

## Introduction



### AAY I

Jannica

Director, Ethics & Compliance Europe

#### Lawyer by training

- ✓ Worked in the Competition Law Department of Clifford Chance for 3+ years
- Leads the Ethics & Compliance program for Tech Data in Europe
- ✓ Global responsibility for training, policy & communication

Specializes in Competition Law, Internal Investigations and Ethics & Compliance training and communication

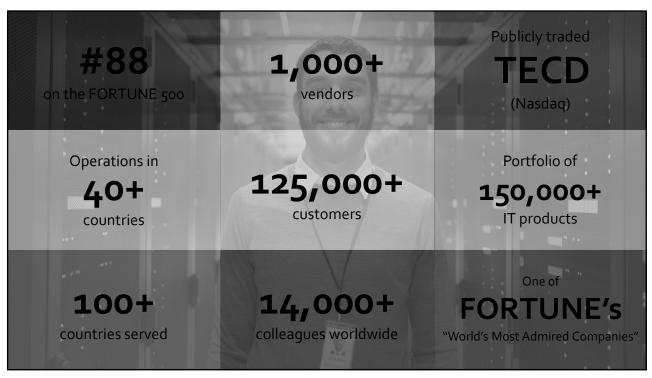


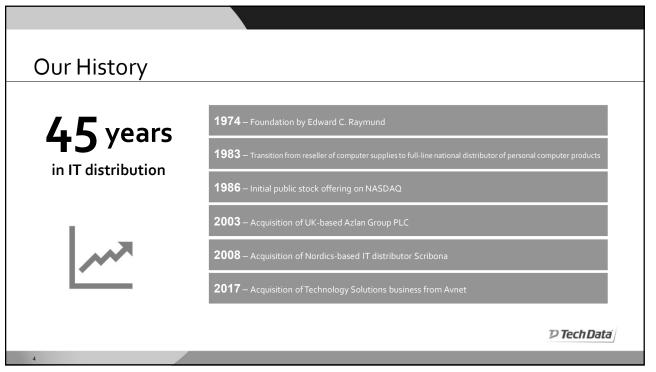
### Ana-Paola (AP)

Director, Ethics & Compliance Americas

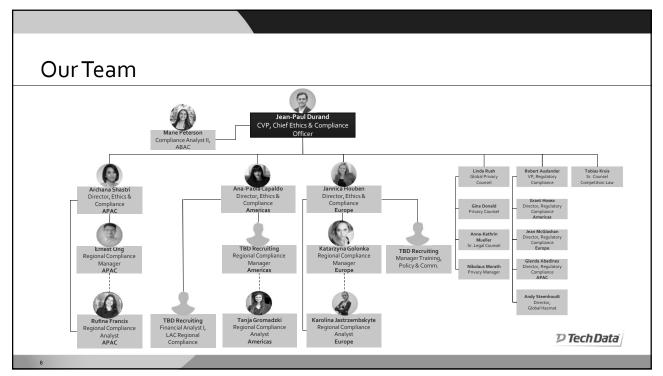
- ✓ Lawyer by training
- Worked at a large education company prior to Tech Data
- Leads the Ethics & Compliance program for Tech Data in the Americas
- ✓ Global Responsibility for the Company's Due Diligence Program
- ✓ Focuses her work on the FCPA, Internal Investigations, and other regulatory matters

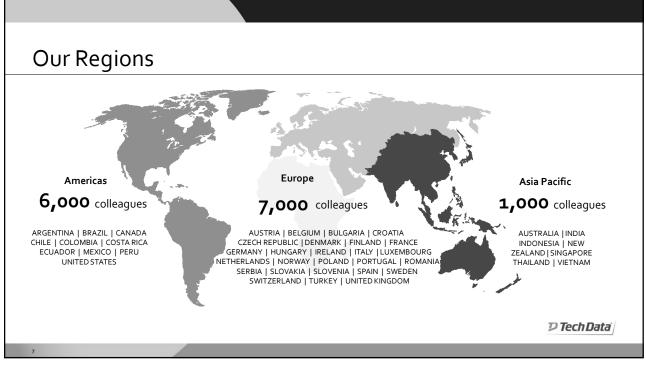
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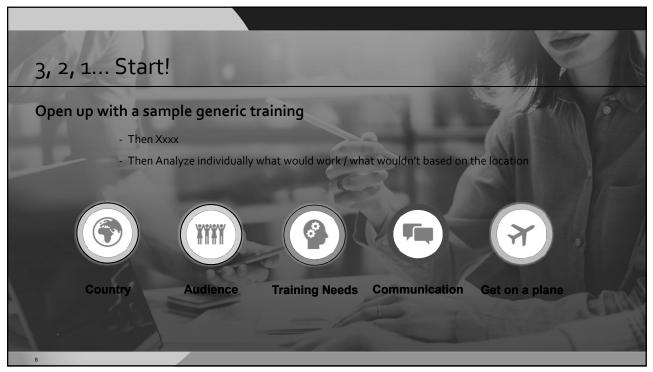






