

Whistleblower Policy

Workiva is committed to the highest standards of ethical, moral, and legal business conduct. In line with this commitment, and Workiva's commitment to open communication, we provide an avenue for employees and third parties to raise concerns while being protected from reprisals or victimization for whistleblowing.

Disclosure to Regulators: Nothing in any confidentiality agreement, offer letter or employment agreement that has been entered into by an employee and Workiva, or in any confidentiality or other policy adopted by Workiva, prohibits an employee from reporting possible violations of federal law or regulation to any governmental agency or entity, including but not limited to the Department of Justice, the Securities and Exchange Commission, the Congress, and any agency Inspector General, or making other disclosures that are protected under the whistleblower provisions of federal law or regulation. Neither authorization from Workiva's Legal Department, nor notification to Workiva, is required to make any such reports or disclosures.

No Retaliation for Whistleblowing: Workiva prohibits retaliation against anyone who reports or participates in an investigation of a possible violation of our policies (whistleblowing). Harassment or victimization of employees who report concerns will not be tolerated.

Workiva aims to provide protections for you if you raise concerns regarding:

- incorrect financial reporting;
- unlawful activity;
- activities that are not in line with Workiva policies, including its code of conduct; or
- activities that amount to serious improper conduct.

Confidentiality: Every effort will be made to protect the complainant's identity with appropriate regard for confidentiality.

Raising Concerns: Employees or external parties can submit a concern through Workiva's dedicated ethics inbox using the email ethics@workiva.com. They can also submit a concern anonymously through Lighthouse Services, a third-party Ethics Hotline engaged by Workiva. The purpose of the service is to ensure that anyone wishing to submit a report can do so without fear of retribution.

Please note that the information provided by you may be the basis of an internal and/or external investigation into the issue you are reporting and your anonymity will be protected to the extent possible by law by Lighthouse. However, your identity may become known during the course of the investigation because of the information you have provided. Reports are submitted by Lighthouse to a Workiva designee for investigation according to our company policies.

Lighthouse Services toll free number and other methods of reporting are available 24 hours a day, 7 days a week for use by employees and external parties.

Telephone (USA and Canada): 844-600-0063


Website: www.lighthouse-services.com/workiva

Email: reports@lighthouse-services.com (must include company name with report)

Anyone reporting an incident is encouraged to put a name to allegations because necessary follow-up questions and a full investigation may not be possible unless the information source is identified.

Concerns expressed anonymously will be explored appropriately, but consideration will be given to:

- the seriousness of the issue raised;
- the credibility of the concern; and
- the likelihood of confirming the allegation from attributable sources.



Bad-Faith Allegations: Allegations made in bad faith may result in disciplinary action up to and including termination.

Any complaints regarding accounting, internal accounting controls or auditing matters will be forwarded to the Audit Committee of the Board of Directors.

The Chief Legal Officer, or other designee, will report the results of any investigation regarding a concern submitted through this system to the person reporting the concern.

The whistleblowing procedure is intended to be used for serious and sensitive issues. Such issues, including those related to financial reporting and unethical or illegal conduct, may be also reported directly to the Ethics and Conduct Team.