codes and industry best practices.

D. Wages and Benefits/Working Hours

DST requires all suppliers to comply with applicable labor and wage laws, rules and regulations.

E. Environmental Sustainability

DST is committed to protecting the environment. In addition to complying with applicable environmental laws in the countries in which we operate, DST integrates environmental concerns into its selection of suppliers. We encourage suppliers to have a similar environmental framework and sustainability programs.


F. Conflict Minerals

In 2012, the Securities and Exchange Commission (SEC), driven by the Dodd-Frank Wall Street Reform and Consumer Protection Act, adopted rules requiring public companies to report the use of certain "conflict minerals" in their products. The minerals are tantalum, tin, tungsten and gold (3TG).

The SEC disclosures bring attention to a situation in the Democratic Republic of Congo (DRC) and neighboring countries in Africa where warlords control mines, engage in human rights abuses and use mining proceeds to fund regional conflicts.

With respect to products that, for purposes of the SEC rules, we may be considered to manufacture or contract to manufacture (Manufactured Products), the SEC rules require us to publicly disclose whether 3TG minerals that are necessary to the functionality or production of such products originate from conflict mines in the DRC or neighboring countries.

We encourage our suppliers to provide us with products that do not contain minerals that are sourced from mines that support militia activity and to notify us promptly if their products do contain such minerals.



DST has in place, and continues to develop, procedures to make the required SEC disclosures. We require suppliers to promptly and fully respond to our inquiries regarding 3TG minerals. We expect our suppliers to make the necessary inquiries of their own suppliers.

G. Supplier Diversity

Our global procurement process focuses on procuring cost effective goods or services from reliable suppliers who can meet the quality and turn around standards required by DST and our customers. No potential supplier is excluded from submitting a proposal or inclusion in an RFP based on race, gender, religion, sexual orientation or any other discriminatory bias. Equal consideration will be given to all suppliers when considering new business or when seeking to replace or supplement existing suppliers.