



Code of Conduct

There are audio and video elements within this course.



AUDIO



MENU



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Menu Bar

Audio button to turn course audio on and off.

Menu button to return to the home screen.

More button to view the menu options available.



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Navigation

Use the arrow buttons to navigate forward and back through a topic. To complete a topic, visit every screen and pass the end-of-topic assessment. Certification unlocks when all other topics are complete.



Additional Content

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Video

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BNSF Code of Conduct

As leaders and representatives of BNSF, we are accountable for our actions and are responsible for promoting honest and ethical conduct. We should be proud of our heritage, be confident in our future, and take the necessary steps to help ensure we preserve our reputation. Our continued success depends on it.

The Code of Conduct plays an important role in our ongoing ethics and compliance efforts and is an integral part of our Vision & Values. Together, our Code of Conduct, Vision & Values and Leadership Model call on employees to act professionally at work, with integrity and honesty, while always showing respect for others.

BNSF fosters an inclusive work environment where all employees have the opportunity to leverage their unique backgrounds and diverse perspectives to contribute to BNSF's success.

BNSF Vision: Our vision is to realize the tremendous potential of BNSF by providing transportation services that consistently meet our customers' expectations.

BNSF Values: Our values include Style, Shared Values, Community, Liberty, Equality, and Efficiency.

BNSF Leadership Model: The Leadership Model consists of five key tenets:

- Create a Compelling Vision
- Model the Way
- Lead More, Manage Less
- Communicate, Communicate, Communicate
- Make Development a Priority

Select the Next arrow to continue.



At BNSF, It Matters

BNSF Railway Company is a wholly-owned subsidiary of Berkshire Hathaway Inc.; therefore, BNSF exempt employees must also comply with the Berkshire Code of Business Conduct and Ethics. BNSF has aligned our Code of Conduct with Berkshire's so that when you comply with the BNSF Code of Conduct, you also comply with Berkshire's Code of Business Conduct and Ethics.

This course includes an overview of important topics that are covered in more detail within applicable BNSF Policies and Corporate Rules.

Regardless of role or location, each of us has a responsibility to act in ways that promote a culture of mutual trust and respect, recognize and mitigate risks to our organization, and do the right thing safely and efficiently.

At the end of the course, you must report any potential conflicts of interest, including members of your family or household who are BNSF employees or who work for companies that do business with BNSF.

Select the Next arrow to continue.

Our Code of Conduct

BNSF's Code of Conduct is a valuable resource that can help us identify problems before they arise and can provide support when we aren't sure what to do in a specific business situation. For more information on a topic, refer to BNSF Policies and Corporate Rules. The most current version of each BNSF Policy and Corporate Rule is on the My BNSF Compliance and Audit site, under [Company Policies](#). For help locating a Policy, ask your supervisor or contact a member of Compliance.

BNSF takes seriously any behavior that is unethical, illegal or in conflict with BNSF Policies, Corporate Rules or the Code of Conduct. Any BNSF employee who is aware of such conduct must immediately report the behavior to his or her supervisor, Human Resources representative, the Vice President Compliance and Audit, or the BNSF Hotline at 800-533-BNSF or brk-hotline.com.

BNSF will promptly and thoroughly investigate all reported complaints to determine whether improper conduct has occurred. Employees are expected to fully cooperate with BNSF in any investigation. The confidentiality of complaints will be maintained to the extent possible while allowing BNSF to conduct a thorough investigation. Following an investigation, BNSF will take corrective action, if warranted under the circumstances, as determined by BNSF in its sole discretion. Retaliation for good-faith reporting of an apparent or actual violation or for participating in any investigation of a suspected violation is strictly prohibited. This Code of Conduct is not a contract for services and does not alter the employment-at-will relationship between BNSF and its employees.

Select the Next arrow to continue.



A Message from BNSF President and CEO

For more than 170 years, our railroad has been the backbone of the American economy, consistently delivering the essential goods that our families, our friends, and our communities count on. In that time we have proven that, together, we can overcome obstacles and persevere through change and challenge. We can take pride in our accomplishments and in knowing what we do matters.

At BNSF, we hold ourselves to a higher standard in our daily interactions with our communities, our customers and our suppliers. Our shared commitment to that standard is embodied in our Vision and Values, our Leadership Model, as well as the Code of Conduct.

Our Code of Conduct is an integral part of our culture of ethics and compliance. It helps safeguard our reputation by outlining expectations for all of us at BNSF. It's also a vital resource we can use when faced with ethical questions. I encourage you to review the Code carefully and use it as a reference throughout the year.

After you complete the Code, you will be asked to report any relationships and activities that may present a conflict of interest. This disclosure tool remains available throughout the year so you can make updates as needed.

As always, each of us has the right and the responsibility to speak up about behavior that is illegal, unethical, or conflicts with our Vision and Values. If you're ever faced with a difficult situation and unsure about the appropriate course of action, please contact your supervisor or one of the contacts referenced in the Code.

We have accomplished so much at BNSF, yet I'm confident that our brightest days are still ahead of us. Together, we can build on our successes and shape our future in a way that makes us all proud to be a part of this great railroad. Thank you for all you do and for your continued commitment to BNSF.