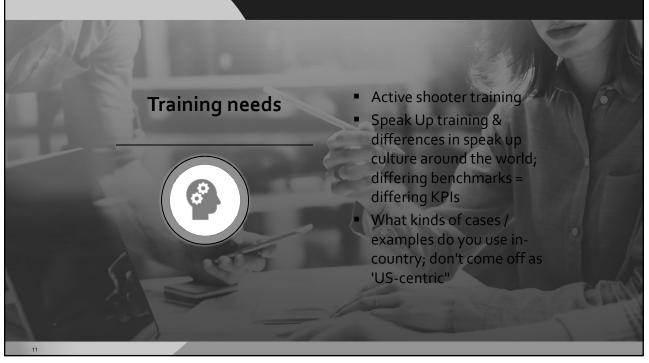




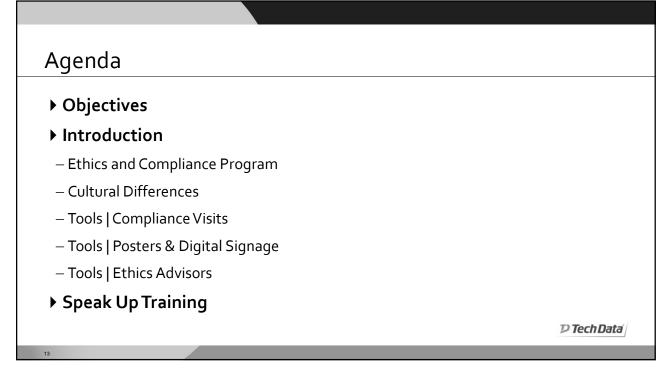


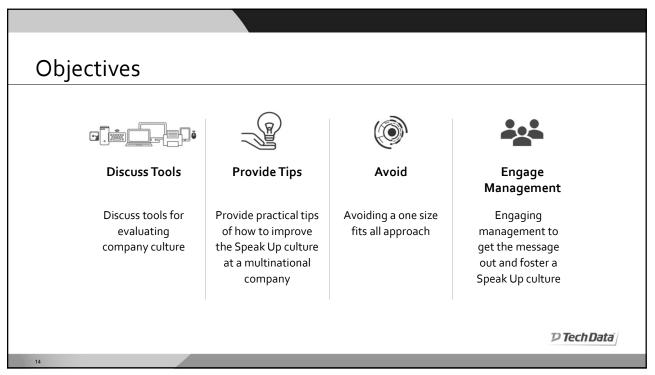




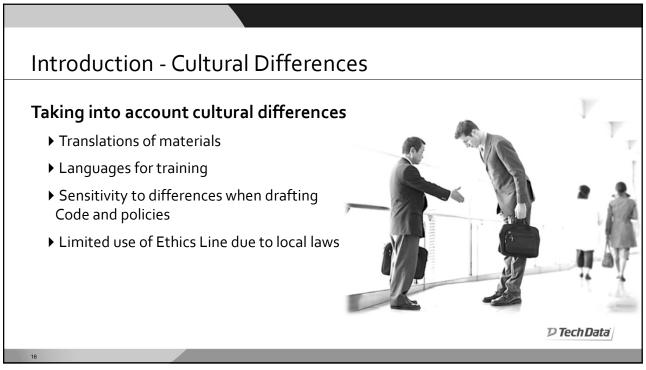


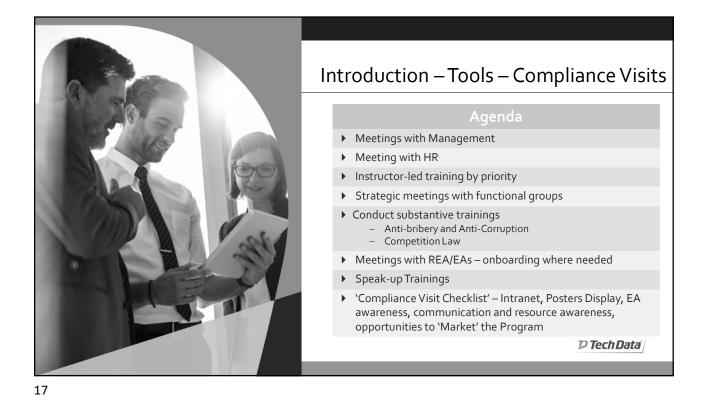










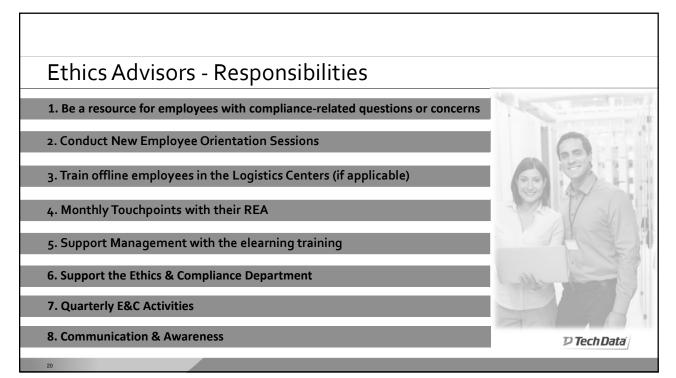




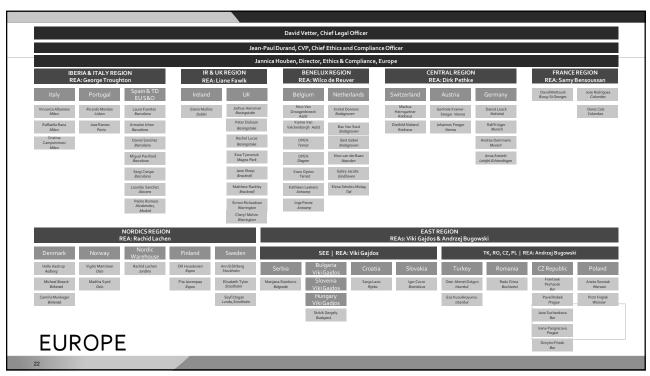
### Introduction – Tools – Ethics Advisors

- ➤ Ethics Advisors are appointed based on the recommendation of local management and the Ethics and Compliance Department.
- > The EA is a point of contact for employees.
- EAs are involved in ongoing training initiatives, supporting the administration of Program and facilitating associated communication and awareness efforts.

