



# DESIGNED AND MADE WITH INTEGRITY

*Our products, our commitments, our conduct*

▶ **The Chart Code of  
Ethical Business Conduct**



*Innovation. Experience. Performance.®*

## ▶ CEO Message

To all Chart employees,

It is our number one priority to build and support a Chart culture that is ethical and respectful of each other, our customers, and our shareholders.

The Chart values are **safety, integrity, customer driven, employer of choice** and **actively seek profitable growth**.

Living the Chart values helps us to build a reputation as a company that others want to do business with and that is a great place to work.

This Code of Ethical Business Conduct supports Chart's values – especially our value of integrity. It is meant to assist you with challenging issues that arise for all of us in daily work.

The Code's standards apply to most situations you will encounter. Where the Code does not apply directly, we count on you to make ethical decisions. Whenever you are uncertain about how to apply this Code's standards, we ask that you contact your supervisor or another manager for guidance.

It is your duty to understand these standards. It is also your responsibility to report any situation where another employee has not followed the standards.

I expect all employees to put into practice the Code's standards. I can assure you that senior management and I will do the same.



Jillian Evanko  
Chief Executive Officer

## ▶ Chart Mission

*To be a leader in high growth global niches for engineered equipment, systems, and aftermarket to the energy, industrial gas, and biomedical markets, and to be the:*

- ▶ *Supplier of choice due to our product and service value to customers, and*
- ▶ *Employer of choice because we are a safe, ethical, challenging and rewarding place to work with high opportunity for individual growth.*

## ▶ Chart Values

### ▶ Safety

*If it can't be done safely, don't do it.*

A job is well done only if it is done safely. Most accidents and injuries are preventable – no business objective is so important that it will be pursued at the sacrifice of safety.

### ▶ Integrity

*Do what you say and do it responsibly.*

How do you demonstrate integrity? Honesty, trust, respect, fairness, responsibility and the free exchange of ideas form the foundation of integrity.

### ▶ Customer driven

*They are why we're here – we are dedicated to meeting the expectations and requirements of our customers.*

We support our customers best when we understand their needs and drive innovation in every aspect of our business.

### ▶ Employer of choice

*Challenging, rewarding, individual growth opportunities.*

Our employees are our most valuable resource – our success depends on you. It is Chart's goal to provide each employee with a challenging and rewarding experience that allows personal and professional growth.

### ▶ Actively seek profitable growth

*Pursue all appropriate value increase strategies; don't apologize for value prices.*

We design and deliver quality products at a value that is often immeasurable, but highly significant to our customers' business.

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# ▶ Getting Started

## Our Values and the Code

Designed and Made with Integrity, the Chart Code of Ethical Business Conduct (the “Code”), is about inspiration and expectations. It is about being so inspired in what we do that we convey this enthusiasm to our customers and all the people we deal with, who see the tremendous value in being aligned with us. The Code also reflects the expectations we have for one another to act with integrity throughout our workday, on behalf of our co-workers, our business partners and our investors.

**Integrity is our foundation and should guide every action and decision we make.**

### Characteristics of Integrity

- |           |                          |
|-----------|--------------------------|
| ▶ Honesty | ▶ Fairness               |
| ▶ Trust   | ▶ Responsibility         |
| ▶ Respect | ▶ Free exchange of Ideas |

## Applicability of the Code

The Code applies to all directors, officers and employees (collectively referred to throughout this Code as “employees”) who work for Chart Industries, Inc. and all majority-owned subsidiaries worldwide (collectively referred to throughout this Code as “Chart” or the “company”). Only the Board of Directors has the authority to approve a waiver of any provision of the Code for a member of the Board of Directors or an executive officer, which shall be disclosed in accordance with the Sarbanes-Oxley Act of 2002. Only the Chart General Counsel or designee has the authority to approve a waiver of any provision of the Code for any other employee. If there are any changes to the Code, the company will promptly share them with all employees.

## Understanding Our Responsibilities

*Each of us* should read and understand the Code and follow the Code's standards in our daily work. However, we should each view the Code as the *minimum* standard of conduct since we also are expected to follow all laws, rules, regulatory orders and regulations of the United States, which is the location of Chart's headquarters, and of all those countries where we work. If compliance with the Code ever conflicts with the law, you must comply with the law.

