

# Lobbying Policy

GOVERNMENT RELATIONS



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Effective  
June 1, 2021

## OVERALL PRINCIPLES

If your role at OMERS includes communication with public officials, anywhere in the world, you are responsible for conducting your activities in a transparent and ethical manner.

Due to the complex legislative requirements for lobbying, individuals who conduct such activities are responsible for ensuring they are fully aware of their legal and ethical obligations.

When in doubt, consult with our in-house Designated Lobbying Contacts.

This Policy confirms the commitment of OMERS that all of its lobbying activities – wherever conducted – be undertaken in a transparent and ethical manner that meets all applicable legal requirements.

**This Policy applies to all Employees, Directors and Contractors across OMERS, which for clarity, includes Oxford.**

Next renewal date:	June, 2024
Frequency of review:	Every 3 years

## Lobbying 101

Lobbying is communicating with public officials on how legislation, policies or programs are being introduced or changed and how grants, contributions, contracts, and other financial benefits are being awarded.

Communication may be initiated by us, a third-party contractor whom we engage, or the public official. This includes elected or appointed public office holders and members of their staff at all levels of government.

Lobbying legislation varies across jurisdictions and is complex. In some cases, lobbying laws exist at the national, state/provincial, and local level of government within the same country. Consultation with our Designated Lobbying Contacts is always strongly encouraged as failure to comply may result in penalties or fines (both criminally and civilly) and/or reputational damage.

Typically, there are two types of lobbyists: “in-house” who may include directors, officers and employees who engage in lobbying activities, and “external consultants”, who are third-party contractors we may retain to lobby on our behalf.

## In-House Lobbying

OMERS engages in “in-house” lobbying, which is lobbying by an OMERS employee, officer or director. OMERS and certain of its Business Units maintain registrations in this regard. These registrations designate which individuals are internal lobbyists and are a matter of public record.

These registrations list all individuals who are expected to conduct lobbying activities as part of their job. If you are unsure if you are on this list, you are most likely not a registered in-house lobbyist and you should not conduct any lobbying activities prior to consulting a Designated Lobbying Contact.

OMERS employees in Business Units that are registered with or authorized by a securities regulator must also consult with the Compliance Officer for their Business Unit prior to engaging in any lobbying activities.

## What is Lobbying?

If the answer is “yes” to any of the following questions, the activity may be lobbying. This list is illustrative and not necessarily comprehensive.

- As an OMERS employee, are you communicating with a public official about the making, developing or amending of any laws, by-laws or government programs?
- Are you encouraging members of the public (including OMERS Plan members) to express views to any level of government?
- Are you dealing with any level of government about the sale of public assets or businesses (i.e., privatization) or the award of a financial benefit?
- Are you communicating with a public official on providing services to or entering into a contract with the government?
- Are you or a third party arranging a meeting between a public official and one or more representatives of OMERS?
- Are you contacting a public official to determine what additional information is required to improve or accelerate an approval process?
- Are you applying for an approval or permission pursuant to an existing law or program, and communicating with a public official for the purpose of requesting the approval be granted?

In some jurisdictions, communication with investors who are affiliated with a government, or an entity owned or controlled by the government, may be subject to lobbying legislation and require registration and disclosure of such communications; for example, public pension fund managers and sovereign wealth funds in some jurisdictions.

## What is not Lobbying?

The following are generally not considered lobbying:

- submissions to the government in response to a request for information or as part of public

consultations (e.g., requests for comment on proposed new or amended laws or regulations);

- communications regarding the enforcement, interpretation or application of any act or regulation (unless this includes suggestions for changes in the law);
- submitting a bid or proposal as part of a formal procurement process where the communication does not extend beyond the submission of the application and providing general information;
- communicating with your elected representative on personal matters; and
- making general enquiries about the terms and conditions of an application process or program.

## Using Third Parties

Prior to engaging the services of a third-party contractor (individual or agency) for the purpose of lobbying on behalf of OMERS, you are responsible for evaluating, as reasonable under the circumstances, the risks associated with engaging the new contractor. Using a risk-based approach, such evaluation may include, but is not limited to, confirming the contractor’s registration under applicable laws, obtaining appropriate contractual representations to comply with all applicable laws, including lobbyist laws, and/or conducting due diligence as necessary.

## Lobbying by AC Directors

There is no expectation that the AC Board of Directors should conduct lobbying activities on behalf of OMERS or its Business Units. Any lobbying by members of the AC Board of Directors on behalf of OMERS or its Business Units must be coordinated with the OMERS VP, Government Relations. Where AC Directors conduct lobbying activities on behalf of others, they are responsible for maintaining the appropriate registrations and filing appropriate returns. When in doubt, Directors should consult with a Designated Lobbying Contact.

## Designated Lobbying Contacts

- OMERS – Josh Bezonsky or Chris Morley
- Infrastructure (Canada) – Tenio Evangelista
- OMERS Infrastructure US Inc. – Angeliqe Trapani

- OMERS Private Equity (including Growth Equity and Ventures) – Ana Jung
- Oxford – Caterina Facciolo

## Exceptions

Exceptions to this Policy must be approved by the Policy Sponsor.

## Responding to Incidents of Non-Compliance

The Policy Manager is accountable for identifying incidents of potential non-compliance under this Policy based on established procedures and reporting such incidents to the Policy Sponsor.

## Monitoring and Reporting

The Policy Manager is accountable for the administration of the Policy, including implementing documented procedures to enable compliance, monitoring and reporting as well as coordinating training as required.

**Monthly/Quarterly:** Compliance & Ethics coordinates the preparation and filing of returns on a timely basis as required under lobbyist laws based on processes established with each Designated Lobbying Contact.

**Annually:** The Policy Sponsor will provide a report on material lobbying activity to the Governance & Risk Committee of the AC Board of Directors.

### ROLES & RESPONSIBILITIES

Policy Approver	Governance & Risk Committee of the AC Board of Directors	Responsible for approving the Policy
Policy Sponsor	Chief Operating Officer	Ultimately accountable for the Policy, including its development, implementation and administration
Policy Manager	VP, Government Relations	Responsible for the design and operational effectiveness of the day to day administration of the Policy
Policy Monitor	VP, Legal & Compliance	Responsible for the monitoring, compliance and reporting functions of the Policy