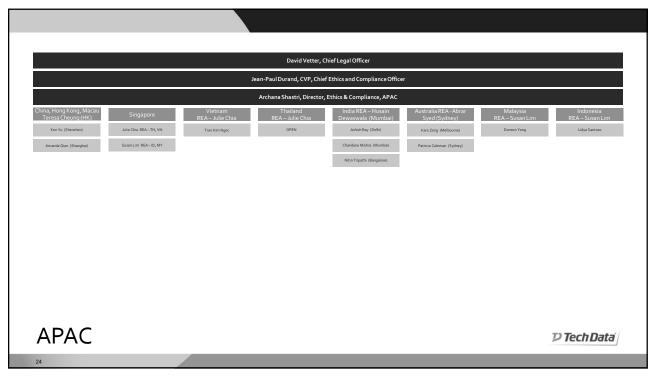


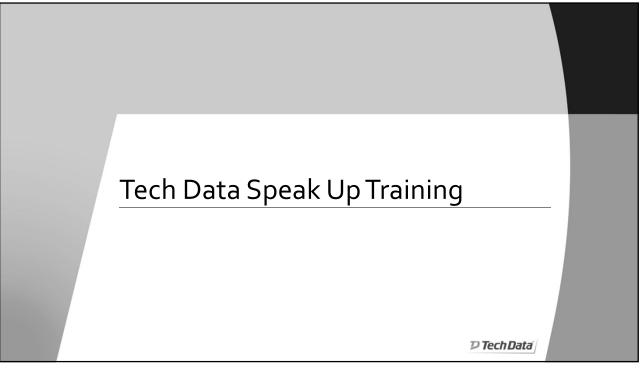


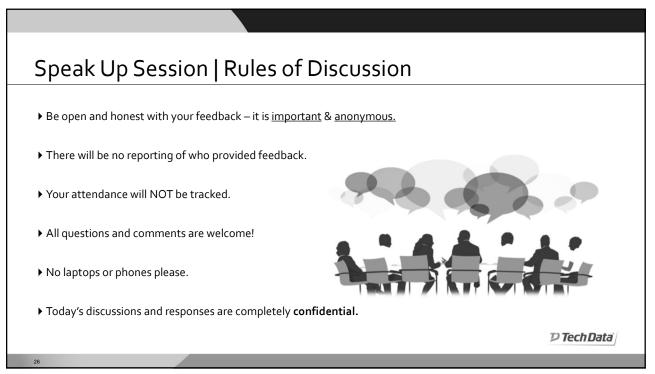


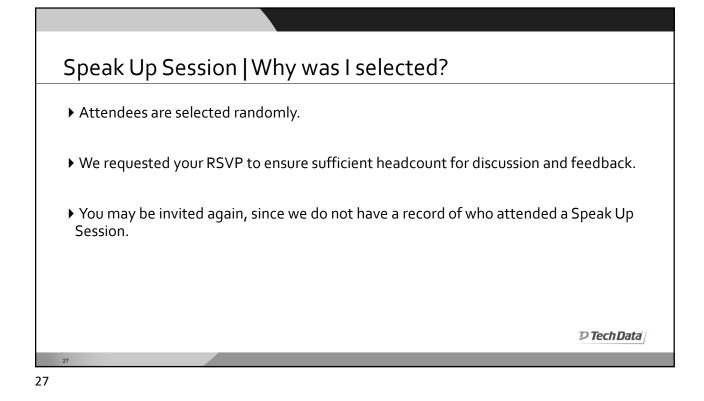


David Vetter, Chief Legal Officer												
Jean-Paul Durand, CVP, Chief Ethics and Compliance Officer												
				"AP'	'Ana-Paolo Capal	do, Director, Ethio	s & Compliance, A	Americas				
MEXICO & LAC REA: Latin America REA: Jessica Velez Paulina Salaza Guadalajara Miami			EAST COAST REA: Logistics Centers REA: Tim Ayer Bradley Shepherd		WEST COAST & VIRTUAL REA: OPEN		Canada REA: Ana Stranaghan Mississauga					
Mexico	Chile	Costa	a Rica	Miami/ LA HQ A1	Clear	rwater	A2 Suwanee	A3 Swedesboro	Tempe	Broomfield	Mississauga	Ottawa
Paola Lazcano Insurgentes	Joel Herrera	Rebeca Rodriguez	Daniel Quesada	Maria Lucia Sanchez	OPEN	Tony Leonarduzzi	Amada Castro	Kathy Hayes	Wally Campbell	Michelle Garmon	OPEN	Kerrie Redmond
Karla Kim Insurgentes	Alejandro Sicilia	Zeydi Quesada	Alexia Martinez	Briana Filgueiras	Robert Alexander	Bobbi Matthews	Phil Eaddy	Tracey Kirk	Noelle Bolduc	Chad Forsythe	Swaleha Kulkarni	Toronto
Luis Uribe Guadalajara	Argentina	Ecuador	Brazil	Caleb Tabio	John Price	Dagmara Andrzejczyn	Mary Catus	A5 Forth Worth	Donald Skinner	Amelia Bush	Fany Weeks	Jeremy Noonan
Julio Gomez Guadalajara	Mauro Kleiner	Agustin Garcia	Nilma Santos	Armando Palumbo	Jennifer Forte	Gwen Phillips	A4 South Bend	Bob Leeming	Duluth	Bruce Rosol	Vancouver	
Lucero Arellano Guadalajara	Peru	Maria Estrella	Ana Vilela	Colombia	Cheryl Gaines-Schaaf	Amy Pierce	Shanelle Wakes	Marcella Garcia	Kathy Bobar	San Antonio	Jesse Dosanjh	
