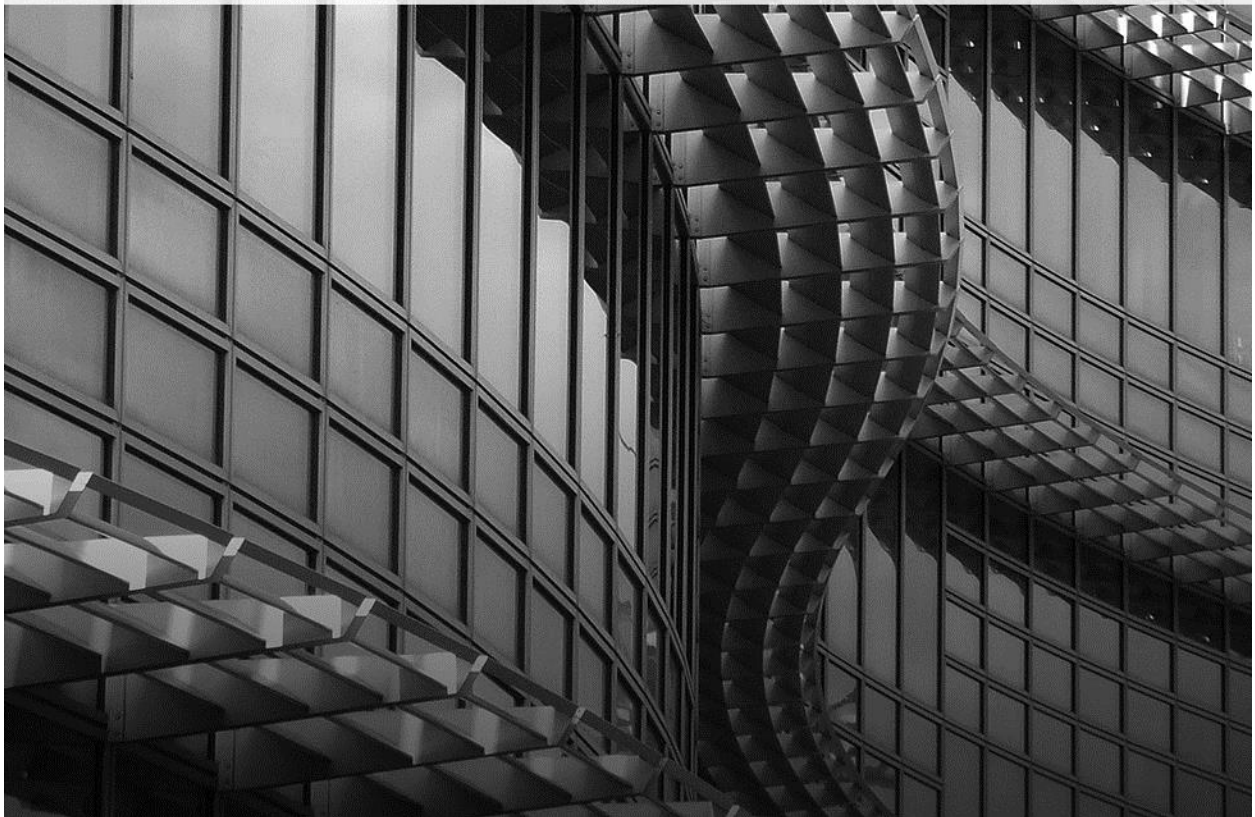




# Supplier Standards



Alcoa Corporation (“Alcoa”) is recognized as one of the world’s most ethical and sustainable companies. As a part of Alcoa’s continuing commitment to sustainable and ethical business practices, we are dedicated to working in partnership with our suppliers, contractors and others with whom we do business (collectively “Suppliers”) to ensure consistency with these principles.

Although we recognize that there are different legal and cultural environments in which our Suppliers operate, we believe that these principles are common throughout the world. We have developed Supplier Standards embodying those principles to provide clarity to our Suppliers regarding our expectations in this area.

Alcoa has developed its Supplier Standards based on three key Values:



#### OUR VALUES

Act with Integrity

Operate with Excellence

Care for People

We expect and trust that our Suppliers will honor these values and the corresponding practices that form Alcoa’s Supplier Standards. These Values are the foundation for Alcoa’s Code of Conduct that can be accessed at: <http://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct.asp>.

