

## SUPPLIER GUIDING PRINCIPLES

Dear Valued Supplier,

By balancing economic, environmental and social impacts in our decision making and activities, Ball strives to create long-term, shared value for our stakeholders and for Ball Corporation. This is part of our sustainability vision. Whether it is developing sustainable products, working to reduce our environmental footprint, respecting human rights or investing in local communities where we operate, we are committed to making Ball a more sustainable enterprise.

### **Purpose**

Our Supplier Guiding Principles set forth the business conduct standards to which Ball expects and demands its suppliers to adhere. In keeping with our values, Ball prefers to do business with companies that share our belief in the importance of economic, social and environmental sustainability.

### **Scope**

Our Supplier Guiding Principles apply to all suppliers, with whom Ball, its subsidiaries and affiliates worldwide have a contractual relationship, including contractors, suppliers of goods and services.

As part of the implementation of our Supplier Guiding Principles, these principles will be incorporated into all new or renewed commercial agreements between suppliers and Ball, its subsidiaries and affiliates worldwide. Suppliers must be able to demonstrate compliance with Ball's Supplier Guiding Principles at the request and satisfaction of Ball. When Ball becomes aware that a supplier is not in compliance with our Supplier Guiding Principles, the actions, or inaction, of the supplier will be reviewed, and appropriate corrective measures or termination will be implemented.

### **Supplier Guiding Principles**

All suppliers must adhere to the following principles:

#### **1. Laws and Regulations**

Suppliers will comply with all applicable laws, rules and regulations and requirements in managing their business and in providing goods and services to Ball.

#### **2. Employment Practices/ Human Rights**

We expect our Suppliers to provide an equitable and safe work environment and to adhere to, among others, the following principles:

- Suppliers shall not employ anyone under the legal working age, nor condone physical or other unlawful abuse or harassment in any of their businesses;
- Suppliers shall ensure that there is no forced labor, slavery or human trafficking within their operations and their supply chain;
- Suppliers shall judge their employees upon their abilities and not discriminate on the basis of any condition or characteristic which is protected by applicable law or regulation;
- Suppliers shall respect each employee's right to associate with any legally sanctioned organization; and
- Work hours, wages and benefits shall be in compliance with all applicable laws.

#### **3. Environment**

Ball's Suppliers are expected to maintain compliance with all applicable environmental laws and regulations in their operations and to develop and implement plans to correct any non-compliant practices or conditions.

**4. Health & Safety**

We expect our Suppliers to provide a safe work environment in compliance with local, state, federal, and international laws and to implement policies and regulations in order to minimize accidents or injuries.

**5. Antitrust**

Ball is committed to free competition in the marketplace. Conduct intended to limit competitive forces is inconsistent with that commitment and may violate antitrust laws. Suppliers shall not communicate with competitors regarding current or future prices, pricing policy, sales volumes or terms, production levels or any other information that relates to the marketplace.

**6. Bribery and Corruption**

Ball has a strict policy against bribery and corruption. Suppliers shall not make payments or provide entertainment and gifts or anything of value directly or indirectly to government officials or others so as to influence them in the performance or non-performance of their duties or induce them to use their influence or secure any improper advantage or to obtain or retain business for Ball.

**7. Tax Compliance**

Ball has a strict policy against tax evasion. Suppliers shall not engage in any activity, practice or conduct which would constitute either (i) a tax evasion facilitation offence including under section 45(1) of the UK Criminal Finances Act 2017; or (ii) a foreign tax evasion facilitation offence including under section 46(1) of the UK Criminal Finances Act 2017. Additionally, Suppliers shall have and shall maintain in place throughout the term of this agreement such policies and procedures as are both reasonable to prevent the facilitation of tax evasion by another person (including without limitation employees of the Supplier) and to ensure compliance this policy and promptly report to Ball any request or demand from a third party to facilitate the evasion of tax within the meaning of Part 3 of the UK Criminal Finances Act 2017, in connection with the performance of this agreement.