	Alejandro Sicilia			Andres Zuniga	Brad Greene	AJ Rodriguez	Brian Perry	Bloomington	LaTangela Paige	Amelinda Davila	Steve Ganske	
				Johanna Molina	John Hughes	Casey Swanson	Justin Pierce	OPEN	Nancy Theiling	Melissa Smith		
					Jim Hus	Norma Santiago	Groveport	A6 Fontana	Tyson Benton	Groveport		
					EJ Moon	OPEN	Elizabeth Craft	Gabriel Lopez	Amanda Jarrett	Cynthia Hendricks		
							Chandler	Leoveldina Garcia	Pittsburgh	Jarrod Weeks		
							Spyros Pappas		Jen Whoolery	Debra Baughman		
									Raleigh			
	ERIC	۸C							Dan Smith		T) <b>T</b> o	ch Data

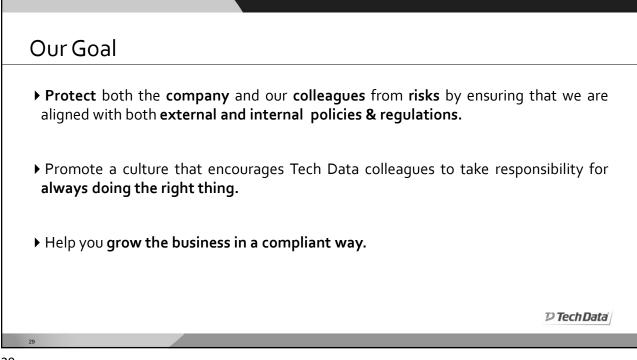


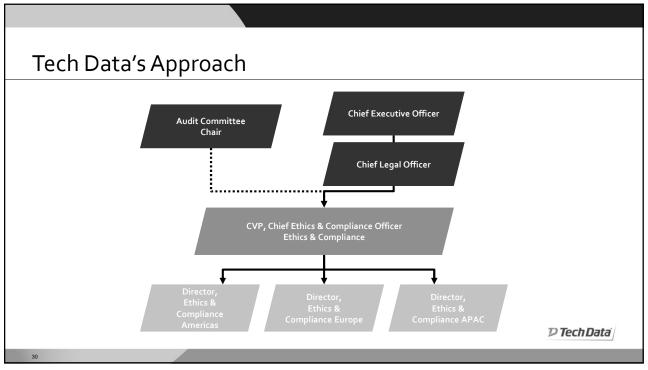


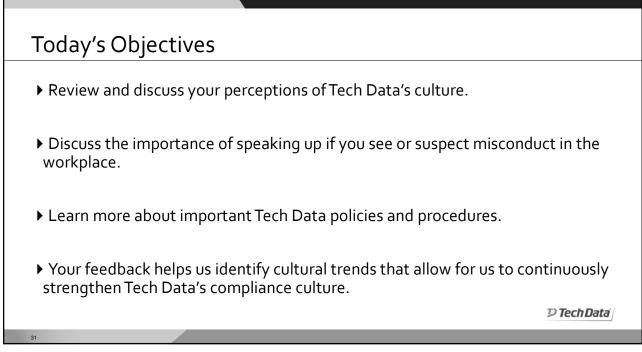




Why is this session important?	
At the forefront of every company should be an ethical and compliant mindset.	
<ul> <li>Our partners (such as our vendors, customers and shareholders) expect Tech Data to be ethical and compliant by having a strong culture of integrity resulting in higher employee, customer and vendor satisfaction ratings, generating repeat business, positive financial results and a return on shareholders' investment.</li> </ul>	
Violations of compliance-related laws can have serious consequences for the company and for you as an individual.	
• <b>Speaking up</b> helps create an ethical culture in the workplace and a positive work environment for all.	
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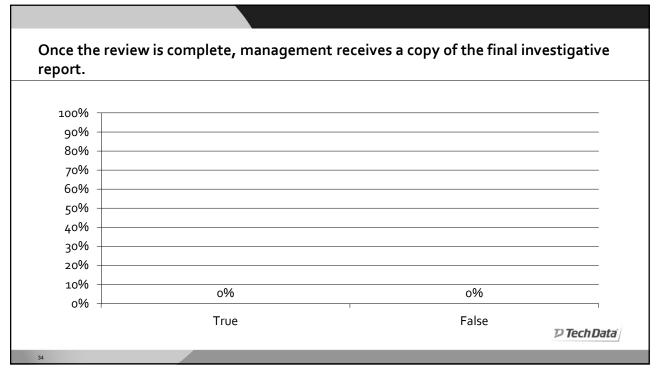


### True or False...

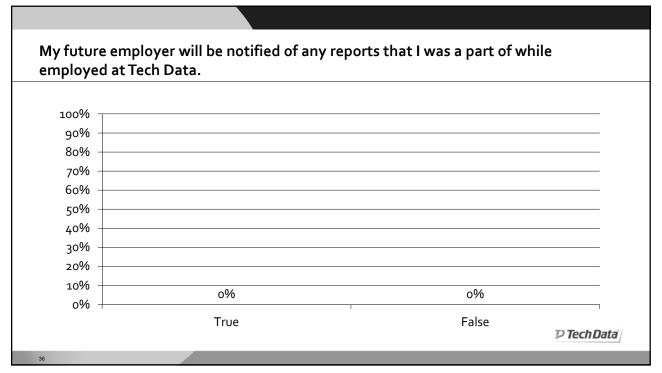
Once the review is complete, management receives a copy of the final investigative report.