Katie Farmer
BNSF President & CEO

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Using the Code of Conduct

The Code of Conduct is designed to help support you in your day-to-day decision-making. It also embodies our commitment to one another about how we will maintain a professional environment. The Code clarifies what we consider appropriate and inappropriate behavior.

Our Code of Conduct, Policies, and Corporate Rules are available to all employees by clicking the down carrot on the "Sites" tab on the banner of the Employee Portal, and selecting "Compliance and Audit" under the "Departments" option. Click [here](#) for a list of individuals you may contact if you have any questions or issues you wish to raise about the Code of Conduct.

Select each question to learn more.

+ Why do we need a Code of Conduct?

+ When will I need to use the Code?

+ What is my role?



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● Why do we need a Code of Conduct?

The Code of Conduct provides practical guidance on working together to achieve our tremendous potential. The Code helps us think broadly about risks and opportunities so we can act decisively and achieve results ethically and in compliance with applicable laws.

+ When will I need to use the Code?

+ What is my role?



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✔ Why do we need a Code of Conduct?

● When will I need to use the Code?

Refer to the Code of Conduct if you are unsure about the appropriate course of action in a given situation. Remember, the Code of Conduct provides guidance and cannot anticipate every situation.

Situations may arise in which the right course of action isn't clear. In those situations, review the principles in the Code, think about how they apply to the situation, and speak to your supervisor to determine the appropriate course of action.

If you need to further discuss a challenging situation, you can find out who you need to contact [here](#).

⊕ What is my role?



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Select each question to learn more.

☒ Why do we need a Code of Conduct?

☒ When will I need to use the Code?

☐ What is my role?

You are responsible for reading, understanding, and following our company's Code of Conduct. You must also be aware of the laws, regulations, Policies and Corporate Rules applicable to your position.

You should know who to contact if you have a question or need to report inappropriate conduct. If you don't know who to contact, you can find out [here](#).

Select the Next arrow to continue.



Sold Out Concert




Marti's brother works for a popular concert venue. Marti's supervisor, Ronald, asks Marti if her brother could get him two tickets to a sold-out concert. Ronald's daughter has been begging him to take her to the concert as a birthday gift.

Ronald says to Marti, "If you can get two tickets from your brother, I'll make sure you get some extra vacation time later in the year."

Your colleague needs your help!



What should Marti do?

-  See if she can get the tickets. It won't harm anyone if she gets the tickets, and it could mean a nice vacation.
-  Politely and unequivocally decline. She should then report the request to Human Resources or Compliance.
-  Hand in her resignation. She can't work for a company that employs people like this.

Submit >



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Submit >



Remember...

If you are asked to do something that you think may breach our Code of Conduct, the best course of action is to politely and unequivocally decline.

If you're comfortable doing so, you might even explain that you don't think that course of action would be permitted under our Code of Conduct.

You should also consult the Code of Conduct to determine whether to report the incident.

Select the Next arrow to continue.





Paying for Lunch

Dave met a friend for lunch at a local restaurant near his home. When he finished, his friend said:

“You should charge lunch to your company credit card and put it on your expense report since you spent most of the time telling me about work. Call it a working lunch!”

What should Dave do?

- Refuse to use his company credit card because it was not a legitimate business meeting and he was not traveling on company business.
- Pay for his and his friend's lunch with his company credit card because they discussed work.
- Use the company credit card but split the bill. It's okay to put only his lunch on the company credit card because the meal was during working hours.

Submit >



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Submit >



Remember...

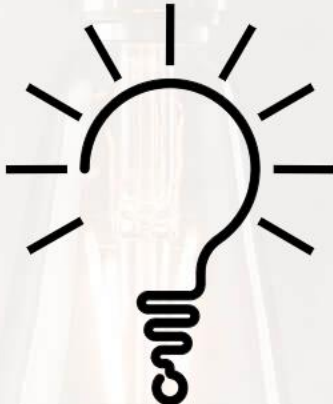
It is inappropriate to charge a **personal** expense to the company.

Even if you discuss work over lunch, you are not allowed to charge lunch to the company, unless it is a legitimate business meeting or you are traveling on company business.

As stewards of BNSF's resources, we are expected to limit business expenses to only those that are reasonable and appropriate. For example, if planning a team-building event, be sure the event is reasonable in amount and choose a location that is consistent with our Vision and Values.

For additional information, see the [Purchasing and Payment Method Policy](#), [Travel and Entertainment Expense Policy](#), and [Gifts and Entertainment Policy](#).

Select the Next arrow to continue.








Just Teasing

Angela overhears her colleague Tony making fun of the accent of their teammate, who grew up in another country.

"I'm just teasing her," Tony says. "I guess she can't take a joke."

What should Angela do?

-  Don't get involved. She doesn't want to be labeled as a troublemaker.
-  Pretend that she didn't hear anything.
-  Report the incident to her supervisor and her Human Resources representative.

Submit >



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- ☒ Report the incident to her supervisor and her Human Resources representative.

