

HITACHI VANTARA PARTNER CODE OF ETHICS AND BUSINESS CONDUCT

INTRODUCTION

We at Hitachi Vantara (“HITACHI”, “We”, “Us”) believe that high ethical standards are the foundation of both a successful business and a great work environment. Customer loyalty and respect from the communities in which we operate are earned from our reputation as a fair and honest company. We have confidence in the values and ethics of any third party with which we do business (“HITACHI Partner”, “You”). However, we also recognize that our complex operating environment can create uncertainty about how to uphold HITACHI’s ethical standards. The purpose of the HITACHI Partner Code of Ethics and Business Conduct (“HITACHI Partner Code”) is to articulate our commitment to ethical business practices in a number of different areas and to help each HITACHI Partner address potentially challenging situations.

The maintenance of a culture of compliance is everyone’s responsibility, so as a HITACHI Partner, You must:

- Provide a work environment in which ethical conduct is recognized and valued
- Set a good example and encourage others to comply with the HITACHI Partner Code
- Assist employees who raise questions or concerns about ethics and legal compliance
- Cooperate when requested with any investigation of a violation of the HITACHI Partner Code

The HITACHI Partner Code focuses on five areas: Personal Conduct, Lawful and Ethical Behavior, HITACHI Assets, Data Protection and Conflicts of Interest. You will see that some sections include an underlined word or phrase, with the meaning set out later in the section. If you need clarification or information on a particular topic, please contact the Hitachi Vantara Legal and Compliance Department.

HITACHI considers any violation of the HITACHI Partner Code to be a serious issue. In the event of a material violation, HITACHI reserves the right to suspend or terminate your contract with us. If you encounter or suspect any violation of the HITACHI Partner Code, you should promptly report it to the Hitachi Vantara Legal and Compliance Department.

HITACHI prohibits harassment of or discrimination or retaliation against any current or former employee of an HITACHI Partner who:

- Seeks guidance concerning the HITACHI Partner Code
- Reports a violation in good faith to HITACHI or to any government or law enforcement agency
- Refuses to participate in a breach of the HITACHI Partner Code
- Cooperates with an investigation of a violation of the HITACHI Partner Code

PERSONAL CONDUCT

A. Work Environment

HITACHI is committed to provide a healthy, safe and productive work environment, so we expect Your employees and contractors at all times to act respectfully towards each other and towards HITACHI employees and contractors, avoiding in particular any form of Harassment or Discrimination based on the following categories protected by law: race, ancestry, color, religion, politics, military service, sex, gender, sexual orientation, marital or family status, pregnancy, age, national or ethnic origin, disability, or genetic information.

Meaning of Harassment: Unwelcome behavior aimed at an individual based on one or more of the legally-protected categories listed above, that is sufficiently serious to affect materially that individual’s work environment. It is the reaction of the person targeted that matters, not the intent of the harasser.

Meaning of Discrimination: Taking adverse employment action on the basis of one or more of the legally-protected categories listed above, including: refusal to hire or promote; demotion or termination; material negative change in work status, compensation or benefits; or unfavorable performance reviews or discipline.

B. Social Media

HITACHI recognizes the value of social media and understands that its proper use can be a business advantage. On the other hand, since communication is now almost non-stop and instantaneous, there is a significant risk of errors in tone, content and distribution. As an HITACHI Partner, You will be held accountable for what Your employees, contractors or representatives publish on social media, if they comment on HITACHI, its employees and contractors, products and services, or on your relationship with HITACHI. You will also be required at all times to protect confidential information of both HITACHI and third parties.

LAWFUL AND ETHICAL BEHAVIOR

A. Relationships with Customers

HITACHI places the highest value on our interactions with customers, recognizing that a long and fruitful customer relationship is one of our most valued assets. You must always act in good faith when dealing with HITACHI customers, by representing your products, services and capabilities accurately, by making competitive comparisons fairly, and by promising only what can be delivered ethically and legally.

B. Information Owned by Others

HITACHI recognizes that other companies are entitled to retain control of their internal information, so you must strictly observe all known limitations on the acquisition, use, copying and distribution of third party information or materials. Additionally, you should at the very least assume that markings such as “Confidential”, “Proprietary”, “Restricted Distribution” and “Internal Use Only” mean that the materials should not be used or distributed without prior written authorization from their owner. Even when materials aren’t specifically marked, if you have any reason to believe that they may be confidential, you must treat them as such or take steps to clarify that they are not in fact confidential.

