

Appendix 1 – Anti-Bribery, Corruption, Litigation, Environmental, OH&S and Human Rights Track Record and Questionnaire for Third Party

No.	Question	Response (circle / answer in writing)
1	Please enter your business details here: Business Name: Company number or equivalent company identifier: Registered office address: Contact Name:	
2	Are you required to report under modern slavery laws? (for example, Australia's <i>Modern Slavery Act 2018</i> (Cth), UK's <i>Modern Slavery Act 2015</i> (UK), Transparency in Supply Chains Act (California)) If yes, please provide us with a copy of your most recent reports.	Yes No Don't know
3	Where are your current business operations? (<i>Specify country or countries</i>)	
3a	Does any part of your business operations adversely impact on rights and interests (including land) of Indigenous people or the cultural heritage of Indigenous people in country?	Yes No Don't know, not known or expected
3b	If yes to 3a above, do you have any policy or guideline on the impact on Indigenous people's rights and interests?	Yes No Don't know N/A
3c	If yes to 3b above, describe the policy or guideline and please provide us with a copy.	☐ Reconciliation Action Plan ☐ Cultural Heritage Management Plan ☐ Native Title Agreement ☐ Canada Impact Benefit Agreement ☐ Other ☐ N/A
4	Please describe the type of Activity (or Activities) that best describes your business operations?	
5	Does your workforce include any of the following categories of workers?	☐ Disabled workers ☐ Conscripted workers

		○ Displaced workers (ie. refugees) ○ Iterant workers (including backpackers) ○ Migrant workers ○ Prison workers ○ Young workers (under 18) ○ Indigenous workers ○ None of the above
6	For which of these following ethical and labour areas has your business implemented controls, adopted written codes or policies addressing the following subject matters? Please provide us with a copy of the controls identified in response to this question.	○ Anti-Bribery and Corruption ○ Anti-Money Laundering ○ Anti-Slavery ○ Climate Mitigation Commitment ○ Code of Conduct ○ Community Engagement ○ Conflicts of Interest ○ Corporate Social Responsibility ○ Diversity and Inclusion ○ Emergency Response ○ Employee Handbook and Labour Rights Policy ○ Environmental/ Hazardous Materials ○ Freedom of Association / Union Engagement Labour Rights ○ Gift and Entertainment Policy ○ Grievance/ Whistleblower Mechanism ○ Health, Safety & Security ○ Human Rights

		○ Political Donations/ Charitable Donations/ Sponsorship ○ Responsible Contractor Policy ○ Supplier Code; Trade Controls Policy ○ None of the above
7	Environmental record: Have there been any environmental breaches or significant incidents in the last five years within your direct operations or known supply chain operations? If so, please provide details.	Yes No
8	Does your Business and any relevant subsidiaries or subcontractors uphold a commitment to fair wages, fair benefits and provides fair working conditions and standards?	Yes No
9	Have there been any incidents, breaches or litigation cases in relation to labour and pay standards in the last five years?	Yes No
10	Has your Business implemented controls to protect the health and safety of its workforce? If yes, please provide us with a copy of the documentation evidencing these controls.	Yes No Don't know
10a	If yes to 10 above, have you trained your workforce on health and safety at work?	Yes No Don't know
10b	If yes to 10a above, what percentage of your current workforce has been trained on health and safety at work? <i>(Please specify percentage range)</i>	1-20% 20-40% 40-60% 60-80% 80-100%
11	Has your business implemented controls to protect the health and safety of the employees of its third party service providers?	Yes No Don't know
12	Occupational Health & Safety record. Have there been any deaths or significant incidents of direct employees or within subsidiary, subcontracted parties in the last five years? If so, please provide details	Yes No
13	Has your workforce completed training on fair work, labour and human rights related issues?	Yes No Don't know
13a	If yes to the above, please specify which of the following topics your workforce has been trained on?	○ Anti-Discrimination ○ Anti-Slavery ○ Fair Work ○ Health and Safety ○ Human Rights ○ None of the above ○ Don't know
13b	If yes to the above, what proportion of your workforce has been trained on human rights related issues? <i>(Please specify percentage range)</i>	1-20% 20-40% 40-60% 60-80% 80-100%

14	Have your Third Party Service Providers completed training on human rights related issues?	Yes No Don't know
15	Have you assessed your Business' human rights impact?	Yes No
15a.	If yes to 15 above, following your human rights impact assessment, did you make any adjustments to your policies and controls?	Yes No N/A
15b	If yes to 15a above, do you intend to undertake a refresh of your human rights impact assessment in the future?	Yes No N/A
15c	Do you require a Responsible Contractor Policy (US only) or Supplier Code of Conduct, addressing issues such as freedom of association, union engagement, human rights, health and safety, bribery and corruption, whistleblowing, environmental and climate protections from our immediate suppliers and their suppliers, throughout the supply chain?	Yes No
15d	Have you completed any audits of your supply chain? If so, can you provide the audit and were there any key arising issues?	Yes No
16	Has your business ever been the subject of a negative Human Rights Audit?	Yes No
17	Do you have anti-bribery and corruption controls within your own operations?	Yes No Don't know
17a	If yes to 17 above, have you trained your workforce on anti-bribery and corruption?	Yes No Don't know,
17b	If yes to 17a above, what percentage of your current workforce has been trained on anti-bribery and corruption?	1-20% 20-40% 40-60% 60-80% 80-100%
17c	If yes to the above, which of the following subject matters were covered in the training?	☐ Bribery of Public Officials ☐ Charitable Giving/Political Donations ☐ Gifts and Entertainment ☐ None of the above ☐ Don't know
18	Do you have an anti-bribery and corruption program for your Third Party Service Providers?	Yes No
19	Do you have any current or known legal action?	Yes No
20	Do you have an anti-bribery & corruption policy?	Yes No