Submit >

BNSF is committed to our foundational values of equality and inclusion. As members of the BNSF community, our employees are entitled to:

- be treated with dignity and respect,
- have equal access to tools, resources, training and development opportunities, and
- have equal opportunity to achieve their full potential.

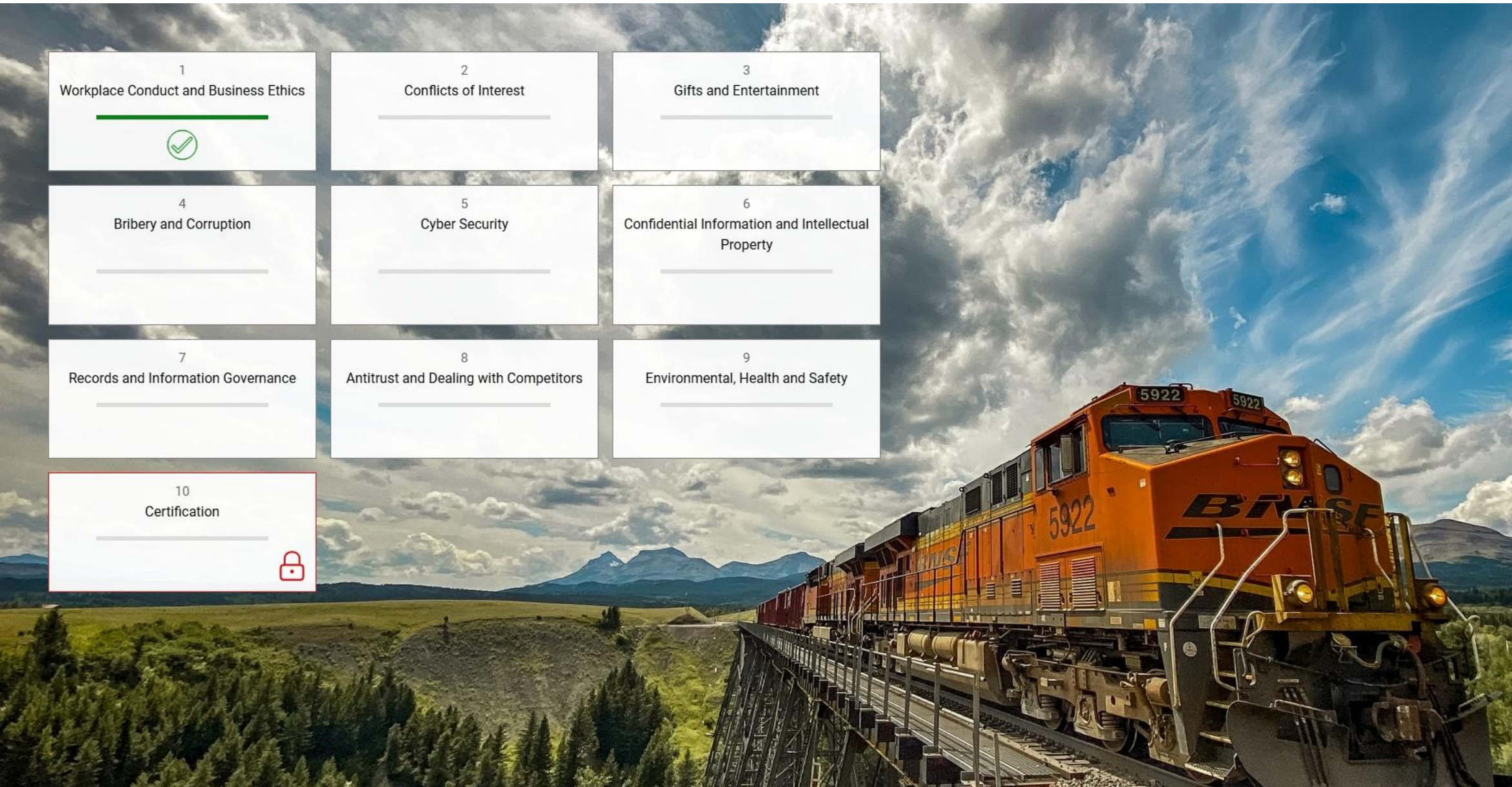
As leaders and representatives of BNSF, each of us must model the way to ensure our actions create an inclusive, open and collaborative workplace that truly encourages diverse perspectives in all interactions.

In addition, each of us has a duty to report behavior inconsistent with our commitment to equality and inclusion.

You can find out who you should escalate issues to [here](#). For additional information, see the [Anti-Retaliation Policy](#) and [Equal Employment Opportunity, Anti-Discrimination and Harassment Policy](#).

Select the Next arrow to continue.