The Code is also meant to supplement, and not to replace, other applicable Chart policies, some of which are referenced throughout this Code. You should review and be familiar with all Chart policies relevant to your role and activities at the company.

If you observe or even hear about potential misconduct, you must contact our supervisor or other resource. In addition, we should always seek help whenever we are not sure about what decision best meets the Code's standards.

*Supervisors and managers* should strive to have detailed knowledge of the Code and relevant laws and regulations so they can serve as useful sources of guidance for employees who report to them. Most important, supervisors and managers set the example of responsible actions by acting with integrity and demonstrating the Code's principles every day.

## Ethics Representatives

As noted throughout the Code, the company has appointed Ethics Representatives, who can provide guidance regarding the application of this Code to a specific situation (for example, a contemplated transaction or dealing), answer questions about the Code and its specific provisions, or direct inquiries to appropriate resources within Chart. Ethics Representatives may be contacted at the e-mail address listed in the "Resources to Get Advice and Report Concerns or Misconduct" section of this Code (on page 23).

### ◀ Guidance

*Chart policies that are related to or govern various aspects of the Code's provisions may be found in the Corporate Governance section on Chart's SharePoint.*



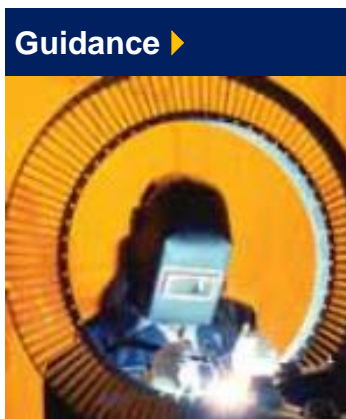
## Compliance Certification

During new employee onboarding or at the request of Chart's Legal Department, each employee must certify to its receipt and an understanding of the requirements of the Code. Additionally, all directors, officers and other employees in managerial or supervisory positions, as well as select other employees, must submit a periodic compliance certification as requested by Chart's Legal Department.

## ► Integrity toward Our Co-Workers

*With a core value of being the employer of choice in our communities, Chart is committed to providing a productive and safe work environment. This environment will reward us by encouraging and supporting our personal and professional growth.*

*We demonstrate integrity with each other as we share a sense of responsibility, honesty, trust, respect and fairness.*



### Guidance ►

*Laws, regulations and local customs related to the operation of a business vary among countries. This is especially true for employee relations. It is important that we understand how Chart's standards apply to local employment matters and that we seek advice in case of any uncertainty.*

### Workplace Safety

At Chart, we never sacrifice safety for any reason; as one of our values states: "If it can't be done safely, don't do it." Each of us has a responsibility to our customers, co-workers and ourselves to be safe in everything we do. We rely on each other to maintain a safe environment. Chart prohibits violent behavior of any kind. Also, the company will not tolerate anyone on workplace premises in an impaired condition due to the use of alcohol or drugs.

### Respect and Fair Treatment

Chart relies on us to always treat our co-workers with respect. Consistent with the principles of respect and fairness, Chart is committed to recruiting, hiring, training and promoting based on an individual's qualifications and company needs. No employment decision should be based on a person's characteristics that are improper or illegal to consider. Certain countries where we work prohibit employment discrimination based on an individual's personal characteristics, such as race, age or gender.

Chart will not tolerate any form of disrespectful conduct, including harassment of co-workers. Such behavior can include derogatory comments, unwanted sexual advances, creation of a hostile work environment or offers of job advantages in exchange for sexual favors.

## Personal Information

The company respects our privacy and works hard to ensure the privacy of our personal data. Personal data comprises all information that can be used to identify, directly or indirectly, an individual, such as name, address, and phone numbers, but also salary information, IP addresses, identification numbers, and even physical and electronic addresses, such as email addresses, both private and business. The company handles personal data in a safe and secure manner as further explained in **Chart's Privacy Policy** and expects all of us to do the same for personal data concerning other employees and/or third parties. This means that personal data must not be shared or made public, unless there is a legal reason and justification to do so. Chart follows detailed procedures as defined by applicable data privacy laws that specify how the company can share certain information or even transfer the information from one country to another. To further data protection awareness of our employees, we will require our workforce to attend data protection trainings from time to time. For details, consult **Chart's Privacy Policy**, contact an Ethics Representative, or contact Chart's Vice President of IT with any questions.

