

Modern Slavery Statement

2022

Optiver Australia Holdings Pty Limited
30 June 2023





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1 Identify the reporting entity and describe the reporting entity's structure, operations and supply chains

Optiver is a global electronic market maker and proprietary trading firm with locations across Europe, Asia-Pacific and North America.

This modern slavery statement is made on behalf of Optiver Australia Holdings Pty Limited (ACN 077 364 286) and its wholly owned Australian subsidiaries / consolidated entities:

- Optiver Australia Pty Limited (ACN 077 364 366)
- Optiver Pty Limited (ACN 135 181 136)
- Optiver Trading Pty Limited (ACN 123 177 971)

(Collectively referred to as **Optiver Australia** or the **Optiver Australia Reporting Entities**), pursuant to the requirements of the Modern Slavery Act 2018 (Cth) ("**the Act**"). This is our third modern slavery statement under the Act and sets out the approach we have taken to understand and address modern slavery and human trafficking risks in our operations and supply chains for the financial year ending 31 December 2022 (the "**Reporting Period**").

Optiver Australia is not aware of any slavery or human trafficking in any part of its business or supply chains, and we remain dedicated to ensuring our business and supply chains are free of slavery and human trafficking.

The Optiver Australia Reporting Entities are Australian private companies with their registered office located at 33-39 Hunter Street, Sydney, NSW, Australia.

Optiver Australia Pty Limited holds an Australian Financial Services Licence issued by the Australian Securities and Investments Commission and is a member of various exchanges.

As a proprietary trading firm and electronic market maker, Optiver Australia Pty Limited's principal activity is derivatives market making and trading.

Optiver Australia Pty Limited trades multiple asset classes (including securities, options, futures, and exchange traded funds) directly and indirectly through brokers on exchanges globally.

To support Optiver Australia Pty Limited's market making and trading activities, Optiver Australia Reporting Entities purchase trading data from stock exchanges, develop and purchase IT software and hardware.



The supply chain of the Optiver Australia Reporting Entities therefore comprises exchanges and clearing institutions; third party data providers, IT software and hardware providers and other IT infrastructure providers; and other miscellaneous suppliers.

2 Describe the risks of modern slavery practices in the operations

Optiver Australia engages approximately 500 staff who are based in Sydney, Australia. As staff carry out highly skilled activities, the risk of these individuals being subject to modern slavery is very remote. All staff are employed or engaged on contractual terms that comply with applicable laws including those relating to pay, working conditions and health and safety.

3 Describe the risks of modern slavery practices in the supply chains

In the reporting period, Optiver's Australian operations sourced goods and services from more than 300 suppliers. While over 70% of these suppliers operate in Australia, we also work with offshore suppliers, mainly in the United States, United Kingdom, Hong Kong, the Republic of Korea, and Singapore which are considered lower risk jurisdictions. These entities predominantly provide technology, administrative and support services, property services and professional services.

We refreshed our assessment approach to ensure we are working with updated data points to appropriately assess and address Modern Slavery risks with Optiver Australia's suppliers. Following that assessment, Optiver Australia has concluded that our suppliers does not raise any significant risks of Modern Slavery, nor are we aware of any actual incidents of Modern Slavery related to our suppliers during the Reporting Period.

4 Describe the actions taken by the reporting entity and any entities it owns or controls to assess and address these risks, including due diligence and remediation processes



Optiver Australia continues to maintain and review its policies and processes that include, but are not limited to:

- Code of Conduct
- Anti-Bribery and Corruption Policy
- Whistle-blower Policy

In the Reporting Period, we refreshed our supplier risk assessments and finalised the drafting of a Modern Slavery clause which will be included into the contracting processes. We continue to recognise the importance to engage with suppliers in a collaborative manner to ensure we gain visibility of modern slavery risks and then work together to remediate any identified risks. To mitigate modern slavery risks with our suppliers, the focus is to use tools such as contract clauses and the incorporation of the Modern Slavery assessment in the procurement process to ensure our suppliers meet our standards. We continually review our practices and procedures to ensure they improve our understanding and management of Modern Slavery risks in our supply chain.

In September 2022, Optiver established an Asia Pacific ESG committee which, along with a broad set of environmental and social oversight responsibilities, will also be responsible to ensure compliance to Modern Slavery legislation and the delivery of commitments made within our Modern Slavery statement.

5 Describe how the reporting entity assesses the effectiveness of these actions

In 2022 we have reviewed our risk assessment process to ensure it is capturing all suppliers that have provided goods and service to Optiver in the reporting period and updated the assessment where required following changes in the global slavery index.

Optiver Australia's approach to its program of work is to build upon the existing foundations in order to enhance the effectiveness and aims to drive continuous improvement.

Some of the actions we will consider and seek to implement during 2023 include:

- *Enhancing awareness on Modern Slavery risks through increasing the oversight and management of our suppliers”.*
- Refreshed and expanded the supplier risk assessments to include new suppliers.
- Publish an Asia Pacific Procurement Policy to address supplier management requirements.

6 Describe the process of consultation with any entities the reporting entity owns or controls



This modern slavery statement was developed by the Optiver Australia Reporting Entities, in consultation with each of the wholly owned subsidiaries and affiliated entities of the Optiver Australia Group of entities, which includes:

- GT Technologies (Australia) Pty Ltd (ACN 612 743 727) which is an affiliated entity of the Optiver Australia Reporting Entities; and
- Optiver Private Fund Management (Shanghai) Co., Ltd (incorporated in China) which is a wholly owned subsidiary of Optiver Australia Pty Limited.

It should be noted that all Optiver Australia Reporting Entities and GT Technologies (Australia) Pty Ltd are subject to Optiver Australia policies, procedures and systems, and are party to group-wide information and resource-sharing arrangements. Accordingly, the information (including supplier information) detailed in this statement is applicable to all Optiver Australia Reporting Entities and GT Technologies (Australia) Pty Ltd.

7 Statement

This statement was approved by the Board of Directors of Optiver Australia Holdings Pty Limited.

A handwritten signature in black ink, consisting of a stylized 'W' and 'S' with a horizontal line through them, positioned above a horizontal line.

Wouter Stinis

Director

13 June 2023