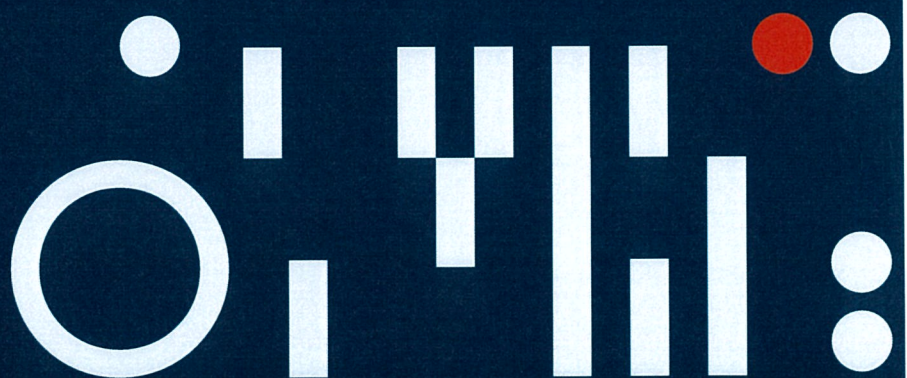


# Modern Slavery Statement

2023

Optiver Australia Holdings Pty Limited  
30 June 2024







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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 fourth 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 2023 (the "**Reporting Period**").

Optiver Australia has updated our approach to assessing our modern slavery risk within our supplier base. We are not aware of any slavery or human trafficking in any part of its supply chain, and we remain dedicated to ensuring we enhance our capabilities in assessing this risk.

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 directly support Optiver Australia Pty Limited's market making and trading activities, Optiver Australia Reporting Entities purchase services from clearing institutions, trading data from stock exchanges, IT related services (software & hardware).

Indirectly Optiver Australia Pty Limited are also supported by a supply chain that deliver services for business operations, HR and Enterprise IT.



## 2 Describe the risks of modern slavery practices in the operations

Optiver Australia employees approximately 450 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 approximately 550 suppliers. While over 50% of these suppliers operate in Australia, we also work with offshore suppliers, mainly in the Singapore, Hong Kong, United States and Japan which are considered lower risk jurisdictions. These entities predominantly provide technology, administrative & support, professional and financial services which are also considered low risk categories.

We refreshed our assessment approach to ensure we are working with updated data points to enhance our assessment of Modern Slavery risks with Optiver Australia's suppliers. Following that assessment, Optiver Australia has concluded that our suppliers do 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 engaged with an external bureau that specialises in ESG assessments which leverages technology and data to assess suppliers for modern slavery risk. As a result we have gained further detailed insights into the jurisdictions our suppliers operate in including any parent entities and their industry to determine their associated modern slavery risk.

We have also continued to engage with suppliers in a collaborative manner to ensure we gain visibility of modern slavery risks and then work together to remediate if there are 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 we improve our understanding and management of Modern Slavery risks in our supply chain.

In September 2022, an Asia Pacific ESG Forum was established to support the fulfilment of Optiver's objectives and responsibilities in relation to environmental and social matters, including modern slavery legislation and the delivery of commitments made within our Modern Slavery Statement. This committee is now considering expanding its scope to also include Charity organisations we contribute to directly as well as indirectly through staff managed engagements.

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

In 2023 we partnered with an external bureau to ensure we are using up to date methods in conducting supplier modern slavery risk assessments which include the most to up to date data and methodology in assessing the level of risk.

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 2024 include:

- Publish a Global Procurement Policy to address supplier risk assessments and direct oversight of our suppliers.
- Increase the frequency of supplier risk assessments include recently onboarded new suppliers.
- Develop clear protocols for addressing any instances of modern slavery that are identified in our supply chain,



## 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 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 blue ink, appearing to read 'P. Cotter', positioned above a horizontal line.

Paul Cotter

Director

24<sup>th</sup> June 2024