

HP Inc. Legal and Regulatory Compliance Program Tool Guide



Tool Guide

HP Inc. values our business relationship and believes in our mutual commitment to conduct business with the highest standards of integrity.

HP Inc. Legal and Regulatory Compliance Program Tool Guide provides guidelines on completing HP Inc.'s Compliance Program.

HP Inc. believes in offering optimized and effective solutions for a successful and long term partnership.

Please note that a necessary part of HP Inc.'s Compliance Program is a periodic refresh of each Partner's Compliance profile.

To access the HP Inc. compliance program, HP Inc. Compliance Team will issue an invitation via email.

In this matter:

- Expect an invitation email to be sent to your company's primary HP Inc. Compliance Program point of contact containing a system link, user ID and password.
- Please review and follow steps listed on the login page.
- Display language may be changed on the login page in the section with International flags.

System requirements:

- Internet Explorer v6.0 is not supported. Use another browser such as Firefox or a later IE version;
- Enable JavaScript;
- Install the latest Adobe Flash Player;
- If the invitation was not received, check recipient's junk mail folder. If not found, corporate email filters may be blocking delivery.
- If unable to resolve, you can contact HP to the email address:
hpinc-legalandregulatorycompliance-global@hp.com



Welcome HP Inc. Partner,

HP Inc. has established this partner compliance program to support its ongoing commitment to meet all legal and compliance obligations. This program is designed to ensure that HP Inc. and its partners are in compliance with the laws and regulations of the United States and other countries in which HP Inc. conducts business. Within this partner compliance website, HP Inc. will ask you to provide certain information to ensure compliance. The information requested is limited and necessary to complete HP Inc.'s legal due diligence responsibilities. HP Inc. will only use the personal information and other information you provide in this questionnaire to validate your Company's compliance with all applicable laws, regulations and HP Inc. policies, and to conduct investigations into possible breaches.

HP Inc. will use the information you provide in the questionnaire to determine whether to maintain a contractual relationship with you or your Company. If HP Inc. determines that you have provided any false, incomplete, or misleading responses to these questions, HP Inc. may modify the terms of the contract, terminate the contract, suspend all transactions with you or your Company, or take any other action allowed by law.

IMPORTANT PRIVACY STATEMENT - The [HP Inc. Global Master Privacy Policy](#) articulates the privacy and data protection principles followed by HP Inc. around the world with regards to the personal information of its customers, including product, outsourcing and other services clients, partners, employees, former employees, applicants and current or former members of the Board of Directors ("covered individuals"). These principles support the highest privacy standards in international trade and commerce and human resource management.

Steps to satisfy HP Inc. questionnaire requirements:

NOTICE: Only an officer of your company should complete the following steps. An officer is defined as an individual with signatory authority and the ability to represent your company in all legal, regulatory and compliance matters. Please identify this signatory authority and have them complete the following steps.

Step 1) Login below with the user ID & password credentials provided in the invitation email from HP Inc.

Step 2) Take the required Legal Compliance Training when prompted in the process.

Step 3) For a better understanding of questionnaire requirements, you may access the [HP Inc. Legal and Regulatory Compliance Program Tool Guide](#) using the link near the top of each webpage for a brief description of the steps required to complete and submit the questionnaire.

Step 4) Complete and submit the online questionnaire and Anti-Corruption Declaration requirements. A "Thank You" message will appear after a successful questionnaire submission.

Display Language



English ▼

Editing a saved Questionnaire?

Email Address:

Password:

Enter the e-mail address and password provided from HP Inc.'s Compliance Program invitation



Due Diligence Questionnaire

* All Fields Are Required
[HP Inc. Legal and Regulatory Compliance Program Tool Guide](#)

IMPORTANT: Please note that you are completing this questionnaire at the request of HP Inc., which is a separate legal entity from Hewlett Packard Enterprise.

NOTICE: Only an officer of your company should complete the following steps. An officer is defined as an individual with signatory authority and the ability to represent your company in all legal, regulatory and compliance matters. Please identify this signatory authority and have them complete the following steps.

* **1. I have signatory authority to respond to this questionnaire** Yes

If you don't have authority to respond to this questionnaire please contact us at hpinc-legalandregulatorycompliance-global@hp.com.

2. Confirm Profile

| | |
|---|-----------------|
| Official Company Name: | Partner A |
| Alternate Trade or Business Name (doing business as): | |
| Legal Address | |
| Address 1: | 123 Street |
| Address 2: | |
| City: | City |
| Country: | Australia |
| State/Province: | New South Wales |
| Postcode: | 111 |
| Company Telephone: | 1111 1111 1111 |

Confirm that you have signatory authority to bind your company in legal, regulatory and compliance matters.

