

## Akuna Capital Australia Pty Ltd and Akuna Digital Australia Pty Ltd

### Modern Slavery Statement

#### Financial year ended 31 December 2022

#### 1. Introduction

This joint Modern Slavery Statement (the **Statement**) has been prepared to comply with the Modern Slavery Act 2018 (the **Act**) in respect of the year ending 31 December 2022 (the **reporting period**). This statement covers the following Akuna entities:

- Akuna Capital Australia Pty Ltd (ACN 622 473 750); and
  - Akuna Digital Australia Pty Ltd (ACN 622 349 393).
- (Together, referred to as **Akuna Australia**).

The Akuna Australia entities are wholly owned subsidiaries of Akuna Holdings, LLC, a private limited company, registered in Delaware, USA.

The Akuna family of companies strongly condemns the use of slavery and human trafficking in any circumstances.

#### 2. Akuna's Structure, Operations and Supply Chains

The Akuna Australia entities are based in Sydney, Australia and are part of a global group of companies with a primary office in Chicago. The Akuna Australia entities are proprietary trading firms with no external customers or clients.

Akuna Capital Australia Pty Ltd holds an Australian Financial Services Licence issued by the Australian Securities and Investments Commission.

As at the end of 31 December 2022, Akuna Australia employed approximately 175 staff, based in Sydney.

All Sydney employees have employment contracts that are subject to Australian Fair

Work standard terms. In addition, all employees are introduced to Akuna Australia's human resource policies which include information and resources to ensure all employees are aware of Akuna's commitment to fair working conditions and safe working environments.

Akuna Australia's supply chain primarily consists of:

- **Banking and financial services firms** (e.g., banks, brokers, insurers and exchanges);
- **Technology providers** (e.g., Data Storage, Hardware and Software);
- **Building and Office services** (e.g., building maintenance, cleaning, office supplies);
- **Others**, including recruitment services, courier services, catering, and corporate travel.

Akuna Australia's key suppliers are predominately located in lower risk jurisdictions, such as, Australia, Hong Kong, the Republic of Korea, the United States, the United Kingdom, and Singapore.

#### 3. Risks in Akuna's Operations and Supply Chains

For the reporting period, Akuna Australia carried out a risk assessment of the potential modern slavery risks within the firm's operations and supply chains.

In conducting this assessment, Akuna Australia took into consideration the following factors:

- Industry type/ sector; and
- Country of supplier.

Based on the results of this risk assessment, Akuna Australia considers the presence of modern slavery practices within its operations and supply chains to be low.

Akuna Australia, however, acknowledges that there may be risks of modern slavery within its supply chain, primarily arising from i) the technology sector; ii) the hospitality and entertainment sector; and iii) the building and office services sector.

#### 4. Actions taken to assess and address modern slavery risks

In the reporting period, Akuna Australia took the following steps to identify, assess, address, and mitigate the risks of modern slavery practices in its operations and supply chains:

- Introduced the firm's first Modern Slavery Policy;
- Obtained attestations from staff confirming compliance with the firm's Modern Slavery Policy.
- Undertook a modern slavery risk assessment of the firm's suppliers. Akuna Australia's full year 2022 risk assessment did not identify any high-risk suppliers.

#### 5. Assessing the effectiveness of actions

Akuna Australia is committed to continually improving its approach to identifying and preventing modern slavery within its operations and supply chains. Akuna Australia will consider implementing the following measures in 2023 in order to assess the effectiveness of its actions to address modern slavery risks:

- Review firm policies to ensure that modern slavery risks are considered, and where necessary, implement controls to mitigate these risks;

- Deliver training to all staff to develop their awareness and understanding of modern slavery risks; and
- Develop performance metrics to assess the effectiveness of the controls the firm has put in place to mitigate modern slavery risks.

#### 6. Approval of Statement

This Modern Slavery Statement was approved by the Board of Akuna Holdings LLC as the ultimate parent entity of the following entities on 10 May 2023:

- Akuna Capital Australia Pty Ltd; and
- Akuna Digital Australia Pty Ltd

This Modern Slavery Statement will be reviewed on an annual basis.

John Harris

Director

Akuna Capital Australia Pty Ltd and Akuna Digital Australia Pty Ltd

