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About EthicsPoint

What is EthicsPoint?

EthicsPoint is a comprehensive and confidential reporting tool created by NAVEX Global that enables management and employees to work together to address fraud, abuse, and other misconduct in the workplace while cultivating a positive work environment.

Why do we need a system like EthicsPoint?

- Elasticians are our most important asset. By creating open channels of communication, we promote a positive work environment that welcomes all and values contributions by all.
- An effective reporting system is key to preserve our culture of integrity and ethical decision-making.

Reporting – General

May I report using either the Internet or the telephone?

Yes. EthicsPoint enables you to file a confidential, anonymous report via either the telephone or the Internet.

What types of situations should I report?

The EthicsPoint system allows you to report any violation of our Code of Business Conduct and Ethics, Elastic's policies or other legal or ethical concerns you may have.

If I see a violation, shouldn't I just report it to my manager, information security, or human resources and let them deal with it?

When you observe some behavior that you believe violates our policies or code of conduct, we expect you to report it. Ideally, you should bring any concerns forward to your direct manager or other member of our management team. We recognize, however, that there may be circumstances when you are not comfortable reporting the issue in this manner. It is for such circumstances that we have partnered with NAVEX Global to make EthicsPoint available to you. We would rather you report through EthicsPoint than keep the information to yourself.

Why should I report what I know? What's in it for me?

We all have the right to work in a positive environment and with that right comes the responsibility of acting in an ethical manner and letting the appropriate people know if someone is not acting appropriately. By working together, we can maintain a healthy and respectful environment. And corporate misconduct, if not detected and properly addressed, can threaten the very existence of Elastic.

Does management really want me to report?

We certainly do. In fact, we *need* you to report. You know what is going on in Elastic - both good and bad. You may have initial knowledge of an activity that may be cause for concern. Your reporting can minimize the potential negative impact on Elastic. Also, offering positive input may help identify issues that can improve our culture.

Where do these reports go? Who can access them?

Reports are entered directly on the EthicsPoint secure server. They are available only to a few senior leaders and managers at Elastic who are charged with evaluating the report, based on the type of violation. Each of these report recipients has had training in keeping these reports in the utmost confidence.

Isn't this system just an example of someone watching over me?

No. EthicsPoint is a positive aspect of our overall philosophy that allows us to ensure a safe, secure and ethical workplace. You are encouraged to seek guidance on ethical dilemmas, provide positive suggestions, or communicate a concern. Effective communication is critical in today's workplace and this is a great tool to enhance that communication.

Reporting Security, Confidentiality and Data Privacy

It is my understanding that any report I send from a company computer generates a server log that shows every website that my computer connects with. Won't this log identify me as the report originator?

NAVEX Global does not generate or maintain any internal connection logs with IP addresses, so no information linking your computer to EthicsPoint is available.

If you feel uncomfortable making a report on your work computer, you have the option of using one outside our work environment (such as one located at an Internet café or at a friend's house) through the EthicsPoint secure website.

A report from home, a neighbor's computer, or any Internet portal will remain secure and anonymous. An Internet portal never identifies a visitor by screen name and the EthicsPoint system strips away Internet addresses so that anonymity is totally maintained.

I am concerned that the information I provide EthicsPoint will ultimately reveal my identity. How can you assure me that will not happen?

The EthicsPoint system protects your anonymity. However, if you wish to remain anonymous, you - as a reporting party - need to ensure that the body of the report does not reveal your identity by accident. For example, "At the last Zoom meeting with Jan Smith..." or "In my 7 years with Elastic in the Netherlands...".

Is the telephone toll-free hot line confidential and anonymous too?

Yes. You will be asked to provide the same information that you would provide in an Internet-based report and an interviewer will type your responses into the EthicsPoint Web site. These reports have the same security and confidentiality measures applied to them during delivery.

What if I want to be identified with my report?

There is a section in the report to identify yourself. If you choose to do so, this will help Elastic with our investigation. This is because we are likely to have questions for you and your answers will make getting to the bottom of the issue easier and faster.

Will my reporting be handled in accordance with applicable data privacy laws and regulations?

Elastic and NAVEX Global recognize the importance of data protection and embrace a duty to protect data that is entrusted to us. For example, Elastic and NAVEX Global entered into the Standard Contractual Clauses (sometimes referred to as model clauses) to legitimize the transfer of personal data from the EU to the US. And when you contact EthicsPoint to report an issue, you will be asked to give us consent to process your information.

Tips & Best Practices

I am aware of some individuals acting unethically, but it doesn't affect me. Why should I bother reporting it?

All unethical conduct, at any level, ultimately hurts Elastic and all Elasticians, including you. You only have to consider what happened in recent corporate scandals to see the disastrous effects that a lapse in ethics can have on an otherwise healthy company. If you know of any incidents of misconduct or ethical violations, consider it your duty to yourself and your fellow Elasticians to report it.

I am not sure if what I have observed or heard is a violation of company policy, or involves unethical conduct, but it just does not look right to me. What should I do?

File a report. EthicsPoint can help you prepare and file your report so it can be properly understood. We'd rather you report a situation that turns out to be harmless than let possible unethical behavior go unchecked.

What if my boss or other managers are involved in a violation? Won't they get the report and start a cover-up?

The EthicsPoint system and report distribution ensure that implicated parties are not granted access to reports in which they have been named.

What if I remember something important about the incident after I file the report? Or what if Elastic has further questions for me concerning my report?

When you file a report at the EthicsPoint Web site or through the EthicsPoint Call Center, you receive a unique, randomized number called a "Report Key" and are asked to choose a password. You can return to the EthicsPoint system again either by Internet or telephone and access the original report to add more detail or answer questions posed by Elastic's representative. We strongly suggest that you return to the site in the time specified to answer questions from Elastic. You and Elastic now have entered into an "anonymous dialogue," where situations are not only identified, but can also be resolved, no matter how complex.

Are these follow-ups on reports as secure as the first one?

All EthicsPoint correspondences are held in the same strict confidence as the initial report, continuing under the umbrella of anonymity.

What if I lose my Report Key or forget the Password I created?

To ensure that security and confidentiality is maintained, if you lose your report key or password, you will need to file a new report. Mention in the new report that it is related to a report or question you previously submitted.

Can I still file a report if I don't have access to the Internet?

You can file an EthicsPoint report from any computer that can access the Internet. You can file from home. Many public locations, including public libraries in many countries, have Internet computers. If you don't have access to or are uncomfortable using a computer, you can call the EthicsPoint toll-free hotline, which is available 24 hours a day, 365 days a year.