C. Fraud

HITACHI does not tolerate Fraud and encourages each HITACHI Partner to be alert to any irregularities that might indicate Fraud.

*Meaning of **Fraud**:* The intentional misrepresentation or concealment of a material fact, for the purpose of inducing another person or entity to act upon it to their detriment. Examples of Fraud include: false expense reports; forged or altered checks; misappropriated or misused company assets; unauthorized handling or reporting of transactions; or inflated sales numbers.

D. Compliance with Anti-Bribery and Anti-Corruption Laws

HITACHI complies with anti-corruption laws wherever it does business and prohibits any use of a Bribe. In particular, HITACHI scrutinizes gifts, travel and entertainment (“**GTE**”), whether given or received by HITACHI employees, as these components of HITACHI’s operations are known risk areas.

You must avoid engaging in any behavior that constitutes or appears to constitute a Bribe. You must take particular care when dealing with governments and Public Officials to avoid violations of anti-corruption laws, which are complex and impact many aspects of a business. Non-compliance may lead to fines and prison terms, as well as potentially exposing HITACHI to the loss of its export privileges. If you become aware of any such activity, or have any questions or concerns about any particular conduct, you should promptly contact the Hitachi Vantara Legal and Compliance Department.

In addition, HITACHI does not allow facilitation or “grease” payments to be made, even if they are legal or culturally acceptable in some countries. They may in rare instances be permitted, when there is an immediate threat to personal safety, security or freedom. However, you must promptly report such payments to the HITACHI Legal and Compliance Department and record them accurately in your accounts.

*Meaning of **Bribe**:* Anything of value that is offered, promised or given to anyone, directly or indirectly, with the intent to obtain or retain business, or otherwise to gain an improper advantage.

*Meaning of **Public Officials**:*

- Officers or employees of a government, government-owned enterprise, agency or regulatory authority
- Political candidates or political party members
- Public Officials representing a commercial enterprise
- Officials or employees of a public international organization (e.g. United Nations, International Olympic Committee, World Bank)
- Immediate family of Public Officials
- Active/reserve members of police and armed forces
- Educational and medical employees of state-owned entities, including professors and doctors
- State-controlled media representatives and journalists
- Members of ruling or royal families

E. Export Laws

HITACHI knows that exporting is a privilege, not a right, and that loss of export privileges would severely impact our business. Through the HITACHI Global Trade Compliance Department (GTCD), We comply with all export laws and regulations everywhere we operate. Export laws and regulations cover not only physical shipments but also the following:

Transfers of technology via Internet

- Development and delivery of applications
- E-business and e-services
- Foreign travel with HITACHI products or technology
- Technical specifications and performance requirements given to suppliers for procurement from foreign sources
- Use of personal knowledge (e.g. technical assistance) abroad
- Release of technology or source code in the U.S. to anyone who is not a U.S. citizen or lawful U.S. permanent resident (also known as a “deemed export”)

Certain countries are embargoed and/or sanctioned for HITACHI export shipments. The GTCD maintains a list of countries that are currently embargoed or sanctioned, so You must contact the GTCD before considering any export or deemed export of HITACHI products, services, technology, technical data or information.

F. Anti-Boycott

HITACHI is prohibited from complying with or supporting one country’s Boycott of another country, when that Boycott is not sanctioned by the United States. You must therefore report promptly to the Hitachi Vantara Global Trade Compliance Department (GTCD) or the Hitachi Vantara Legal and Compliance Department any request to support a Boycott or to supply information concerning a Boycott of any country.

*Meaning of **Boycott**:* Abstaining or agreeing to abstain from reporting business dealings with, or doing business with, a blacklisted person, organization or country, or agreeing to provide information about a person's race, religion or national origin in the context of such business dealings.

G. Accounting and Financial Reporting Laws

HITACHI follows strict accounting principles and places a high value on the integrity and accuracy of our record-keeping. As a result, You must report financial information, including expense reports, accurately and completely and use appropriate internal controls and processes to ensure that accounting and financial reporting comply with the law in every country in which You do business.

H. Business Courtesies

You must not accept anything from someone doing business with HITACHI, where the gratuity is offered or appears to be offered in exchange for any type of favorable treatment or advantage. To avoid even the appearance of impropriety, do not accept any gifts or promotional items of more than nominal value.