### ◀ Guidance

*The European Union and its member countries have especially strict legislation and procedures in this area. Since May 2018, the General Data Protection Regulation is in force which requires Chart to adhere to even stricter data protection standards. Contact your Ethics Representative or Vice President of IT if you have any questions with regard to the handling of personal data or have concerns about its transfer or storage.*

## Data Breach and Incident Response

The General Data Protection Regulation (**GDPR**) imposes high fines and provides for damages in the event of security breaches that lead to an accidental or unauthorized disclosure, loss and/or transmission of personal data. Although Chart implemented technical and organizational measures to prevent data breaches, incidents may nevertheless occur. This means that all employees must adhere to certain rules to mitigate the risks imposed by security breaches.

Additionally, the GDPR requires that security breaches must be notified to the competent supervisory authority without undue delay and no later than 72 hours after having become aware of the breach. Therefore, any breach or suspicion thereof must be notified to Chart's Vice President of IT immediately.

# ▶ Integrity toward Our Business Partners

*Chart enjoys the trust of its customers, suppliers and agents because we act with integrity. Our reputation for the design and manufacture of high quality products and systems, driven by customer needs, is supported through honest behavior guided by the Code.*

*We constantly strive to do business fairly and ethically. And we seek to ensure that our business partners share our commitment to acting with integrity and to open and trusting relationships that leave no room for corruption or other misconduct.*

## Fair Competition

We are dedicated to vigorous, fair competition. We also are committed to our value of meeting customer expectations and requirements – and always doing so fairly. Certain types of interactions between the company and our suppliers, customers and competitors are not allowed. For instance, laws and company policy prohibit:

- ▶ Specified types of collaboration among competitors, such as sharing price or strategic information or agreeing to divide up groups of customers, markets or territories; and
- ▶ Agreements with customers or suppliers that unfairly restrict competition, such as inappropriately requiring customers to purchase one product in order to purchase an unrelated product or service.

We should avoid interactions with competitors that could be interpreted as collusion or manipulation of prices. For example, we should be particularly sensitive to potential appearances of improper collaboration when we attend industry conferences, industry association meetings and trade shows, and in communications with competitors.

In the countries where we do business, fair competition laws can be very complicated. We should seek guidance from a member of our Legal Department or an Ethics Representative if we have questions about specific competition issues.

### ◀ Examples



*Potentially unfair competition practices include:*

- *Collaboration among competitors as to price or market terms;*
- *Unfair use of market position;*
- *Working with customers to set resale prices; and*
- *Predatory pricing in certain situations.*

We will use only ethical and legal means to gather marketing and business information related to our competitors. The most appropriate sources of this information include public information. Note that paying for this information, whether to a competitor's employee or a third party, may violate **Chart's Corporate Anti-Bribery Policy** or Chart's requirements with respect to accurate recordkeeping, depending on how any such payments are processed or recorded. If you have any questions or concerns on this topic, you should contact an Ethics Representative.

## Anti-Corruption

Bribery and other types of corruption violate Chart's commitment to fair dealing, and we reject participation in all such acts. Corruption generally is prohibited throughout the world. We face heavy penalties as individuals and as a company for violations, which can include both civil and criminal penalties for Chart itself and for the individuals involved. It is the responsibility of all employees of Chart to be familiar with and comply with **Chart's Corporate Anti-Bribery Policy**.

### *Foreign Corrupt Practices Act (FCPA)*

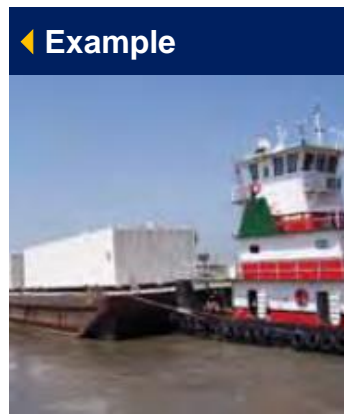
As a U.S.-based company and as a public company with shares listed on the New York Stock Exchange, Chart is subject to the United States Foreign Corrupt Practices Act (**FCPA**), a U.S. law that makes it illegal for companies to win, retain or direct business by offering, paying or approving payments to non-U.S. government workers, political parties or their officials, including employees of state-owned or state-controlled entities. The FCPA also imposes certain record-keeping requirements on U.S. public companies such as Chart, which are referenced in the "Integrity toward Our Investors" section of the Code.