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Workplace Conduct and Business Ethics

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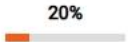
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Learning Progress



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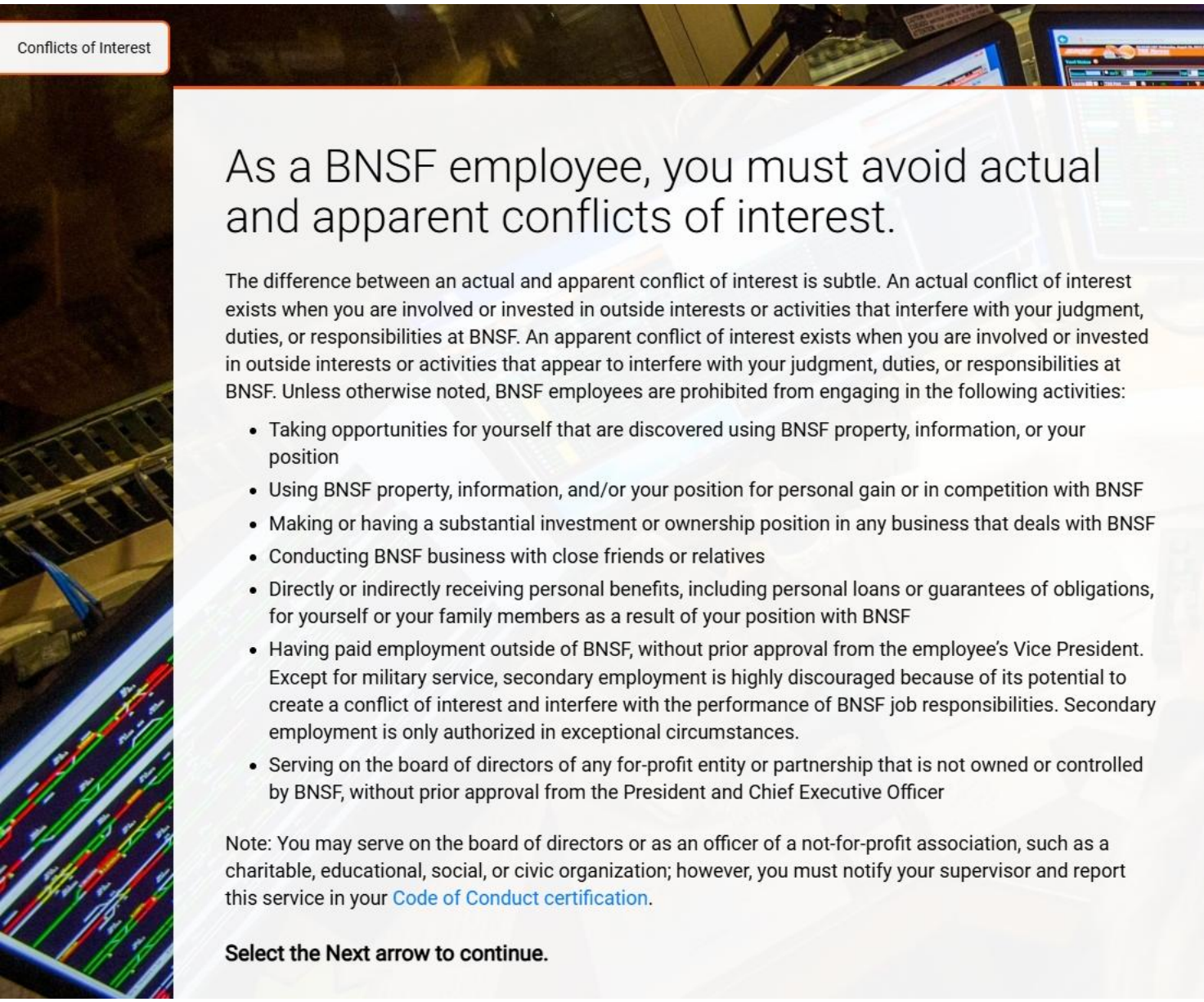
As a BNSF employee, you must avoid actual and apparent conflicts of interest.

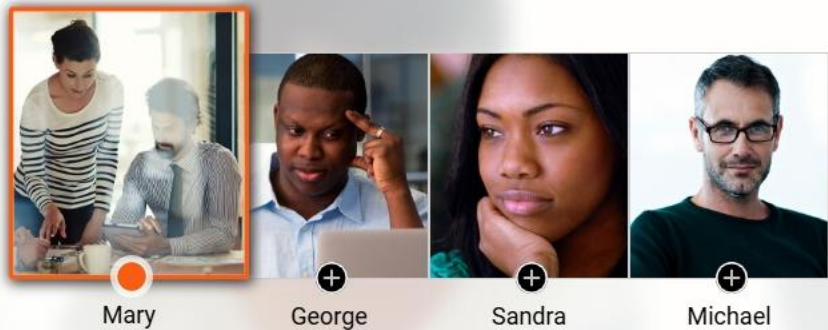
The difference between an actual and apparent conflict of interest is subtle. An actual conflict of interest exists when you are involved or invested in outside interests or activities that interfere with your judgment, duties, or responsibilities at BNSF. An apparent conflict of interest exists when you are involved or invested in outside interests or activities that appear to interfere with your judgment, duties, or responsibilities at BNSF. Unless otherwise noted, BNSF employees are prohibited from engaging in the following activities:

