



OPTIVER AUSTRALIA
HOLDINGS PTY LIMITED

MODERN SLAVERY
STATEMENT

2021



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 second 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 2021 (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.

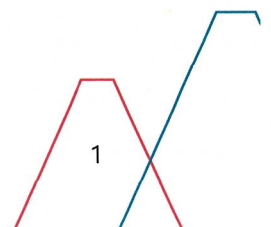
Optiver Australia Pty Limited holds an Australian Financial Services Licence issued by the Australian Securities and Investments Commission and is a member of various exchanges.

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 license 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 as set out below.



2. DESCRIBE THE RISKS OF MODERN SLAVERY PRACTICES IN THE OPERATIONS

Optiver Australia engages approximately 400 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

Our business model does not include the supply of goods or services to external parties. In 2021, our 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 or other professional services.

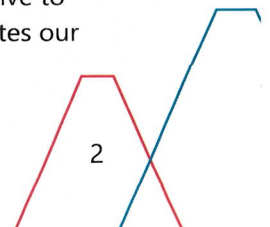
In 2020, we took a targeted risk-based approach to assess and address Modern Slavery risks in Optiver Australia's supply chain. Following that assessment, Optiver Australia had concluded that our supply chain does not raise any significant risks of Modern Slavery, nor are we aware of any actual incidents of Modern Slavery related to our procurement activities 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

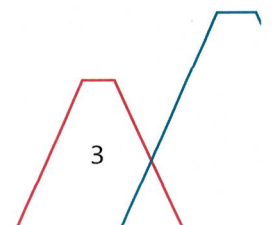
Optiver Australia continues to maintain and review its policies and processes that include, but are not limited to:

- Code of Conduct
- Anti Bribery and Corruption Policy
- Whistleblower Policy

In the Reporting Period, we began incorporating Modern Slavery questions into our procurement and contractual processes. We continue to engage with suppliers in a collaborative manner and strive to build long-term relationships by being open and transparent with them. This approach promotes our



expected standard of work, and ongoing communication with suppliers allows us to continually address Modern Slavery and improve practices across our supply chain. To mitigate modern slavery risks in our indirect suppliers, our 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 are in line with best practice and continue to improve our understanding and management of Modern Slavery risks in our supply chain.



5. DESCRIBE HOW THE REPORTING ENTITY ASSESSES THE EFFECTIVENESS OF THESE ACTIONS

Optiver Australia's program of work is iterative, and we will continue to build on the current foundations, and improve the efficiency and effectiveness of existing policies, programs, practices, awareness and reporting. Some of the actions we will consider and seek to implement during FY22 include:

- enhancing awareness on Modern Slavery risks; and
- expanding supplier risk assessments to more suppliers.

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 Investment 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.



Wouter Stinis

Director

17 June 2022