If you are not the right person, please inform us at

hpinc-legalandregulatorycompliance-global@hp.com

Please ensure company profile details are accurate. To update profile information, please send an e-mail to: hpinc-legalandregulatorycompliance-global@hp.com



Main Point of Contact

Name: Partner A contact

Position:

Telephone: 1111 1111 1111

Email Address: mrojas@hp.com

3. Training

* Take the required Legal Compliance Training presentation which provides an overview of important legal and regulatory requirements including the United States Foreign Corrupt Practices Act (FCPA) and Global Trade Export Compliance requirements. Please [Click here to access training](#).

Training Completed

→ Continue

→ Save and Close

You can start the Partner Compliance training by selecting **["Click here to access training"](#)**

*The system will not let you continue until the training is completed

Note that completing this training will not result in completion of the Due Diligence. Please advance to the next section to continue providing data on the questionnaire.

Personnel section requires you to provide details of your Company's key personnel.

The Due Diligence Questionnaire requires your company to provide personnel information to help HP Inc.'s Legal and Regulatory Compliance Team understand your organization.

Select “Click here to Add Key Personnel” to start.

Confirm Profile Personnel Questionnaire Submit

Due Diligence Questionnaire

* All Fields Are Required
[HP Inc. Legal and Regulatory Compliance Program Tool Guide](#)

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PLEASE NOTE THIS QUESTIONNAIRE DOES NOT APPLY TO Hewlett Packard Enterprise.

[Click here to Add Key Personnel](#)

OWNERSHIP: Ownership percentages must total 100%. If publicly traded list each shareholder holding 5% or more individually

| Name | Email | Position | Address | Phone | Ownership |
|------|-------|----------|---------|-------|-----------|
|------|-------|----------|---------|-------|-----------|

BOARD OF DIRECTORS: Please list all Members of the Board of Directors and all Officers of your Company

| Name | Email | Position | Address | Phone |
|------|-------|----------|---------|-------|
|------|-------|----------|---------|-------|

KEY MANAGEMENT: List other Key Employees who will manage your Company's relationship with HP Inc., have decision making authority relevant to HP Inc. products or services or be involved with projects involving HP Inc. products or services.

| Name | Email | Position | Address | Phone |
|------|-------|----------|---------|-------|
|------|-------|----------|---------|-------|

KEY CONSULTANT(S): If you are providing consulting services, please identify the key individual(s). Include their CV with this questionnaire by either attaching to the "Additional Information" tab or include with written package.

| Name | Email | Position | Address | Phone |
|------|-------|----------|---------|-------|
|------|-------|----------|---------|-------|

→ Continue
→ Save and Close
← Go Back | Edit

Personnel

* All Fields Are Required

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| | | | | | |
|----------|--|--|--------------------------------------|--|---|
| 1 | *Name <input type="text"/> | Email <input type="text"/> | Phone <input type="text"/> | *Role: <input type="checkbox"/> Owner <input type="text" value="0.000"/> % | Check all that apply <input type="checkbox"/> Key Manager |
| | *Position <input type="text"/> | Address <input type="text"/> | | <input type="checkbox"/> Board Member | <input type="checkbox"/> Key Consultant |
| 2 | *Name <input type="text"/> | Email <input type="text"/> | Phone <input type="text"/> | *Role: <input type="checkbox"/> Owner <input type="text" value="0.000"/> % | Check all that apply <input type="checkbox"/> Key Manager |
| | *Position <input type="text"/> | Address <input type="text"/> | | <input type="checkbox"/> Board Member | <input type="checkbox"/> Key Consultant |
| 3 | *Name <input type="text"/> | Email <input type="text"/> | Phone <input type="text"/> | *Role: <input type="checkbox"/> Owner <input type="text" value="0.000"/> % | Check all that apply <input type="checkbox"/> Key Manager |

- At least one personnel detail data field is required (e.g. for each person listed, enter full name, business email address, job position or title, and check at least one job role);
- If you selected “Owner”, please specify the ownership percentage and include all individuals with greater than 5% ownership;
- Once data has been entered for up to 4 key personnel, review data accuracy, then scroll to the bottom of the page and click “Save”.