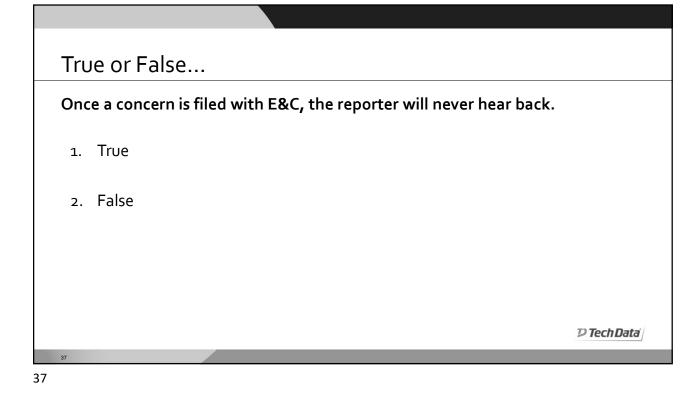
- 1. True
- 2. False

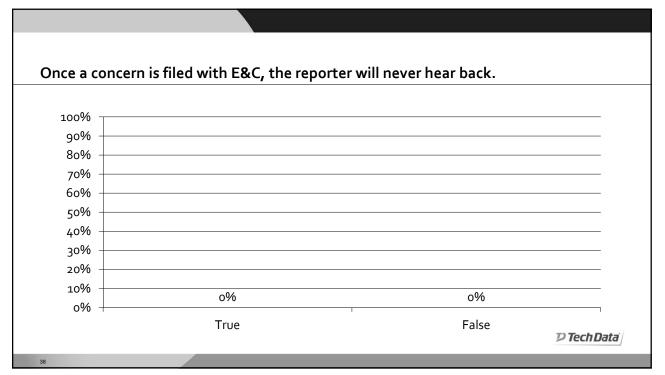
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True or False	
My future employer will be notified of any reports that I was a part employed at Tech Data.	t of while
1. True	
2. False	
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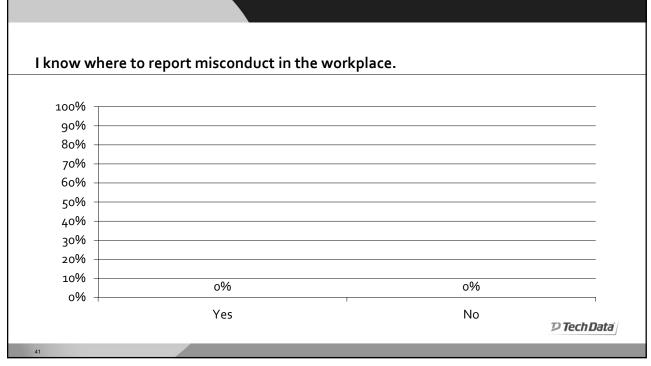


