

# **The Helix Dynamics Advisors Group Business Partners Code of Conduct.**

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## Section 1: Introduction to the Code

The purpose of Helix Dynamics Advisors Group (Helix) Helix's Business Partner Code of Conduct (the code) is to describe Helix's expectations in terms of business Ethics and Compliance vis a vis its third parties (hereafter "Business Partners") and to provide them with guidance for actions in many areas in which we operate.

Consistent with our Code of Business Ethics, the guidelines and standards contained in the code come as a complement to Helix's requirements in terms of Sustainable Development vis-à-vis its partners, associates and suppliers.

This code is a practical guide to the ethical business practices that will ensure our mutual long-term success.

### 1.1 To whom the code applies

This code is a mandatory requirement for doing business with Helix.

It applies to all of our Business Partners and their employees. Business Partners are defined as, but not limited to, the following entities:

- Vendors,
- Suppliers,
- Service providers,
- Agents,
- Distributors,
- All other similar parties that provide goods or services to, for or on behalf of Helix.

### 1.2 Implementation and code enforcement

It is critical that this code be put to use on a daily basis and that our Business Partners uphold and convey its values within their organizations. Business Partners need to apply and communicate the code to their employees, as well as their sub-contractors and next-tier suppliers and to reinforce its key points on a regular basis.

While this code gives an overview of the topics that are most important to maintaining ethics in our business relationship, it is not meant to be comprehensive and all-inclusive. Please contact us at [info@helixdia.com](mailto:info@helixdia.com) if you ever need more information about how to act in accordance with this code.

### 1.3 Consequences for code violations

There are serious consequences for violating the code and any applicable laws, including the loss of future business dealings with Helix and possibly the termination of contracts. Consequences for legal violations can include heavy fines for companies and individuals, as well as jail time.

## **Section 2: Integrity vis a vis All Stakeholders Involved**

Helix has made a specific commitment to respect and promote wherever we work in the world, the fundamental rights established by the Universal Declaration of Human Rights, the dignity and intrinsic worth of individuals, minimum age-requirements, wages and benefits, equal rights for men and women and the private life of employees.

We expect our Business Partners to promote the same values, to comply with the Global Compact sustainable development principles and all related laws and to combat inappropriate or illegal behaviours.

### **2.1 Health and safety**

We are committed to maintaining safe workplaces and have developed multiple safety guidelines, procedures and policies to protect people working at Helix. We also maintain drug and alcohol-free workplaces and forbid the distribution, sale, purchase, exchange, possession and use of illegal drugs in the workplace. Smoking is only permitted in designated areas at Helix worksites.

We expect Business Partners' personnel working at Helix premises to comply with Helix's health and safety instructions.

### **2.2 Fighting discrimination, encouraging diversity**

Also, as a global company, we value and encourage diversity. We also combat discrimination and harassment: Any sexual or psychological harassment, bullying or other such conduct that interferes with an individual's work performance or creates an intimidating, hostile or offensive work environment, is totally forbidden at Helix, even if there is no relation of job subordination between the parties.

In that respect, Helix Business Partners need to ensure that their employment practices are free from any kind of discrimination, in particular vis-à-vis unionists, employee's representatives, women or minorities.

### **2.3 Continuous improvement**

More generally, we encourage our suppliers to be transparent, accountable and engaged in the continuous improvement of their sustainable development commitment.

In that respect, the promotion of the principles and values contained in this code with their own suppliers and partners is strongly recommended. As a reminder, no agent can be hired by a Business partner to indirectly represent Helix without Helix's formal written pre-approval.

## Section 3: Doing Business Fairly

At Helix, we know that ethical business dealings ensure our success now and our sustainability long into the future. We believe that integrity and success are interlinked.

This is why we strictly adhere to the policies and laws that promote fair competition in the marketplace and safeguard against anti-competitive practices and bribery and corruption: we have zero tolerance for non-compliance.

### 3.1 Combating antitrust practices

We expect all of our Business Partners to abide by the same rules and to neither collude with competitors in cartels, engage in price-fixing, market-sharing and bid-rigging or exchange sensitive business data with competitors in an attempt to restrict competition.

Our third-party contributors supporting Helix in projects involving competitors, ie: service providers, contractors, trainees, interns must behave properly and comply with our standards of integrity.

### 3.2 Prohibiting any form of bribe

Similarly, bribery and corruption are totally prohibited at Helix: We adhere to all applicable country laws (including Foreign Corrupt Practices Act, UK Bribery Act, etc.).

Our employees are not permitted to accept any gift or gratuity/invitation from customers or suppliers in any form whatsoever (in particular, amounts of money, merchandise, services, entertainment, or travel) except where the gift or gratuity/invitation is of minimal value.

We don't take actions that may be construed as attempts to unduly influence customers, government or administrative decisions in matters affecting Helix. We avoid mere situations where Helix might be perceived as opened to active or passive bribery for which we have zero tolerance.

As a consequence, Helix employees, directors, Business Partners, consultants, agents, intermediaries or representatives are forbidden from giving or promising to give, in exchange for or in order to obtain a contract or any other improper commercial or financial benefit or any undue advantage, directly or indirectly, any gift or gratuity in cash or any other form, any invitation and entertainment, to any representative of a customer or a supplier or any third party, including journalists.