Confirm Profile **Personnel** Questionnaire Submit

Due Diligence Questionnaire

* All Fields Are Required
[Due Diligence Questionnaire Glossary](#)

[Click here to Add Key Personnel](#)

OWNERSHIP: Ownership percentages must total 100%. If publicly traded list each shareholder holding 5% or more individually

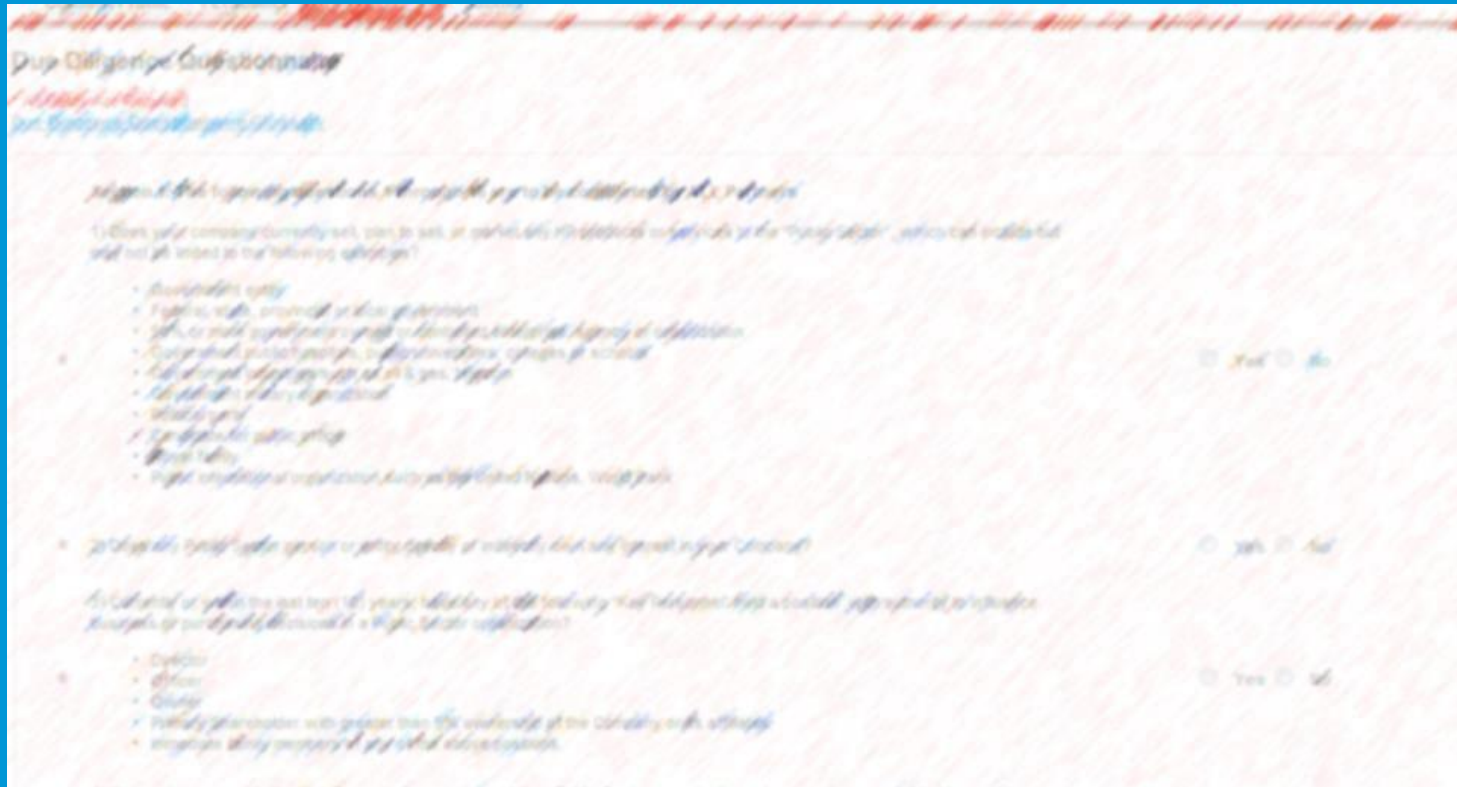
| Name | Position | Address | Phone | Ownership |
|------|----------|---------|-------|-----------|
| | | | | |

BOARD OF DIRECTORS: Please list all Members of the Board of Directors and all Officers of your Company

| Name | Position | Address | Phone |
|--------------------|---------------|------------------------|------------------------------|
| Partner A CEO Name | Partner A CEO | 1234 Partner A address | 1234 Partner A CEO Phone no. |
| Partner A CFO Name | Partner A CFO | 1234 Partner A address | 1234 Partner A CFO Phone no. |

Once you click “Save”, your browser will return to the main Personnel screen.