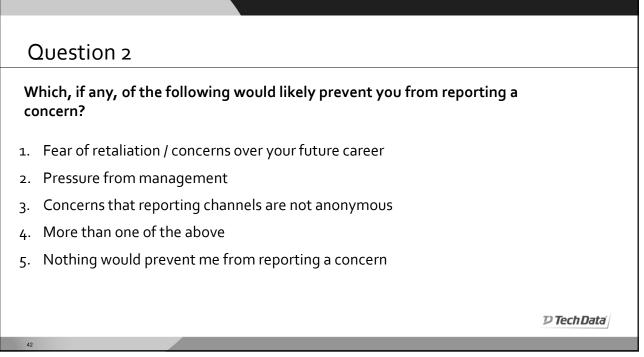


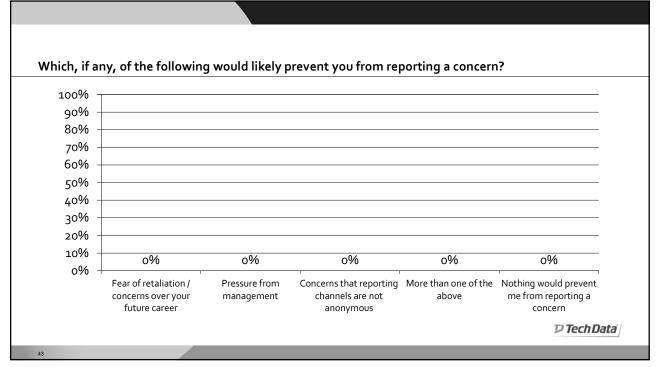
# **E&C Report Lifecycle**

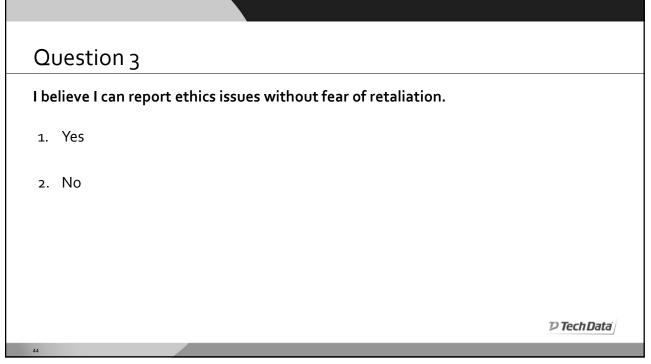
- 1. Initial response sent to reporter acknowledging receipt of concern / allegations / guidance request
- 2. Identify a lead investigator (i.e., HR vs E&C)
- 3. Develop a case plan
- 4. Investigate
- 5. Write a final investigative report / memo / summary
- 6. Brief management (as appropriate) for determination of action to be taken, where relevant
- 7. (If applicable) Execute and document any necessary actions to be taken
- 8. Send final response to reporter
- 9. Document all of the above in our system of record

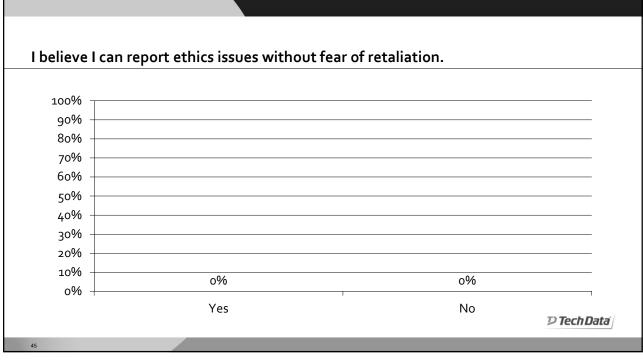
Question 1	
I know where to report misconduct in the workplace.	
1. Yes	
2. No	
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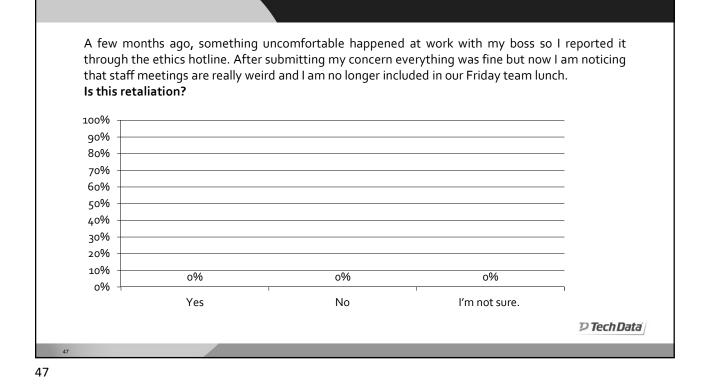
## Question 4 | Scenario

A few months ago, something uncomfortable happened at work with my boss so I reported it through the ethics hotline. After submitting my concern everything was fine but now I am noticing that staff meetings are really weird and I am no longer included in our Friday team lunch.

### Is this retaliation?

- 1. Yes
- 2. No
- 3. I'm not sure.

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Question 5 | Scenario

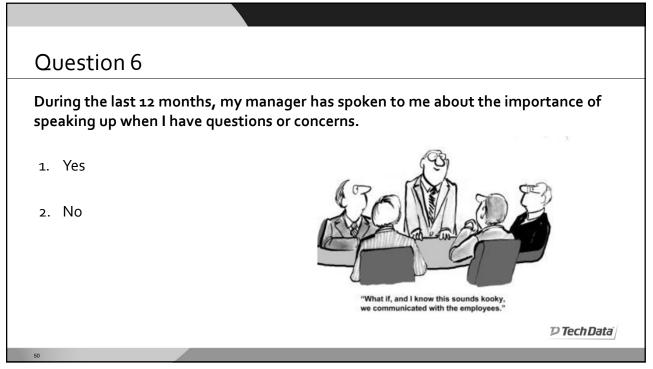
I'm in a group of 3 people. My team lead is always stressed out, yelling and swearing....telling me I can't take a lunch break because we are so busy; making me stay late but telling me to clock out at my normal time. I can't keep up this pace especially since I am not getting paid for my overtime and bad language is not appropriate in the office. The problem is, if I report the team lead she'll know it was me and things could get worse. Or, she could get fired and then all of her work will be dumped on me.

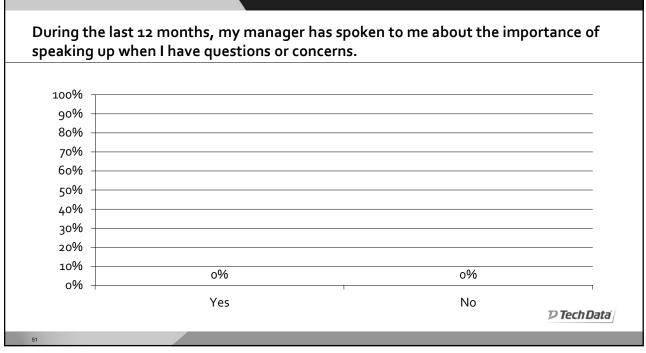
#### What should I do?

- 1. Report it and hope for the best.
- 2. Don't report it and just look for another job.
- 3. Talk to your teammates and try to figure out why your boss is so stressed out.
- 4. Report it and also express your concerns about possible retaliation.