HITACHI ASSETS

A. Tangible and Intangible Assets

All reasonable care must be taken to ensure the integrity and security of HITACHI business assets, both tangible (physical property, equipment and documents) and intangible (information, intellectual property and goodwill). In particular, all HITACHI internal information and documents are confidential, unless they are specifically intended for distribution or release outside HITACHI, and they should not be shared with anyone who does not have a need to know. If You cease to be an HITACHI Partner, you must still follow these rules concerning our confidential information. You are also required to comply with policies, guidance or instructions issued by HITACHI's Chief Information Officer (CIO), Chief Information Security Officer (CISO) or authorized members of the HITACHI IT Department, with respect to the preservation of the confidentiality, integrity and availability of information, such as how to avoid data breaches, phishing schemes or hacks. If You learn of any theft, misuse, wrongful disclosure or other risk to HITACHI assets, promptly notify the Hitachi Vantara IT Department or Hitachi Vantara Legal and Compliance Department.

B. Intellectual Property

Intellectual Property designed or conceived while You are under contract to HITACHI belongs to HITACHI, unless a different arrangement is made the subject of a separate written agreement. If you are unsure what constitutes any aspect of Intellectual Property, you should consult the HITACHI Legal and Compliance Department.

Meaning of Intellectual Property: Proprietary information developed for the purposes of Your contract with HITACHI, including a trademark, Trade Secret, copyright, know-how, ideas, techniques, inventions (whether patentable or not), computer programs, technical innovations, system design, or technical enhancements.

Meaning of Trade Secret: Virtually any business information that is valuable to HITACHI, whether technical or non-technical, because it is not generally known by our competitors or any other outsiders.

DATA PROTECTION & CONFIDENTIALITY

A. Data Protection

HITACHI complies with laws concerning Data Protection in all countries in which it does business and takes particular care when transmitting Personal Information across international borders. As a HITACHI Partner, You must confirm that proper authorization has been obtained, before you collect, store, use, process, transmit or disclose any Personal Information of HITACHI employees or contractors, or of employees or contractors of our sales prospects, customers, suppliers or strategic partners.

Meaning of Data Protection: The process of safeguarding the privacy of Personal Information and other data, in order to comply with laws and regulations that control their collection, storage, use, processing, transmission and disclosure.

Meaning of Personal Information: Any information by which a person can be individually identified, including information relating to employment, compensation, medical records and benefits.

B. Confidentiality

You must keep all confidential information that HITACHI gives to You in whatever form confidential, using the same degree of care that You would use to protect Your own confidential information. HITACHI won't disclose Your confidential information to anyone else, unless You expressly allow HITACHI to, and You must do the same with HITACHI's confidential information. You must not, under any circumstances, disclose HITACHI'S confidential information to any competitor of HITACHI. HITACHI can, however, disclose Your confidential information to our employees and contractors who need to know the information in order to perform obligations under agreements that we have with You. If You become aware of any violation of HITACHI's confidential information or are required by law, order, regulation or ruling to disclose that confidential information, You must notify HITACHI immediately. "Confidential information" means any non-public business, financial, personnel or technological information, plans, data or other information that, at the time of disclosure, is clearly marked as confidential or in the circumstances would be considered to be confidential and would include the terms of all contracts that HITACHI has with You. When those contracts end, You may not copy, take or retain any document containing our confidential information and Your obligations of confidentiality survive the end of the contract.

CONFLICTS OF INTEREST

A. Divided Loyalties

As an HITACHI Partner, You must avoid situations in which there is a potential for conflict between Your interests and Your obligations to HITACHI and You may not evade these requirements by acting indirectly through anyone else. Examples include marketing or selling products or services that compete with current or potential offerings from HITACHI or other Hitachi, Ltd. companies.

B. Inside Information and Insider Trading

You must not use Inside Information for your own benefit, financial or otherwise, nor engage in Insider Trading.

Meaning of Inside Information: Any type of non-public information that could affect the market price of a company's securities (shares, options, etc.), or influence a reasonable investor to buy, sell or hold stock or securities.

Meaning of Insider Trading: The purchase or sale of, or other dealings in or with, a company's stock, shares or other securities, on the basis of unauthorized disclosure of non-public information.

C. Political Contributions

You must not, in the name of HITACHI or on our behalf, make any financial contributions or provide other support to political parties, politicians, or candidates for election to public office, without prior approval from the Hitachi Vantara Legal and Compliance Department.