Under **Chart's Corporate Anti-Bribery Policy**, the FCPA's requirements and prohibitions apply to Chart and all its employees, as well as to certain third parties retained by Chart or acting on the Chart's behalf.

### *Bribery*

While the FCPA generally focuses on improper payments to public officials, Chart's rejection of corruption extends to bribery regardless of the bribe's recipient. Bribes can come in any form, including money, services or lavish gifts. We must be vigilant to avoid any arrangements that could lead to bribery, especially in countries where corruption is a more common phenomenon.

Requests for bribes may be explicit or disguised and can involve distributors, agents or other third parties. It is especially important that we exercise due diligence in the selection and monitoring of agents, distributors and other third parties that may act on Chart's behalf, to minimize the possibility that they might make an improper payment that could be attributed to Chart.



### ◀ Example

*If you are asked to make or approve a payment to a sales agent, distributor, or other third party that represents Chart before a government agency or an SOE, contact an Ethics Representative or the Chart Ethics Hotline if you have any concern that some of the funds may be used to pay an official.*

**Example** ▶



*In parts of Asia, it is traditional to regularly exchange gifts in business relationships. We should strive to respect local customs while ensuring compliance with Chart's policies as our paramount obligation.*

## Gifts and Entertainment

Chart buys and sells on the basis of such factors as quality, reliability and price. We act with integrity and transparency in our business transactions. All gifts and entertainment, whether we give or receive them – including meals or outings with customers or other business partners – should be modest and of reasonable value and not be intended to influence either a sale or purchase.

Gifts and entertainment expenses should comply with the requirements of all applicable Chart policies, such as the **Chart Travel and Entertainment (T&E) Policy**, the **Global Business Travel Policy**, and all country or region-specific policies or guidelines. An Ethics Representative is responsible for pre-approving gifts that exceed \$250, except for reasonable and customary business entertainment or business meals. If we receive gifts that exceed \$250 that we cannot politely decline or return, we should contact an Ethics Representative for guidance. In addition to violating the Code, certain gifts or entertainment expenses may also violate the FCPA and the **Corporate Anti-Bribery Policy**.

In addition to local company policies and guidelines, each country where Chart operates may have local customs related to the exchange of gifts and entertainment. Employees with questions about the appropriateness of these local customs should contact their business unit or country manager or an Ethics Representative for guidance.

## Working with Governments and State-Owned Entities (SOEs)

We wish to have the same reputation for integrity with governments as we do with private sector customers. When we do business with governments, government agencies and state-owned or state-controlled companies (SOEs), it is essential that we follow the specific rules and regulations that typically control government procurement. Also, we are respectful of and will cooperate fully with officials who regulate our business.

### *Interacting with Public Officials or SOE Employees*

When interacting with employees or officials of a non-U.S. government agency or organization or an SOE, we must be further mindful of the special focus on such individuals under the FCPA. Consult the **Corporate Anti-Bribery Policy** for guidelines regarding interactions with such officials, both directly or via third parties (*e.g.*, sales agents or customs agents), and particularly any payments to or expenditures involving such individuals.

## Business Across Borders

### *Import Controls*

We rely on accurate import records. Specifically, these records should show the correct classification and valuation of imported items. All additional import documentation should be accurate and comply with applicable regulations.

#### Guidance ▶



*U.S. laws and regulations restrict the export of certain products, services, technical data and software to other countries, and the re-export of such items from one non-U.S. destination to another. U.S. export laws also prohibit the export or re-export of products to a prohibited country, to a prohibited person, or for a use prohibited by export laws. All employees must comply with all Chart-issued export compliance policies, manuals and directives.*

### *Export Controls*

Many countries have laws that restrict exporting products and technology, especially any items used for direct military purposes. The definition of export can be broad and complicated. For example, an export can include electronic transmission of intellectual property, like drawings and knowledge, even between Chart employees located in different countries. We are responsible for complying with **Chart's Trade Law Policy**, which is designed to ensure compliance with export and other trade laws. We should contact an Ethics Representative for questions on specific transactions.