Helix's rigorous anti-bribery and anti-corruption policies also apply to our direct and indirect dealings with Government or Publics Officials, administrative agencies, authorities.

Helix Business Partners and third parties who interact with public officials, in our name, on our behalf or in our interest are strictly forbidden from giving or promising to give, offering, paying or promising to give or pay in any way, directly nor indirectly to any Government or Public Official in exchange for favourable action from a government, administrative agency or other intermediary.

This is why third-party intermediaries and agents are selected and retained on the basis of Helix Retention and Selection of Agents and Intermediary policy that reflects the highest standards of integrity and business ethics.

No service can be provided, no payment can be made and no contract can be signed, nor extended or renewed with a third-party intermediary, unless he/she or his/her company has

been approved as per the said policy. Agreeing to Helix Third Party Intermediary Terms and Conditions among which the prohibition of offering anything to any public official and to Helix Code of Ethics, the need to list the actual services to be performed, the basis for fees or the price, and all other terms and conditions is also a prerequisite.

Non-compliance with these policies is taken very seriously. They may lead to the termination of Business Partners' contracts.

### **3.3 Conflict of interest**

A "conflict of interest" exists when an employee's private interests supersede or interfere with Helix's interests or when an employee or a close relative might benefit personally from a transaction involving a company in the Helix Group.

Employees are expected to make business decisions that are based solely on Helix's best interest and prohibited from entering into any conflict of interest.

Therefore, investing, directly or indirectly, in a Business Partner working with Helix, a supplier's parent company or its subsidiaries is not permitted. Business Partners cannot either lend money to Helix employees, nor directly or indirectly propose or give any kickbacks or bribes.

### **3.4 Committing to professionalism and quality**

Year after year, we work very hard to get the innovation and quality of our products and services valued by our customers and partners and recognized with awards of excellence by others in our industry.

We believe that the high quality of the products and services that we provide to our customers depends on the integrity and reliability of our production systems.

Helix sets rigorous production and quality-control standards to ensure that our products meet all applicable legal, regulatory and customer requirements. The goal of improving quality motivates and empowers all of our work at Helix and is guided by our values and all Helix employees are responsible for implementing these quality-control procedures.

However, pro-activity is also key: vigilance and early reports to the management of any perceived issue, such as defective parts, actual or potential production difficulties and transparency are core foundations of our production and delivery business ethics.

Professionalism ensures the ability of our businesses and relationships to grow and thrive.

### **3.5 Confidentiality**

At Helix, we protect our information, know how, IP rights and more generally our confidential and strategic information.

We are extremely cautious as to the integrity and safety of our Information technology network and devices as well as the exchange of information, be it directly, via It systems or on the social media.

We also respect the intellectual property and confidential information of others as well as the confidentiality of their data, projects, trade secrets, copyrights and other intellectual property, including software, images and publications.

Ensuring confidentiality and IT security takes discipline and attention. We expect our Business Partners to strictly comply with our IT Charter when using devices provided by Helix. We also expect them to respect confidentiality or rights and to use information disclosed or rights provided for the sole purpose of fulfilling their obligations vis-à-vis Helix.

Helix Business Partners are not permitted to talk on behalf of Helix or talk or write about Helix, a Helix project, a Helix customer. As a consequence, any request or invitation to an interview needs to be directed to Helix Communication Vice President and no communication can be made on the social media or in any way, such as a Curriculum Vitae, that would lead to the disclosure of Helix's or Helix customers' or other stakeholders' confidential information.

### **3.6 Complying with Export/Import restrictions and regulations**

We must act in compliance with the laws and regulations that govern the importing and exporting of goods, services, technologies and information, including re-exports and parallel trade. Possible restrictions can include, but are not limited to, bans on imports from or exports to a sanctioned country, shipments to a sanctioned country via a non-sanctioned country and investments involving sanctioned countries.

It's important to be mindful of all the potential risks when working across national borders. For instance, exports are not limited to physical goods; they can also be services or technologies shared by email or other forms of communication.

Many of the concepts associated with international trading, importing/exporting and sanctions can be very complex. Therefore, any time you engage in international business dealings, you should contact the Legal Department to confirm all relevant trade restrictions.

### **3.7 Detecting and preventing issues**

The most important thing is to detect issues early on, to prevent breaches and violations of laws and policies from happening and in case they happened, to prevent reoccurrence. Risks awareness and understanding is therefore essential to the detection and prevention of risks. While it is of course, your responsibility to duly train you personnel, we have developed awareness development material aimed at helping your teams assigned to Helix missions or projects, understand the risks that Helix is specifically determined to combat and our expectations in terms of attitude and behaviour.

We ask you to take training when required to and to make sure at all time that your teams behave properly.

We also ask you to speak up and ask for help in case of any doubt about compliance on a Helix mission or project especially if you witness or suspect any activity that may be in violation of Helix's policies or other applicable regulations.

If you wish to share a concern confidentially, please talk as soon as possible to your key contact at Helix or if you wish this alert to remain confidential, contact Helix's Ethics and Compliance Division at [info@helixdia.com](mailto:info@helixdia.com).

Helix does not tolerate retaliation against any internal or external parties for reporting in good faith a possible violation of any laws or Helix's codes and policies, or for your participation in any aspect of an investigation, proceeding or hearing.

Reports made in good faith are honest and accurate, you should always feel safe to file good-faith reports without concealing your identity.