- Taking opportunities for yourself that are discovered using BNSF property, information, or your position
- Using BNSF property, information, and/or your position for personal gain or in competition with BNSF
- Making or having a substantial investment or ownership position in any business that deals with BNSF
- Conducting BNSF business with close friends or relatives
- Directly or indirectly receiving personal benefits, including personal loans or guarantees of obligations, for yourself or your family members as a result of your position with BNSF
- Having paid employment outside of BNSF, without prior approval from the employee's Vice President. Except for military service, secondary employment is highly discouraged because of its potential to create a conflict of interest and interfere with the performance of BNSF job responsibilities. Secondary employment is only authorized in exceptional circumstances.
- Serving on the board of directors of any for-profit entity or partnership that is not owned or controlled by BNSF, without prior approval from the President and Chief Executive Officer

Note: You may serve on the board of directors or as an officer of a not-for-profit association, such as a charitable, educational, social, or civic organization; however, you must notify your supervisor and report this service in your [Code of Conduct certification](#).

Select the Next arrow to continue.





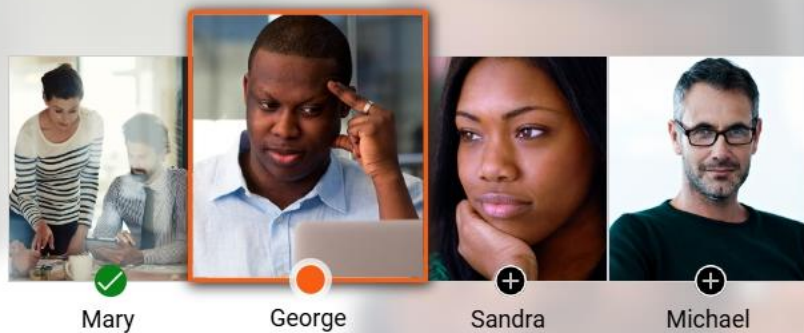
Dealing with Conflicts of Interest

Select each image to learn how these people deal with conflicts of interest.

Mary

"My team was tasked with sourcing a new supplier. One of the bidders turned out to be my brother-in-law.

I knew I couldn't give him the contract without disclosing the connection, as even the perception of a conflict of interest could affect my and my company's reputation."



Dealing with Conflicts of Interest

Select each image to learn how these people deal with conflicts of interest.

George

"I used the information I learned at BNSF to create a new invention in my spare time. I applied for a patent so I could market my invention to other companies in the railroad industry.

I should have disclosed my invention to the Vice President and General Counsel in the Law Department as early as possible. The Law Department could have helped me avoid a conflict of interest."



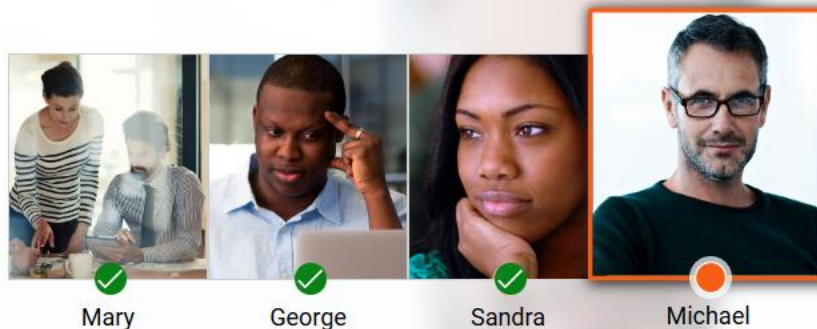
Dealing with Conflicts of Interest

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Sandra

"I started dating someone in my department, and we were confident it would not impact our job responsibilities. We notified Human Resources about our relationship.

Human Resources worked with our leadership to put safeguards in place to avoid an unacceptable conflict of interest."



Dealing with Conflicts of Interest

Select each image to learn how these people deal with conflicts of interest.

Michael

"My friend invited me to be a partial owner and operator of a new restaurant he's opening. I explained that I couldn't because the time commitment would mean my BNSF job duties would suffer. He said, 'I know how you can get some time off work: tell your boss you've got a medical issue and that you need to go on leave for a few months.'

I won't compromise my integrity — or my job performance — for an outside business opportunity."

Select the Next arrow to continue.






Conflicts of Interest

Contract Renewal

Jennifer is renewing a contract with a vendor. The vendor, a small fast-growing business, has just asked Jennifer's father-in-law to become its regional sales manager.



Should Jennifer disclose this?

-  No, the company is an existing vendor, so the family connection is irrelevant.
-  Yes, an exempt BNSF employee should always disclose a family connection with a vendor so the relationship may be evaluated for a potential conflict of interest.
-  No, Jennifer is not involved in sourcing vendors, only signing and renewing contracts, so she does not need to disclose the family connection.

Submit >



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- ☒ Yes, an exempt BNSF employee should always disclose a family connection with a vendor so the relationship may be evaluated for a potential conflict of interest.
- ☐ No, Jennifer is not involved in sourcing vendors, only signing and renewing contracts, so she does not need to disclose the family connection.

Submit >



Remember...

