



Bribery Policy
Tony Clarke
Last Reviewed: 30/09/2022
V5

Legate Group Limited

Anti-Bribery Policy

Revision History

<i>Version</i>	<i>Revision Date</i>	<i>Revised By</i>	<i>Section Revised</i>
V1	01/10/2014	T. Clarke	All
V2	31/10/2017	T. Clarke	Minor
V3	07/10/2019	T. Clarke	Minor
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Document Control

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1. TITLE

Bribery Policy

2. POLICY STATEMENT

- 2.1 Bribery is defined as the giving or promising of a financial or other advantage to another party where that advantage is intended to induce the other party to perform a particular function improperly, to reward them for the same, or where the acceptance of that advantage is in itself improper conduct.
- 2.2 Bribery is also deemed to take place if any party requests or agrees to receive a financial or other advantage from another party where that advantage is intended to induce that party to perform a particular function improperly, where the acceptance of that advantage is in itself improper conduct, or where that party acts improperly in anticipation of such advantage.
- 2.3 Bribery of a foreign official is defined as the giving or promising of a financial or other advantage, which is intended to influence the official in order to obtain business or an advantage in the conduct of business unless the foreign official is required or permitted by law to be influenced by such advantage.

3. PURPOSE

Legate Group Limited ("the Company") is committed to the practice of responsible corporate behaviour and to complying with all laws, regulations and other requirements that govern the conduct of our operations.

The Company seeks to instil a strong anti-corruption culture and is fully committed to compliance with all anti-bribery and anti-corruption legislation including, but not limited to, the Bribery Act 2010 ("the Act") and ensures that no bribes or other corrupt payments, inducements or similar are made, offered, sought or obtained by us or anyone working on our behalf.

4. SCOPE

This policy applies to all persons working for the Company or any subsidiary company or overseas office or on our behalf in any capacity, including employees, casual workers, agency staff, contractors and third parties.

5. OBJECTIVE

The objective of this policy is to establish guidelines for staff and third party suppliers to follow and to minimise the risk of corruption and/or bribery, which will demonstrate that we comply with UK legislation and at the same time outlining the types of bribery and the consequences for engaging in such activities.



6. CONSEQUENCES OF BRIBERY

- 6.1 Anyone or any organisation found guilty of bribery under the Act may face fines and/or prison terms. In addition, high legal costs and adverse publicity are likely to result from any breach of the Act.
- 6.2 For employees, consultants or agents of the Company, failure to comply with this Policy and/or with the Act may result in:
 - 6.2.1 disciplinary action which may include dismissal or termination of consultancy or service agreement; and
 - 6.2.2 criminal penalties under the Act which may result in a fine and/or imprisonment for up to 10 years.
- 6.3 For the Company, any breach of this Policy by any employee or business associate may result in the Company:
 - 6.3.1 being deemed to be in breach of the Act;
 - 6.3.2 being subject to fines; and
 - 6.3.3 suffering negative publicity and further associated damage as a result of such breach.

7. POLICY DETAILS

- 7.1 This Policy applies to all employees, consultants, agents, contractors, subcontractors, business partners and any other parties (including individuals, partnerships and bodies corporate) associated with the Company or any of its subsidiaries.
- 7.2 It is the responsibility of all of the abovementioned parties to ensure that bribery is prevented, detected and reported and all such reports should be made in accordance with the Company's Whistleblowing Policy or as otherwise stated in this Policy, as appropriate.
- 7.3 No party described in section 7.1 may:
 - 7.3.1 give or promise any financial or other advantage to another party (or use a third party to do the same) on the Company's behalf where that advantage is intended to induce the other party to perform a particular function improperly, to reward them for the same, or where the acceptance of that advantage will in itself constitute improper conduct;
 - 7.3.2 request or agree to receive any financial or other advantage from another party where that advantage is intended to induce the improper performance of a particular function, where the acceptance of that advantage will in itself constitute improper conduct, or where the recipient



intends to act improperly in anticipation of such an advantage.

- 7.4 Parties described in section 7.1 must:
- 7.4.1 be aware and alert at all times of all bribery risks as described in this Policy and in particular as set out in section 11 below;
 - 7.4.2 exercise due diligence at all times when dealing with third parties on behalf of the Company; and
 - 7.4.3 report any and all concerns relating to bribery to Director or, in the case of non-employees, their normal point of contact within the Company, or otherwise in accordance with the Company's Whistleblowing Policy.

8. FACILITATION OF BRIBERY

- 8.1 A facilitation payment is defined as a small payment made to officials in order to ensure or speed up the performance of routine or necessary functions.
- 8.2 Facilitation payments constitute bribes and, subject to section 8.3, may not be made at any time irrespective of prevailing business customs in certain territories.
- 8.3 Facilitation or similar payments may be made in limited circumstances where your life is in danger but under no other circumstances. Any payment so made must be reported to the Company's director as soon as is reasonably possible and practicable.

9. GIFTS AND HOSPITALITY

- 9.1 Gifts and hospitality remain a legitimate part of conducting business and should be provided only in compliance with the Company's Gifts and Hospitality Policy.
- 9.2 Gifts and hospitality can, when excessive, constitute a bribe and/or a conflict of interest. Care and due diligence should be exercised at all times when giving or receiving any form of gift or hospitality on behalf of the Company.
- 9.3 The following general principles apply:
 - 9.3.1 Gifts and hospitality may neither be given nor received as rewards, inducements or encouragement for preferential treatment or inappropriate or dishonest conduct.
 - 9.3.2 Neither gifts nor hospitality should be actively sought or encouraged from any party, nor should the impression be given that the award of any business, custom, contract or similar will be in any way conditional on gifts or hospitality.
 - 9.3.3 Cash should be neither given nor received as a gift under any circumstances.



- 9.3.4 Gifts and hospitality to or from relevant parties should be generally avoided at the time of contracts being tendered or awarded.
- 9.3.5 The value of all gifts and hospitality, whether given or received, should be proportionate to the matter to which they relate and should not be unusually high or generous when compared to prevailing practices in our industry or sector.
- 9.3.6 Certain gifts which would otherwise be in breach of this Policy and/or the Hospitality and Gifts Policy may be accepted if refusal would cause significant and/or cultural offence, however the Company will donate any gifts accepted for such reasons to a charity of the Company's choosing.
- 9.3.7 All gifts and hospitality, whether given or received, must be recorded in the Hospitality, Gifts and Donations Register.

10. POLITICAL DONATIONS

- 10.1 The Company does not make political donations and is not affiliated with any political party, independent candidate or with any other organisation whose activities are primarily political.
- 10.2 Employees and other associated parties are free to make personal donations provided such payments are not purported to be made on behalf of the Company and are not made to obtain any form of advantage in any business transaction.

11. DUE DILIGENCE AND RISKS

The following issues should be considered with care in any and all transactions, dealings with officials, and other business matters concerning third parties:

- 11.1 Territorial risks, particularly the prevalence of bribery and corruption in a particular country;
- 11.2 Cross-border payments, particularly those involving territories falling under section 11.1;
- 11.3 Requests for cash payment, payment through intermediaries or other unusual methods of payment e.g. electronic goods;
- 11.4 Activities requiring the Company and / or any associated party to obtain permits or other forms of official authorisation.

12. REPORTING

Any breach of this policy should be immediately reported to the Company's director or in the event of a complaint against the director, a report should be made to local law enforcement and/or the Financial Conduct Authority.



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13. STAFF TRAINING

Irrespective of the perceived low risk of the business, all staff will undergo annual refresher anti-bribery training to raise awareness and maintain focus of each persons' responsibility to prevent bribery and corruption.