

# MODERN SLAVERY STATEMENT 2023

Prevention of modern slavery and human trafficking within Shield Mercantile and our supply chains.

JULY 2023  
Version: 0.03

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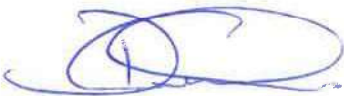
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## Modern Slavery Statement

This Modern Slavery Statement ('Statement') has been prepared by Shield Mercantile Pty Ltd (ABN 48 082 737 442) to comply with the Modern Slavery Act 2018 (Cth), as a reporting entity under the Act in our own right or have elected to participate voluntarily.

This Statement has been approved and endorsed by our governing body our Board of Directors on the 1<sup>st</sup> of July 2023, and relates to the 1<sup>st</sup> of July 2022 to the 30<sup>th</sup> of June 2023 financial year. This Statement will be reviewed by our Board of Directors annually.

This Statement has been signed by Dale Campbell on behalf of our Board of Directors in his role as the Managing Director of Shield Mercantile Pty Ltd on the 1<sup>st</sup> of July 2023.



**Dale Campbell**  
Managing Director of Shield Mercantile Pty Ltd

1st July 2023

## About us

Shield Mercantile Pty Ltd does not own or control any other entities. Our head office is located in Parramatta with one (1) secondary operational recoveries office in Melbourne Australia.

Shield Mercantile offer professional and ethical debt recovery and purchasing services consisting of,

- Third Party Debt Recovery
- Debt Procurement, Purchasing & Recovery

We have a simple supply chain which involves the procurement of goods and services for our day-to-day operations, including office supplies, the leasing of office buildings in Sydney and Melbourne, IT & Communications Services, travel, employment, legal services, field and recovery agents and staff training.

## Our Supply Chain

Shield Mercantile's supply chain is made up of but not limited to insurance, information technology, communications, marketing, legal and professional services, security, office supplies, software providers, travel, and postal services.

We consider modern slavery risks in our operations and supply chain to be low. We recognise that the extended supply chains used by our clients may pose a greater risk of modern slavery than that of our own operations.

Assessing the risks involved with this, means that we will endeavour to continue to source our suppliers either domestically or source those who have been assessed as low risk on the Global Slavery Index.

Our on-boarding risks are mitigated via our due diligence processes throughout the different aspects of our operations on an ongoing basis, and contractual obligations. Our suppliers, employees, clients, customers, visitors, and board of directors must all adhere to our mandatory Code of Conduct.

As part of our due diligence to assess our current and prospective suppliers we will provide annual supplier audit questionnaires. These audits will be assessed, and risk outcomes will be provided to our purchasing team prior to any commitment or engagement to those suppliers.



## Zero Tolerance

We acknowledge that human rights are universal and fundamental freedoms that uphold the equality, dignity, and inherent liberties of every person. We recognise the significance of our role in upholding and advancing the fundamental human rights of our employees, suppliers, clients, customers, and the communities where our operations have an impact.

Shield Mercantile has zero tolerance for modern slavery whether in our daily operations or our supply chain. We are committed to taking all reasonable steps to mitigate the risk associated with modern slavery within the workplace and our supply chain.

We aim to achieve this by consistently applying our company values that reflect our ethical standards. Our ethical values of commitment, integrity, teamwork, respect, and diversity help us to develop relationships that make a positive difference no matter the circumstance.

We embrace our responsibilities, strive to uphold the highest level of integrity by being honest, transparent, and fair in all areas to ensure a trusted company and team. We work together across many boundaries, to show respect for all, admiring deeply, the abilities, qualities, rights, and achievements of all.

It takes people with different ideas, strengths, interests, and cultural backgrounds to make our company succeed and we encourage healthy debate and differences of opinion. This statement provides a further in-depth summary on how this is taking place.

## Education & Knowledge

Educating our employees is a key step to ensure that the potential risks of modern slavery in our operations and supply chain are limited, understood, recognised, and escalated for intervention. We are currently focused on improving and advancing our current policies and process to ensure that the most up to date information is available to our employees.

We will continue to improve and implement the following aspects:

- Strengthen and implement our supplier audits and questionnaires.
- Continue to provide ongoing training to employees on the potential risks of modern slavery and how to escalate them for review.
- Continue to conduct risk assessments of our operations and suppliers to better understand the possible modern slavery risks involved.
- Continue to implement and provide our Code of Conduct to all suppliers and employees, setting clear expectations in relation to compliance, ethical conduct, and fair, honest, and transparent behaviours.
- Continue to review, improve, update, and train out our Prevention of Modern Slavery Policy.
- We will provide as much information as possible to our employees and interested parties were requested in relation to modern slavery and when needed refer them to professional services for further understanding on moder slavery.

## Policies and Procedures

We mitigate the risks of modern slavery in our supply chain and workplace by providing education and awareness to our employees that is supported by, but not limited to the following policies and procedures:

- Prevention of Modern Slavery Policy.
- Code of Conduct.
- Whistle-blower Policy.
- Diversity and Inclusion Policy.
- Anti-bribery and Corruption Policy.
- Purchasing & Procurement Policy.
- Compensation Adequacy Policy.
- Remote Working Policy.
- Outsourcing Policy.
- Risk Management Policy.
- Staff Induction Policy.
- Human Resource Manual.
- Supplier Audit Questionnaire.
- Third-Party Information Security Management Policy.

Our policies and procedures are reviewed, updated, and implemented annually as part of our internal review process. Our management team, compliance team and quality assurance team also provided ongoing training to our employees throughout the year to ensure a greater understanding of the risks, red flags, and reporting of modern slavery.

All employees must adhere to our company policies and any suspected breach of these policies will undergo disciplinary action handled by our management team.

## Modern Slavery Risk Management

Our compliance and quality assurance team continue to measure the progress of modern slavery initiatives and the effectiveness of our risk management.

This includes, but is not limited to:

- Measure the number of suppliers who have agreed to take part in the initiatives of the Modern Slavery Act either due to mandatory obligations or voluntarily.
- Measure the number of suppliers who have registered their Modern Slavery Statement on the Australian Modern Slavery Register.
- Measure the number of suppliers who completed and provided our Supplier Audit Questionnaire.
- Analysis audit responses, outcomes and remediation commitments of our supply chain.
- Record breaches of our Code of Conduct in our internal registers, where suppliers may have been considered low risk.
- Measure the completion rates of training conducted in relation to Modern Slavery.
- Measure the number of reports made in relation to Modern Slavery within Shield Mercantile.

## Document Availability

This document is available to employees and members of the board internally on our company intranet.

We will also make this document available by:

- Sending a copy of this document to you on request
- Publishing this document in a visible and easily accessible area on our website.
- Publishing this document on the Australian Modern Slavery Register.