A potential conflict of interest exists when an employee authorizes, or causes another to authorize, a business transaction with a relative or an organization with which the employee or relative is associated. Failing to timely disclose a connection you or your family have with a BNSF customer, vendor, supplier, or contractor can create the appearance of unethical behavior and can result in disciplinary action, up to and including termination of employment.

Within BNSF, employees are prohibited from participating in or allowing the following situations:

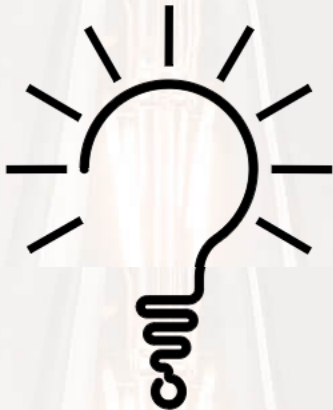
- directly or indirectly supervising a relative or someone with whom they have a romantic relationship
- having the authority or practical power to supervise, appoint, remove, or discipline a relative or someone with whom they have a romantic relationship
- having the authority or practical power to authorize or approve time or expenses for a relative or someone with whom they have a romantic relationship
- having the responsibility of auditing or evaluating the work or work product of a relative or someone with whom they have a romantic relationship

BNSF also reserves the right to prohibit other situations where two employees involved in a personal relationship create actual or potential conflict with BNSF interests, such as an employee in a relationship with a customer, vendor, supplier, or contractor. Therefore, employees must disclose the existence of any such personal relationship. Disclosures can be updated by going to the [Code of Conduct & Conflict of Interest Disclosure](#) under the Compliance and Audit Site and clicking on "Update any conflicts of interest". This disclosure enables BNSF to determine whether any conflict of interest exists.

Employees involved in a personal relationship in conflict with BNSF's best interests are subject to reassignment. If there are no comparable positions available for reassignment, one of the employees may be required to take a position that is not comparable or terminate employment.

The Company has no responsibility to accommodate matching vacation schedules or working hours for employees involved in a personal relationship, or otherwise give their status greater consideration than that given to other employees.

Select the Next arrow to continue.





Hiring Decision

Ernest is a leader in Engineering and his son is applying for a position in Marketing. His son is a hard worker, but he does not meet the basic qualifications for the job. Ernest believes his son would be a good fit for the position anyway and wants to help him get the job.

What should Ernest do?



Provide his son encouragement but avoid any action that would influence or appear to influence the hiring decision.



Call Human Resources and encourage them to hire his son.



Contact the hiring manager to get insight on the interview process and information about other candidates. This information will help give his son an advantage over other candidates.

Submit >



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Submit >



Remember...

Attempting to unfairly influence a hiring decision in favor of a relative is a conflict of interest and is against BNSF Policy.

Employees should avoid any interactions or involvement in the hiring process that could give an unfair advantage to a relative, regardless of the relative's qualifications.

Select the Next arrow to continue.



A conflict of interest is any situation in which personal activities or relationships interfere with an employee's ability to perform his or her job, or to make unbiased decisions on behalf of BNSF.

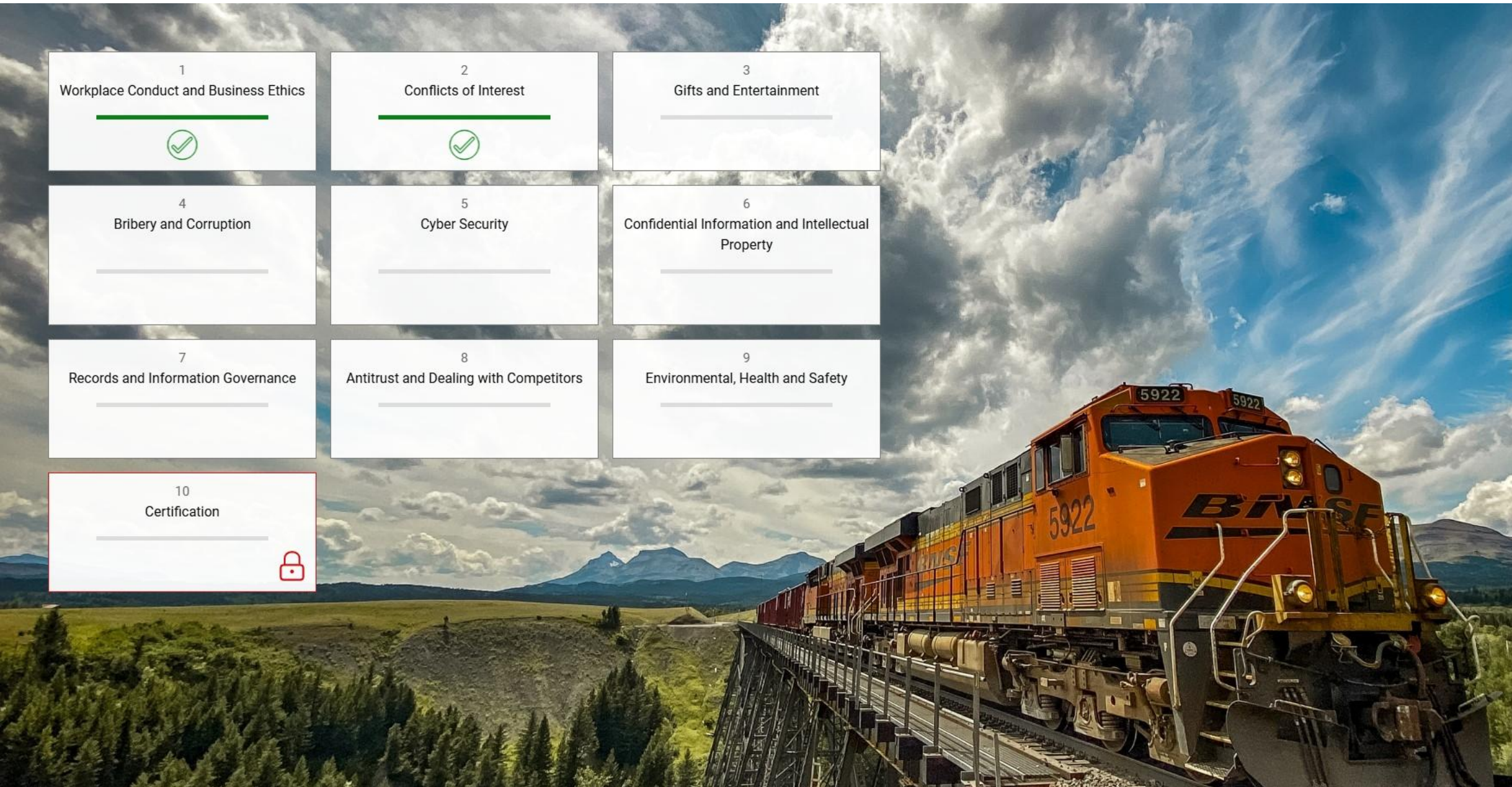
Remember, it's important that you:

- Recognize situations that may lead to a conflict of interest
- Disclose any potential conflict of interest immediately to Compliance
- Follow safeguards provided by Compliance

If you are ever unsure as to whether a situation may lead to a conflict of interest, contact one of the resources [here](#) for guidance.

Select the Next arrow to continue.





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Workplace Conduct and Business Ethics

100%

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2
Conflicts of Interest

100%

✓

3
Gifts and Entertainment

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4
Bribery and Corruption

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Cyber Security

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Confidential Information and Intellectual Property

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Records and Information Governance

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Antitrust and Dealing with Competitors

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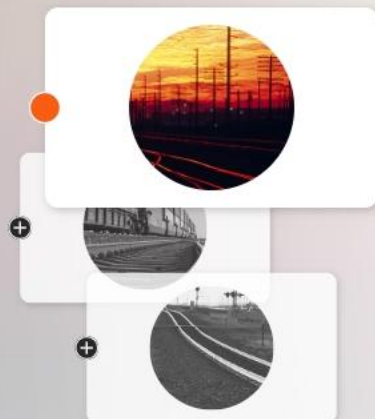


Learning Progress



Time Spent





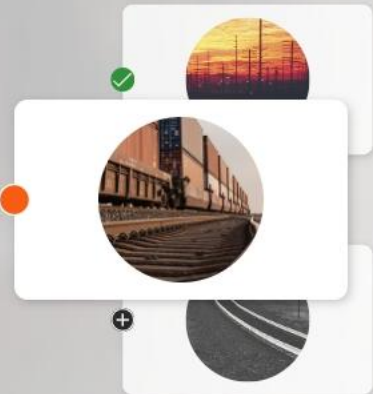
Gifts and Entertainment

Gifts and entertainment are often a part of standard business relationships and can be a customary part of doing business with integrity.

To stay true to our Vision & Values, avoid any appearance of inappropriate behavior, and comply with legal regulations concerning bribery and corruption, we must be careful about the gifts and entertainment that we give and receive.

Wrongdoing in this area can damage BNSF's reputation and result in criminal sanctions in some circumstances. It's also not who BNSF is as a Company. It is imperative that you are familiar with the [Gifts and Entertainment Policy](#) and conduct yourself properly at all times.

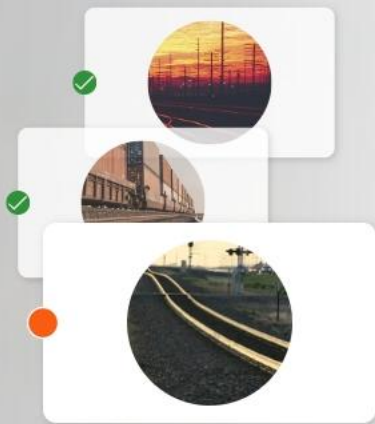
Select each image to learn more.



Danielle

"I am proud of my Company's reputation for fair dealings.

We don't accept anything of value, including cash, gifts or trips, when making business decisions. It keeps the playing field level, and all decisions are made based on merit."



Brendan

"When we host customer events, we offer visitors small gifts, like logo wear and pens, but these are just marketing aids.

We don't give gifts to persuade potential customers; we prefer to show them the value of the service we provide."