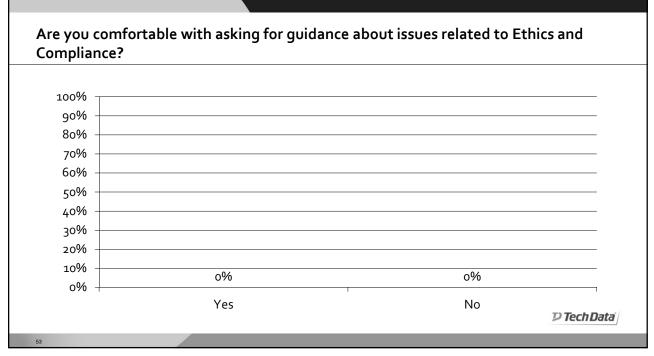
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I'm in a gro lunch break really busy, in the offic could get fi	oup of 3 people. My tean t because we are so busy, but I can't keep up this p e. The problem is, if I rep red and then all of her wo	n lead is always stressed Making me stay late bu bace. I am not getting pa bort the team lead she'll brk will be dumped on me	l out, yelling and swearin t telling me to clock out a id for my overtime and ba know it was me and thin e.	gtelling me I can't take a t my normal time. We are all ad language isn't appropriate igs could get worse. Or, she
What shoul	d I do?			
100% -				
90% -				
80% -				
70% -				
60% -				
50% -				
40% -				
30% -				
20% -				
10% -	-0/	-0/	-0/	
0% -	0%	0%	0%	0%
	Report it and hope for the best.	Don't report it and just look for another job.	Talk to your teammates and try to figure out why your boss is so	Report it and also express your concerns about possible retaliation.
			stressed out.	D Tech Data

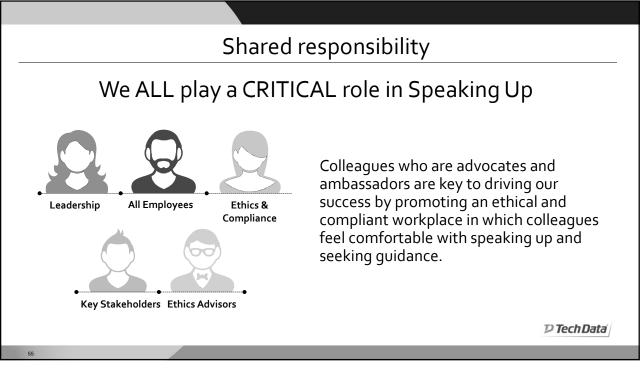




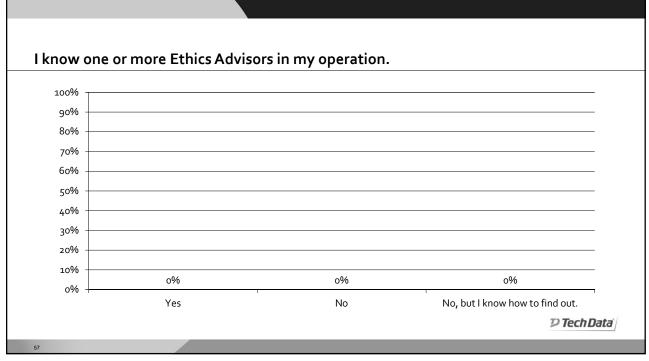
Question 7	
Are you comfortable with asking for guidance about issues related to Ethics Compliance?	and
1. Yes	
2. No	
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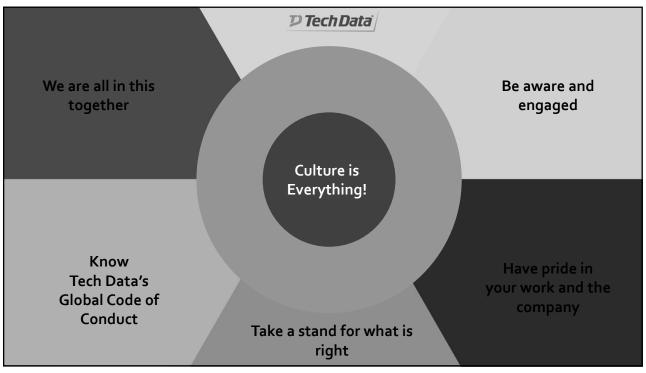