### *Sanctions*

The United States and European Union have implemented a series of various laws and regulations that prohibit business transactions that involve certain countries (such as Iran and North Korea), regions (such as the Crimea region of Ukraine), and individuals named on a sanctions list. As described in the **Trade Law Policy**, Chart has implemented screening procedures to ensure that it does not do business with any restricted parties. If you have a concern about the permissibility of a specific transaction or counterpart due to U.S. or other sanctions, you should contact an Ethics Representative.

### *Money Laundering*

Individuals involved in narcotics trafficking, terrorism-related or other illicit activities may attempt to use a legitimate business to process illegally obtained funds, a practice called "money laundering." Most countries forbid money laundering. To protect Chart's interests, we should always conduct business only with reputable suppliers and customers and be reasonably aware of the underlying basis of any business transactions.

### *Embargoes and Boycotts*

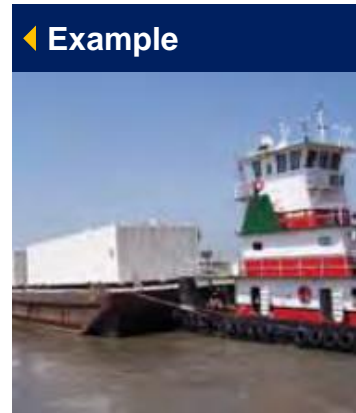
Many countries forbid the restriction of business with certain countries, their companies and citizens. As a U.S.-based company, we are obligated to comply with U.S. guidelines, which may prohibit U.S. companies from cooperating with restrictive trade practices or economic embargoes that other nations impose. We should refer any embargo-related requests to an Ethics Representative.

### Protecting Others' Business Information

Occasionally, suppliers and customers will provide their proprietary information to us as part of a joint project. For example, we may help develop new uses for a supplier's raw material or we may create a proprietary design for a customer. Consistent with our commitment of respect and privacy, we must treat this information confidentially, protect it from improper disclosure, and only disclose it to others if authorized.

### Environmental Protection

Chart appreciates the opportunity to be a part of a local community, and we care about our impact on these communities. Chart follows the spirit as well as the stated requirements of environmental laws and regulations. We are committed to reducing our environmental impact wherever economically feasible.



#### ◀ Example

*Due to the Arab League's boycott of Israel, letters of credit from banks located in the Middle East may require that no part of the items purchased be manufactured in Israel or be transported on an Israeli vessel. U.S. law prohibits complying with these requirements.*



# ▶ Integrity toward Our Investors

*Chart investors count on us to achieve growth in company sales and profit, which supports the company value of actively seeking profitable growth. To meet investors' expectations and to comply with our obligations as a U.S. public company, we ensure honesty and accuracy in our financial systems, make wise use of Chart resources and demonstrate our unwavering commitment to act for the company with integrity.*

*The following requirements also apply to Chart's non-U.S. majority-owned subsidiaries and affiliates, as their financial reporting is incorporated into Chart's financial systems and securities filings, and because they are subject to the FCPA.*

## Integrity of Financial Systems and Filings

As a publicly listed company, the markets and our investors rely on Chart's obligation to submit accurate and honest reports to comply with securities regulations. Chart also depends on accurate reports, such as production and sales records, to help run the business. We all have an important role in providing information for, preparing and filing these reports. In addition, **Chart's Corporate Anti-Bribery Policy** includes detail on the applicability and relevant requirements of the FCPA for public companies, such as Chart.

### *Accurate Books and Records*

Each of us is responsible for ensuring that all recordkeeping is accurate and timely and that all records and accounts accurately and fairly reflect transactions in reasonable detail and in accordance with applicable accounting practices and policies. Time cards, inventory counts, expense reports and the financial books of account are all examples of such records.

## ◀ Examples

*Three requirements are particularly important here:*

- *We must not intentionally misrepresent Chart's financial performance or otherwise intentionally compromise the integrity of Chart's reports, records, policies or procedures.*
- *We are expected to cooperate with both internal auditors and our independent auditors in their reviews of our financial systems and records.*
- *The Audit Committee of the Board of Directors plays an important role in ensuring the integrity and accuracy of Chart's financial systems and reports. The CEO and senior financial officers are expected to promptly bring evidence of inaccurate disclosures, deficiencies in internal controls or fraud to the attention of the Audit Committee.*

*If any of us becomes aware of a problem related to one of the above issues, we can use the Ethics Hotline to raise this matter to the Audit Committee's attention.*

### *Filings*

We use these detailed records to prepare financial reports and other documents, which we then submit to regulatory authorities, including the U.S. Securities and Exchange Commission (SEC) and the New York Stock Exchange, the exchange where our stock is listed. We should take extra care to make sure that these filings are full, fair, accurate, timely and understandable.

