



Date:

Donnelley Financial Solutions UK Limited (DFIN) is a business which promotes ethical business practices and policies. The purpose of this information request is to help with our due diligence and supplier on-boarding procedures. We request that you take the time to respond to these questions as we seek the same operational standards across our supply chains.

<b>Supplier Name:</b>	
<b>Registered Office:</b>	
<b>Product/Service:</b>	

**Business Conduct and Ethics**

<u>Question</u>	<u>Yes/No</u>	<u>Description/Explanation</u>
Do you have formal policies and training in place regarding business conduct and compliance, specifically covering the avoidance of corruption and bribery across the enterprise?		
In your current engagement with DFIN, do you recognise or perceive there to be a potential conflict of interest?		
Do you have policies in place that cover corporate responsibility, ethical trading, human rights and environmental impacts?		
Do you have policies and procedures in place to comply with the requirements under Criminal Finances Act 2017 - preventing the facilitation of tax evasion?		

**Modern Slavery Act 2015**

Is your company required to prepare a slavery and human trafficking statement as set out by the Modern Slavery Act 2015? If 'Yes' please provide a link to the published statement.		
What date is your financial year end for [2019-2020] reporting purposes?		
Please describe what steps you have taken/are planning to take to ensure that slavery and human trafficking does not take place in your business or supply chain?		
Do you have company standards on human trafficking and slavery for your employees and contractors, with effective sanctions for non-compliance?		



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Do you conduct audits of your operations and suppliers?		
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**Data Protection**

Please identify your appointed Data Protection Officer and their specific responsibilities.		
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Could the goods/services you intend to supply to DFIN use, access (or have the possibility to access) or store personal data such as Name, Address, Email, Phone number, Network ID, IP address, employment information, etc of individuals located in Europe?		
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Will sub-contractors be used to perform any part of the Services?		
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Are sub-contractors subject to due diligence checks?		
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When was your Privacy Policy or Notice last updated? Please provide a link.		
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Will personal data be transferred outside the EEA? If 'Yes', please specify where and the appropriate safeguards in place to enable such transfer (i.e. Model Clauses, Binding Corporate Rules etc.)		
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Do you have formal policies and training in place covering the privacy of data and security across the enterprise, including policies for storage and handling of & access to personal data, record retention, and audit? (Please specify)		
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Do terms and conditions of employment clearly define information security requirements, including non-disclosure provisions for separate employees and contractors?		
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Have you experienced a security breach resulting in loss or unauthorised disclosure of personal data within the past 3 years?		
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Do you have the ability to support DFIN in managing individual's requests to review, change or amend their personal information (Data Subject Access Request)?		
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**Security**

Who is ultimately responsible within your organisation for information and cybersecurity management?		
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Do you have an information security and/or cybersecurity policy?		
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Do you have a personnel screening and vetting policy?		
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Do your employment contracts include an obligation to comply with your information security, cybersecurity and data protection policies?		
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**Name of person completing form:** .....

**Position/function:** .....

**Date:** .....

**Signed:** .....

Please return completed form by email to your DFIN contact.