- All personnel data that you saved on the previous screen should now be shown on the main Personnel screen. If a data entry error is identified, select the name of the person that you would like to edit, then correct information as needed in the pop-up window
- If your company has additional key personnel, please repeat the steps in the previous two slides
- Once your key personnel list is complete, click “continue”.



- Complete the questionnaire. Most questions only require selection of a "Yes" or "No" response
- Please use the text boxes provided for questions that request additional information. You may also use text boxes to elaborate on your response
- Once you have completed the questionnaire, please click “Continue”

*The image is blurred to protect the confidentiality of HP’s Due Diligence Questionnaire

Due Diligence Questionnaire

* All Fields Are Required
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ANTI-CORRUPTION COMPLIANCE DECLARATION

Partner A ("Company") is providing this letter to HP Inc. as assurance of its commitment to comply with all global anti-corruption laws and intends for HP Inc. to rely on the representations made herein. Company represents and certifies that Company, its owners, directors, officers and employees:

(A) are familiar with and agree to comply with the U.S. Foreign Corrupt Practices Act (FCPA), the UK Bribery Act (UKBA), and the national and local anti-corruption laws of their country, including laws enacted to comply with the UN Convention Against Corruption and the OECD Convention (collectively "Anticorruption Laws");

(B) have not and will not, directly or indirectly, pay, offer, promise or authorize the giving of any money or anything of value to any Government Official or employee, any political party, holder of public office, candidate for public office, any employee or official of a commercial or nonprofit entity in which a government body has any ownership interest or the ability to control ("Instrumentality"), or any official, or employee of a public international organization (collectively "Officials" and each singly an "Official") either:

i. for the purpose of influencing any act or decision of such Official in his, her or its official capacity or inducing such Official to do or omit to do any act in violation of the lawful duty of such Official; or

ii. for the purpose of inducing such Official to use his, her or its influence with a foreign government or any organization or Instrumentality thereof; to affect or influence any act or decision of a government organization or Instrumentality; in order to assist Company in obtaining, retaining business or directing business or securing any improper business advantage.

(C) have kept and will keep complete and accurate records of all transactions and expenses related to its business in HP Inc. products and services. Such records state in reasonable detail the purpose of each expense and the receipt and distribution of assets;

(D) conducts appropriate due diligence on parties to which it pays commissions, referral, marketing or other fees related to its HP Inc. business, and that it has no reason to believe that any of its agents, resellers, representatives, consultants or any other persons retained or paid by the Company in connection with any HP Inc. business have violated the Anticorruption Laws;

(E) have implemented or plan to implement a program to provide appropriate training on Anticorruption Compliance to its owners, directors, officers, employees and to inform its agents, resellers, representatives, consultants and any other persons engaged in its business related to HP Inc.; and

(F) all information submitted to HP Inc. by Company on 2018-04-30 date remains accurate and complete as of the execution date of this Anti-Corruption Compliance Declaration. Company hereby agrees to notify HP Inc. promptly if any event occurs that would make any of the information previously submitted no longer accurate.

By submitting this information, I attest:

1. To the veracity of the information previously provided to HP Inc. on 2018-04-30.
2. To my authority to confirm the accuracy of the information previously provided to HP Inc. on 2018-04-30 on behalf of the Company, including any personal data provided on behalf of the Company.
3. That a copy of the privacy notice [HP Inc. Global Master Privacy Policy](#) has been provided to each individual whose data you have provided to HP Inc.; and where you have provided sensitive personal data relating to an individual, you have obtained written consent to such disclosure and the processing of that data by HP Inc. as described above and will provide HP Inc. with a copy of such consent on request, and where requested, you will assist HP Inc. in obtaining consent of an individual to the collection and processing of sensitive personal data for the purpose of enhanced due diligence activities.

SUBMITTED BY

* Name:

* Title:

Please review the "Anti-Corruption Compliance Declaration" on the Submit tab, then:

- Complete all required data fields in the "SUBMITTED BY" section below the declaration
- Once you have completed this, please click "Submit"

IMPORTANT:

After clicking the "submit" button, please wait a moment for a "Thank you" page to appear before closing your internet browser to confirm successful transmission of your responses to HP Inc.

For further information, please contact:
hpinc-legalandregulatorycompliance-global@hp.com

Thank you!





keep reinventing