**8. Sanctions Compliance**

Ball has a strict policy related to sanctions compliance. Supplier warrants and confirms that neither it nor its affiliates or, any director, officer, employee, or other person acting on its behalf is subject to any US sanctions and that it shall comply with applicable sanctions legislation, including those of the United States of America, the UK, EU, and France, throughout the Term of this Agreement.

**9. Demonstration of Compliance**

Suppliers will be expected to certify that they seek to comply with these principles and their own substantially similar principles and demonstrate compliance with these Supplier Guiding Principles at Ball's request.

### **CONFLICT MINERALS CERTIFICATION**

Supplier certifies that, Supplier is not knowingly sourcing or using any “conflict minerals”, as defined in Section 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act, as well as California Senate Bill 861, from the Democratic Republic of the Congo or any adjoining countries (“DRC Countries”) for use in the manufacture of its products supplied to Ball Packaging Products, Americas. “Conflict minerals” include: 1) columbite-tantalite, also known as coltan (the metal ore from which tantalum is extracted); 2) cassiterite (the metal ore from which tin is extracted); 3) gold; 4) wolframite (the metal ore from which tungsten is extracted); 5) their derivatives; or 6) any other mineral or its derivatives determined by the Secretary of State to be financing conflict in the DRC Countries.

Supplier will continue to monitor its supply chain for information as to potential sources of “conflict minerals” from the DRC Countries and will update Ball upon request regarding any additional information relating to sourcing of “Conflict Minerals” from the DRC Countries that may be obtained by Supplier.

### **TRANSPARENCY IN SUPPLY CHAINS ACT CERTIFICATION**

The California Transparency in Supply Chains Act of 2010 (“Act”) went into effect on January 1, 2012. The Act requires retailers and manufacturers doing business in California to disclose the efforts taken to comply with the Act and its intent of mitigating and/or eradicating the risk of human trafficking in their supply and distribution chains. The Act can be found at: [http://info.sen.ca.gov/pub/09-10/bill/sen/sb\\_0651-0700/sb\\_657\\_cfa\\_20090420\\_120239\\_sen\\_comm.html](http://info.sen.ca.gov/pub/09-10/bill/sen/sb_0651-0700/sb_657_cfa_20090420_120239_sen_comm.html).

The Act requires manufacturers doing business in California to require their suppliers, vendors or other members of its supply chain to certify compliance with the Act.

Accordingly, Supplier certifies that it complies with the California Transparency in Supply Chains Act of 2010.

### **TAX COMPLIANCE AND NON-EVASION CERTIFICATION**

Supplier certifies that it understands and is in compliance with the UK Criminal Finances Act 2017, including its provisions on tax evasion. Additionally, Supplier hereby certifies that it has policies and procedures in place to ensure compliance with the UK Criminal Finances Act 2017, including its provisions on tax evasion. Supplier shall provide updates on its compliance efforts to Ball upon Ball’s request, and shall allow Ball access to any records and polices necessary to confirm such compliance.

### **DATA SECURITY**

Supplier shall implement technical and organizational measures to ensure a level of security appropriate to protect Ball data from accidental or unlawful destruction, loss, alteration, unauthorized disclosure, or access. Such measures shall be written and shall be updated as needed to meet legal requirements and best practices, including practices as stringent as those set out in ISO 27001 and ISO 27017 ) or other generally accepted authoritative standards (e.g., SSAE 16, SOC2). Supplier shall: maintain inventories of all computing equipment and media used in connection with any processing of Ball data, restrict access to such data to authorized personnel with a need to access such data, ensure separate and unique usernames with strong complexity and length requirements for all individuals with access to Ball data, follow best practices to authenticate any users with access, encrypt all proprietary data with Services using ciphers at least as strong as 256-bit AES, utilizes an enterprise-class security information and event management (SIEM) system and maintains firewalls to control access to its networks, patch and secure its networks, conduct vulnerability testing of its networks, maintain anti-malware controls, implement physical safeguards, backup data 24/7 and maintain backups for at least 180 days, destroy, delete, or make unrecoverable proprietary data upon disposal. Finally Supplier shall notify Ball of any breach or suspected breach within 24 hours of knowledge of the same, and take all reasonable efforts to minimize the effect and impact of such breach.