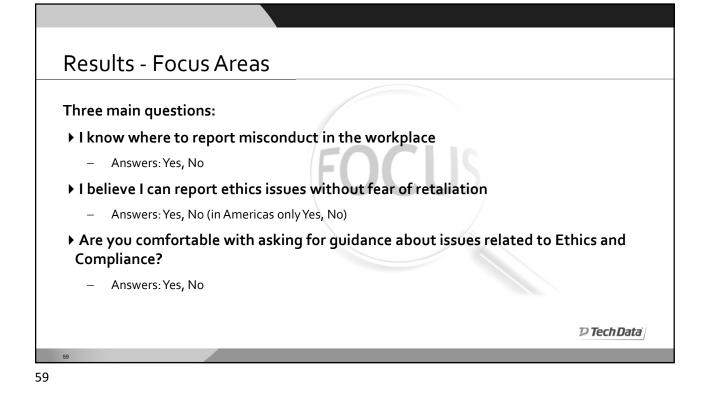


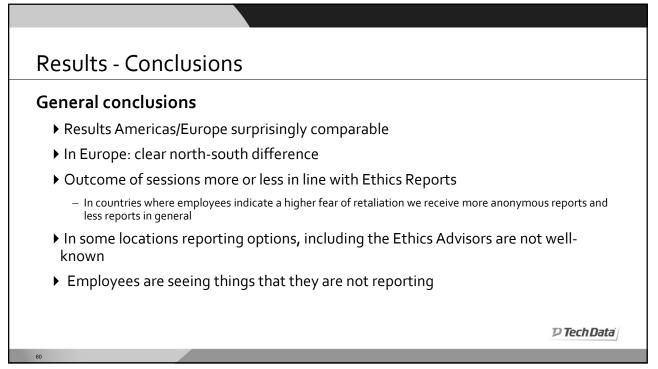


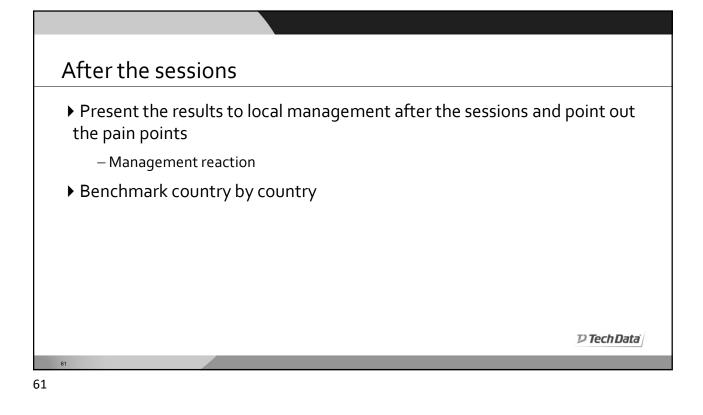
Question 8	
I know one or more Ethics Advisors in my operation.	
1. Yes	
2. No	
3. No, but I know how to find out.	
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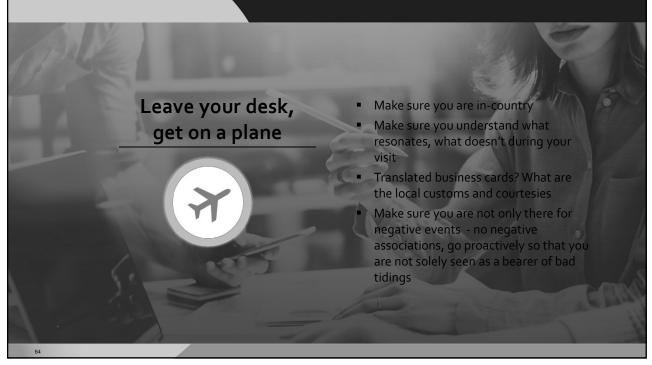


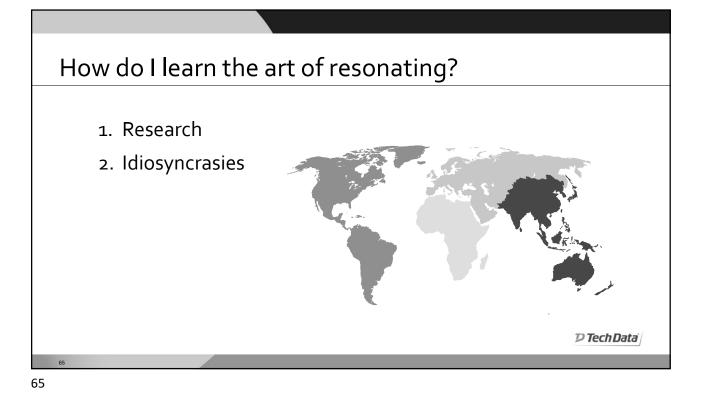




Next Steps	
Repeat the process Y/Y to compare the results	
– Measure improvement	
<ul> <li>Integrate with other data points such as Employee Engagement Su</li> </ul>	rvey
<ul> <li>Urge management to focus more on Ethics and Compliand</li> </ul>	ce
<ul> <li>Require management to cascade the Speak Up message d organizations</li> </ul>	lown their
– Check by pulling random employees of the work floor and by talkin	g to the Ethics Advisors
Need to ensure management/HR are not blackholes	





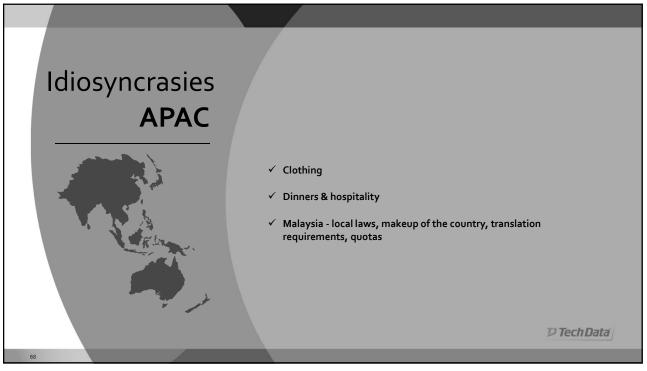




## Idiosyncrasies Americas

- ✓ Face-to-face contact, the art of the relationship
- ✓ Greetings (customs)
- ✓ Geopolitical realities (HISTORY)
- ✓ The importance of words & terms (cohecho, soplon, whistleblower; coima) making sure training is not striking the wrong tone
- ✓ Level of Formality
- ✓ Attitudes towards corruption / shifts in outlook in BRIC / emerging markets - values shifts
- ✓ Compliance Cafecito

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Questions?	
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