### *Financial Systems*

Chart follows strict accounting principles, standards and procedures as called for in applicable legislation, such as the U.S. Sarbanes-Oxley Act, and generally accepted accounting principles. As a result, Chart's goal is always to prepare its financial statements with accuracy and integrity. In all countries where Chart operates, we should follow the same strict principles, standards and procedures since results from these countries are an integral part of the overall Chart reporting system.

Employees who work in finance and accounting ensure that all company units and our co-workers follow all controls and procedures. If we observe or suspect incorrect use of the procedures, or their dishonesty or abuse, we must report the situation immediately via the Chart Ethics Hotline.

### *Internal Controls*

Chart has implemented, and the Chief Financial Officer (CFO) is responsible for maintaining, a system of internal accounting controls sufficient to provide reasonable assurances that:

- ▶ Transactions are executed in accordance with management's general or specific authorization;
- ▶ Transactions are recorded as necessary to: (a) permit the preparation of financial statements in conformity with generally accepted accounting principles or any other applicable criteria, and (b) maintain accountability for assets;
- ▶ Access to assets is permitted only in accordance with management's general or specific authorization; and
- ▶ The recorded accountability of assets is compared with the existing assets at reasonable intervals and appropriate action is taken with respect to any differences.

## Communications with Outside Parties

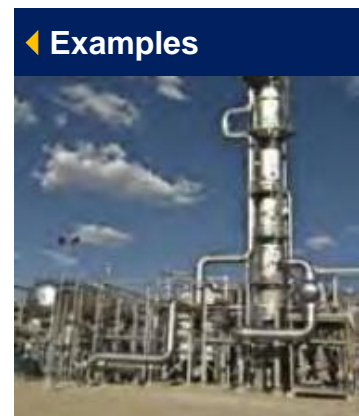
As a publicly traded company, Chart is obligated to provide disclosure of certain significant information to the public. Chart has designated specific individuals to serve as official spokespersons for the company. These spokespersons use all reasonable efforts to provide complete, accurate, objective, relevant, timely and understandable answers to all inquiries. Other employees should not respond to any requests for company information from investors, reporters, financial analysts, friends or others but refer these requests to the designated spokespersons.

All communications made to public audiences on behalf of Chart, including formal communications and presentations made to investors, financial analysts, industry groups or the press, require prior approval of the Chief Financial Officer or his designee. However, if you believe that any disclosure is materially misleading, or if you become aware of any material information that you believe should be disclosed to the public, it is your responsibility to bring this information to the attention of the Chief Financial Officer or General Counsel or designee, which you may do directly or through an Ethics Representative.

## Insider Trading

At Chart we understand the importance of acting with honesty and respect for the company. One implication of this commitment is that we cannot purchase or sell securities of Chart or a business partner if we know important information about that company that has not been made public. Such a purchase or sale, further detailed in **Chart's Insider Trading Policy**, is called "insider trading" and is illegal in most countries. In addition, we cannot provide this information to another individual who is likely to trade the company's securities based on this information, a practice called "tipping." This type of conduct violates company policy and may be subject to criminal prosecution.

All employees of Chart have a responsibility to be familiar with and comply with **Chart's Insider Trading Policy**. Be aware of whether you know material, non-public information about either Chart or a business partner and are therefore restricted from trading that company's securities.