## ACT WITH INTEGRITY

Our Suppliers shall conduct their business with ethics and integrity. This includes:

- Respecting local, national and international laws, including applicable norms, laws, rules and regulations such as those related to the environment, work relationships, human rights, health and safety, and antitrust.
- Conducting business in compliance with the United States Foreign Corrupt Practices Act and all other applicable anti-corruption conventions, laws and regulations.
- Gathering competitive information by legal means and not sharing confidential information belonging to others without written permission.
- Acting ethically and responsibly in the conducting of business including, but not limited to, compliance with anti-corruption and anti-bribery laws, rules and regulations.
- Understanding and respecting the obligations of Alcoa and its employees to comply with Alcoa’s Anti-Corruption Policy including the Hospitality and Gifts provision as published at <http://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption.asp>.
- Providing transparency into the supply chain, from original source to Alcoa, in accordance with applicable laws and regulations, including the U.S. Securities and Exchange Commission’s conflict minerals rule implementing the Dodd-Frank Act.
- Representing products, services, and prices truthfully and accurately.
- Upholding fair business standards in advertising, sales, and competition.
- Conducting business with a commitment to maximum transparency consistent with good governance and commercial confidentiality.

# OPERATE WITH EXCELLENCE

**Our Suppliers shall be committed to continual improvement and excellence and shall not compromise ethics, safety, or legal obligations for the sake of profitability. This includes:**

- Maintaining a strong financial control environment and publicly disclosing, where appropriate, financial results.
- Abiding by the standards of the United States Sarbanes-Oxley Act (SOX) or applicable equivalent for financial reporting.
- Preparing financial statements in accordance with generally accepted accounting principles.
- Keeping proper and accurate records of all business operations and transactions in accordance with applicable retention policies and statute of limitations.

**Our Suppliers shall operate in an environmentally responsible and efficient manner to minimize adverse impacts on the environment. This includes:**

- Complying with all applicable governmental laws, regulations and rules related to the environment, including the handling of waste from operations.
- Choosing energy-efficient processes and products where available.
- Implementing available systems to reduce or eliminate waste of all types, including conservation measures and recycling, re-using, or substituting materials.
- Actively participating in the management of environmental risks, identifying hazards, evaluating risks posed by them, and implementing solutions.

- Ensuring that quality materials and services are supplied on time and to Alcoa's specifications.

- Promptly communicating to Alcoa any internal or value chain nonconformity or other developments that may impact the Supplier's ability to provide conforming, on-time performance.

- Respecting executed agreements and contracts.

- Promptly communicating issues to Alcoa that may impact its performance, investigating to root-cause and implementing all necessary corrective actions.

- Making relevant information available upon request to those who seek to verify compliance.

- Encouraging community engagement to help foster social and economic development and to contribute to the sustainability of the communities in which they operate.

- Committing to operating a safe and healthy work environment for all employees, including a drug free and weapon free workplace.

**Our Suppliers shall partner with us to create more efficient processes, technologies, ideas, and products. This includes:**

- Fostering disruptive innovations that provide Alcoa a competitive advantage while maintaining high standards of excellence.

- Collaborating with Alcoa on ways to increase the demand for and sales of our products.

- Facilitating our environmental and sustainability goals while achieving greater cost efficiencies.

## CARE FOR PEOPLE

**Our Suppliers shall uphold the human rights of all individuals associated with their operations, including local communities and workers. This includes:**

- Under no circumstances, participating in human trafficking, using child labor or using forced labor such as prison labor, forcibly indentured labor, bonded labor, slavery, or servitude.
- Respecting human dignity and the rights of workers, individuals and the communities associated with their operations.

- Prohibiting any kind of corporal punishment, harassment, discrimination or abuse of applicants or workers.

- Ensuring that employee compensation meets or exceeds the legal minimum standard and fully complies with all applicable laws.

- Recognizing and respecting the freedom of employees to join, or refrain from joining, legally authorized associations or organizations.

- Having an EEO statement or Code of Conduct that does not allow discrimination on the basis of race, color, religion, national origin, disability, sexual orientation, gender identity/expression, genetic, veteran status, sex or age (within statutory limits).

## ADDITIONAL INFORMATION

Suppliers shall exhibit and drive accountability for these principles throughout their supply chains. Alcoa requires certain suppliers to participate in a due diligence review through TRACE International's TRAC program and to maintain a TRAC profile for the duration of Alcoa's relationship with the Supplier. Suppliers subject to this requirement will be informed of the obligation.

For additional information regarding Alcoa's Vision and Values, Sustainability, Supplier Sustainability, and Ethics and Compliance Programs, please visit [www.alcoa.com](http://www.alcoa.com).

## REPORTING CONCERNS

To report an activity or concern (including any suspected violation of law or these standards) through Alcoa's Integrity Line (available 24 hours a day), please refer to: <http://www.alcoa.com/global/en/who-we-are/ethics-compliance/integrity-line.asp>.

For other concerns or for general questions regarding Alcoa's Supplier Standards, please contact [SupplierSustainability@alcoa.com](mailto:SupplierSustainability@alcoa.com).