21	Has the business, any business partners or any of your staff ever been convicted of a criminal offence or been investigated for a criminal offence? If yes, please provide details.	Yes No [details]
22	Has your company ever been implicated in investigations by the authorities? If yes, please provide details.	Yes No [details]
23	Provide details (if any) of any notices issued, inspections made or enforcement actions taken by any governmental or other regulatory authority.	[details]
24	Please list any environmental, financial (including bribery, corruption), human rights, social or other pending or past litigations, court cases that relate to the business operations, in the last 5 years.	[To be listed]
25	Please list any conflicts that may exist in the proposed agreement?	[details]
26	Please list any negative media articles or other public reports or data in relation to the business, in the last 5 years.	[list]
27	Can you seek to keep Quinbrook updated within a reasonable time frame if any of the above change to the extent that it could negative this survey?	Yes No
28	Do you have any business operations or involvement with sanctioned nations or persons?	Yes No

Appendix 2 – FAQs

How can I check whether my business is required to report under modern slavery laws?

You will be required to report under the *Modern Slavery Act 2018* (Cth) if your business satisfies each of the below:

- it has a **consolidated revenue** of at least AUD\$100 million for the financial year; **and**
- it is an Australian entity at any time during the financial year or carries on business in Australia at any time during the financial year.

You will be required to report under the *Modern Slavery Act 2015* (UK) if your business satisfies each of the below:

- it is a body corporate or partnership operating in any part of the United Kingdom;
- it supplies goods or services; and
- it has a total turnover of not less than £36 million.

You will be required to report under the Transparency in Supply Chains Act (California) if your business satisfies each of the below:

- it is a company that conducts business in the State of California, USA
- it has annual worldwide gross receipts of more than USD\$100 million
- it identifies itself as a 'retail seller' or 'manufacturer' on its California tax return

What is meant by the term “controls”?

Controls are the policies, procedures and actions that your business has taken to manage risk, for example a Workplace Health and Safety Policy.

What is meant by “third party service provider”?

A 'third party service provider' is any supplier, independent contractor, advisor or agent who provides services to a business.

What are “human rights”?

Human rights are rights inherent to all human beings, regardless of race, sex, nationality, ethnicity, language, religion, or any other status. Human rights include the right to life and liberty, freedom

from slavery and torture, freedom of opinion and expression, the right to work and education, and many more. Everyone is entitled to these rights, without discrimination.

Relevantly, the UN Guiding Principles on Business and Human Rights provide a set of guidelines for States and companies to prevent, address and remedy human rights abuses committed in business operations.

These Guiding Principles are grounded in recognition of:

- States' existing obligations to respect, protect and fulfil human rights and fundamental freedoms
- The role of business enterprises as specialised organs of society performing specialised functions, required to comply with all applicable laws and to respect human rights; and
- The need for rights and obligations to be matched to appropriate and effective remedies when breached

What is “modern slavery”?

Modern slavery describes situations where coercion, threats or deception is used to exploit victims and undermine their freedom and human rights. Modern slavery contravenes human rights.

Practices that constitute modern slavery are:

- Human trafficking
- Slavery
- Servitude
- Forced labour
- Debt bondage
- Forced marriage; and
- The worst forms of child labour.

Modern slavery can occur in every industry and sector and has severe consequences for victims. Modern slavery also distorts global markets, undercuts responsible business and can pose significant legal and reputational risks to entities.

FAQs in relation to the questionnaire

Why am I being asked to complete the questionnaire?

A growing number of companies are adopting stricter sustainability and human rights standards across their operations and supply chains, in response to both shifts in customer preferences and legislation such as the Modern Slavery Act for Australia. The questionnaire you are requested to fill in is part of this audit, and allows our team to undertake a risk assessment.

Will my business be negatively impacted by answering 'no' or 'don't know' to any of the questions in the questionnaire?

No. The questionnaire is only part of our audit methodology. We urge you to respond as accurately and truthfully as possible to enable our team to make an informed assessment. If there are questions that you do not understand or information that you do not possess, simply send our team an email and we will provide clarification.

Is the questionnaire response confidential?

Yes. Your responses will remain confidential, and will only be reviewed by members of Quinbrook's investment management and committee teams, relevant Board or others as under relevant NDA.

If I become aware of change of circumstances after submitting the questionnaire, can I re-do the questionnaire?

If you become aware of any changes in circumstances please contact the relevant contact at Quinbrook