*Potential insider information can include:*

- *An upcoming multi-million-dollar contract with a new customer;*
- *A major acquisition; or*
- *A significant new product line that has not been publicly announced.*

## Guidance ▶

*In some countries, the local culture views hiring and supervising family members differently than in the United States. Country managers should contact an Ethics Representative with questions about hiring family members of current employees.*

*Chart may hire more than one member of a family if each person is well qualified to meet a specific hiring requirement. However, we should not directly or indirectly supervise the job performance of a relative.*

## Examples ▶



- *We are not allowed to use ideas or opportunities we discover on the job for personal gain.*
- *We should never compete with Chart.*
- *Chart should not conduct business with our family members or close friends without specific authorization.*

## Conflicts of Interest

We demonstrate integrity with each other, to our business partners, and to our investors by making business-related decisions based on business and not personal considerations. This commitment to integrity is jeopardized when our personal activities conflict, or merely appear to conflict, with Chart's interests. Chart will investigate all potential and actual conflicts of interest.

### *Making Decisions Based on Chart's Best Interests*

We may not place personal considerations, such as relationships, favors or financial considerations, ahead of business considerations when deliberating or making business decisions for Chart. If a personal circumstance could conflict with or could be perceived as being in conflict with Chart's interest, contact an Ethics Representative.

### *Outside Activities and Financial Interests*

Our loyalty to Chart is important since the company is our principal source of employment. We should avoid additional work, either paid or unpaid, that diverts our commitment to Chart or impairs our ability to be objective in performing our work. If you have any concerns about such an issue, you should discuss the matter with your manager or an Ethics Representative.

We should also avoid financial interests in suppliers, customers and competitors unless these are securities of a publicly traded company or held through an investment where we do not control the trading of individual securities, such as a mutual fund.

## Responsible Use of Company Assets

To meet our commitments to investors and Chart, we should make responsible use of all Chart assets. These assets include physical assets, computers and other electronic systems and intangible assets, such as business information.

### *Physical Assets*

We should carefully and safely use tools, equipment, supplies and inventories. We should never damage equipment or use manufacturing supplies for personal use like home improvement projects.

### *Computer and Electronic Resources*

Chart's computers and communication equipment, including phones and information systems, email and Internet connections, are meant for business purposes. When we communicate using these systems, we should do so professionally. We are allowed to make very limited personal use of equipment such as the phone, email or photocopier only with our manager's approval and, in some cases, after a private use agreement is signed. Where allowed, Chart may access computers, communication equipment, including phones and information systems, such as email and internet connections for security purposes and to obtain its proprietary information, if strictly necessary, and may monitor, where allowed, our activity to ensure employees are not misusing these resources. Additionally, personal data (such as email addresses, IP addresses and other identifiers) is processed when Chart's computers and communication equipment are used. All employees of Chart have the responsibility to be familiar with **Chart's Electronic Communications Policy**, **Chart's Mobile Device Policy and Program** and **Chart's Privacy Policy**.

### *Confidential Company Information*

Chart's non-public information is a valuable company asset. Certain information is especially critical, and we should treat it as confidential. Examples may include financial information, corporate developments and plans, marketing strategies, customer and supplier lists (which may also contain personal data and may therefore be subject to strict data protection requirements), new product plans and product or process designs. We should discuss confidential information with our co-workers only on a "need-to-know" basis. We must safeguard confidential information during and after our employment with Chart from disclosure outside Chart, except when doing so for Chart's business purposes with appropriate steps to prevent misuse of information, or if required by law.

### *Intellectual Property*

"Intellectual property" is information or knowledge created for Chart and which the company owns and protects through patents, copyrights, trademarks or service marks. Certain intellectual property, called "trade secrets", is critical to the company's operations and success. We are expected to be vigilant during and after our employment with Chart in maintaining the confidentiality of these trade secrets to properly safeguard their value to Chart. Our individual work product, such as an improved manufacturing process or a patentable invention, belongs to Chart.

## Community and Political Involvement

Chart encourages us to become involved in the local community. In doing so, and reflecting our responsibility to the company, we should not associate Chart with any particular cause, candidate, political party or issue. In addition, we should respect Chart assets and not use any company resources such as our work e-mail or company computers or photocopiers to support these activities.

Chart must comply with all laws relating to political contributions and lobbying expenditures. Any direct or indirect contributions to, or expenditures incurred on behalf of, any political party or candidate for political office in any country by the company (or by any employee on behalf of the company) are prohibited unless approved in advance by an Ethics Representative.

Charitable and political contributions moreover present corruption risk, as they may serve as a conduit for an improper payment, particularly if a contribution is requested by a government official or a business partner. **Chart's Corporate Anti-Bribery Policy** includes detailed guidelines for charitable and political contributions.

# ► Resources to Get Advice and Report Concerns or Misconduct

*We should seek answers for questions related to ethics and compliance. We must also report concerns regarding possible misconduct or actual violations of the law, the Code or other Chart policies.*

## Examples ►



*In our day-to-day work, we may encounter various ethical issues. For instance:*

- *We may need advice to decide if an action is legal or ethical.*
- *We may observe misconduct.*
- *We may observe activities that could damage Chart's reputation.*

If your concerns relate to accounting, internal controls, or auditing matters, you should contact the Audit Committee directly or through the Ethics Representatives or the Chart Ethics Hotline.

Employees must cooperate in internal investigations of misconduct when requested to do so by the Legal Department or the Board of Directors.

## Resources

Chart has several resources to address ethics and compliance issues.

1. Read the Chart policies that relate to important topics. Policies provide additional details and are accessible on SharePoint in the Corporate Governance section.
2. Speak to your supervisor or other manager within your organization.
3. Email the Chart Ethics Representatives: [ethics@chartindustries.com](mailto:ethics@chartindustries.com).
4. Contact the Chart Ethics Hotline:
  - a. Voicemail: 1-800-868-8541 in the United States. (For toll-free numbers outside the United States, please visit [www.ethicspoint.com](http://www.ethicspoint.com)).
  - b. Web Interface: [www.ethicspoint.com](http://www.ethicspoint.com)

## Reporting and Cooperation Obligations

Employees should report violations of applicable laws, rules and regulations, this Code, or any other Chart code, policy or procedure to the appropriate personnel listed above or to the Chart Ethics Hotline.

## Confidential Reporting

The company treats all reports of ethics or compliance concerns, including contacts to the Ethics Hotline, as confidential. Management shares information only with those involved in the investigation of any alleged misconduct. In rare cases, Chart may need to provide information regarding a report of suspected misconduct as part of a legal investigation or for business purposes, in which case it will do so, and it will seek to provide notice to affected employees to the extent possible.

## Anonymous Reporting

The Ethics Hotline allows us to report a concern anonymously, if we prefer. Be advised that some concerns cannot be fully investigated without the identity of the person reporting the concern.

## Non-Retaliation

Chart prohibits retaliation and threats of retaliation against any of us who, in good faith, reports a possible incident of misconduct. Please report any and all instances of retaliation or threats of retaliation against you or any co-worker. Chart will investigate reports of suspected retaliation and will discipline responsible individuals. Every employee is also protected by **Chart's Whistleblower Policy**.

## Outcomes

Chart has a process for conducting investigations of alleged incidents of misconduct. Information related to an investigation is shared only with individuals involved in the investigation. The purpose is to determine the accuracy, severity, frequency and intent of the misconduct. Based on the investigation's findings, the General Counsel or designee will decide whether misconduct occurred and the appropriate disciplinary action, including termination of employment, if appropriate. Adherence to the principles of the Code is a condition of employment with Chart. Where laws have been violated, the company may report violators to the appropriate authorities. In some situations, the responsible individual also may be subject to civil or criminal prosecution. If Board members or company officers are involved in allegations of misconduct, the Board will follow established procedures for conducting the investigation and determining disciplinary measures.



*Employees are required to promptly report violations or suspected violations of the Code using the resources listed on the preceding page.*



## ▶ Decision-Making Guidelines

*As comprehensive as this Code is, it cannot discuss or address all possible ethics issues. In some situations, an employee may find that the proper steps to take are unclear. At other times, standards may seemingly conflict. In these situations, ask yourself these questions to identify the right decision to make:*

- ▶ Do I have all the facts related to the situation or decision?
- ▶ Would the decision that I am considering meet all relevant laws and regulations?
- ▶ Would the decision meet the requirements of company policies?
- ▶ Would the decision be consistent with Chart's commitment to integrity and our other values?
- ▶ Would the decision be consistent with this Code?
- ▶ How would the decision be perceived by the media, our investors and regulators who oversee our business operations?
- ▶ Would the decision be the right thing to do when compared to broadly accepted values?

*If the right decision is still not clear or you are concerned or not fully comfortable making a certain decision or taking a certain action, please seek guidance from one of the resources listed on page 23. You do not have to make this decision alone.*

(Revised January 2021)