Select the Next arrow to continue.









Expensive Wine

One of the vendors that Violet uses has sent her a case of expensive wine. Violet isn't sure if she should accept a gift like this, and you tell her she'll need to consider a few things first before deciding.



What FIVE things should Violet consider?

-  Is BNSF currently in negotiations with the vendor? Check with Strategic Sourcing.
-  Is the vendor's intent to only build business relations, or is it to influence her objectivity? If in doubt, she should discuss with her supervisor.
-  Is the gift something she needs or would like to own?
-  Is she sure that the gift is legal, both in her country and in the country of the other party?
-  Would accepting the gift potentially reflect poorly on BNSF or cause other vendors or her colleagues to question her objectivity?
-  Is it allowed under our [Gifts and Entertainment Policy](#)?

Submit >



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- ✓ Is she sure that the gift is legal, both in her country and in the country of the other party?
- ✓ Would accepting the gift potentially reflect poorly on BNSF or cause other vendors or her colleagues to question her objectivity?
- ✓ Is it allowed under our [Gifts and Entertainment Policy](#)?

Submit >



Remember...

Accepting inappropriate gifts or entertainment could impact the entire Company. Never accept gifts or entertainment that may influence or appear to influence your ability to perform your duties and exercise judgment in a fair and unbiased manner.

Some types of gifts or entertainment are never permissible:

- Gifts that are illegal or could result in a violation of applicable law or damage BNSF's reputation
- A gift of cash or cash equivalent
- Gifts or entertainment that are immoral or sexually-oriented
- Gifts or entertainment, other than a meal incidental to negotiations, from a vendor that is actively engaged in the bid process or negotiating a contract with BNSF
- Gifts given or received in exchange for a personal or business benefit
- Gifts or entertainment that total \$100 or more from a single vendor in a calendar year or are excessive in value under the circumstances (unless approved by a General Director or above)

If you have questions regarding gifts or entertainment, you can find out who to contact [here](#). For additional information, see the [Gifts and Entertainment Policy](#).

Select the Next arrow to continue.



Bring the Family

One of Evelyn's suppliers has arranged for her to fly out to one of their manufacturing facilities to inspect the supplier's operations and understand the supplier's plans for fulfilling existing contract obligations. No new business is being considered between BNSF and the supplier.

The supplier lets her know that she can bring her family along, all expenses paid, and they'll add a few extra days to their accommodations and amusement park tickets for her children.



What course of action should Evelyn take?



Discuss the invitation with a General Director or above in her reporting chain and consult Compliance as needed to determine if the trip is permissible, and to determine what expenses she can allow the supplier to pay.



Do nothing and just go on the trip. She didn't ask for the extra perks; they were offered as a goodwill gesture.



Refuse to visit the facility, as it could look like the supplier is trying to influence her decision with gifts and entertainment.

Submit >

Bring the Family

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The supplier lets her know that she can bring her family along, all expenses paid, and they'll add a few extra days to their accommodations and amusement park tickets for her children.



What course of action should Evelyn take?

- ☒ Discuss the invitation with a General Director or above in her reporting chain and consult Compliance as needed to determine if the trip is permissible, and to determine what expenses she can allow the supplier to pay.
- ☐ Do nothing and just go on the trip. She didn't ask for the extra perks; they were offered as a goodwill gesture.
- ☐ Refuse to visit the facility, as it could look like the supplier is trying to influence her decision with gifts and entertainment.

Submit >



BNSF’s [Gifts and Entertainment Policy](#) requires approval from a General Director or above before accepting gifts or entertainment totaling more than \$100 from a single vendor in a calendar year. Travel lasting more than one day also requires the approval of a General Director or above. Travel to a supplier’s manufacturing location may be permissible as long as BNSF is not in active contract negotiations with the supplier, but in this case the supplier’s offer extends beyond usual and appropriate travel expenses.

This invitation should be discussed with appropriate leadership and Compliance, who can help determine whether the supplier can pay only necessary travel expenses or whether the employee should make travel arrangements through the appropriate BNSF travel options.

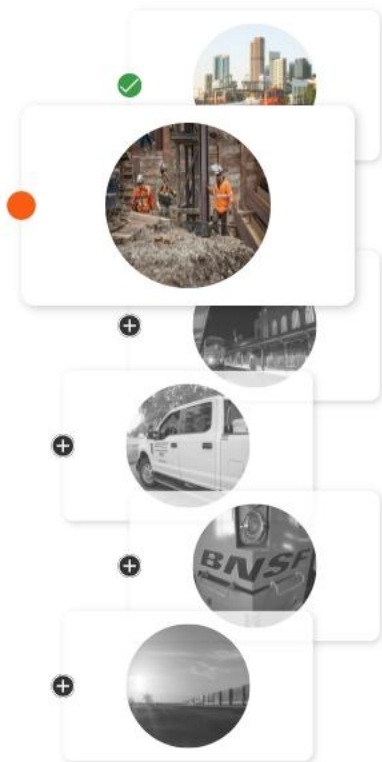
Select the Next arrow to continue.



Purchasing and Payment Methods

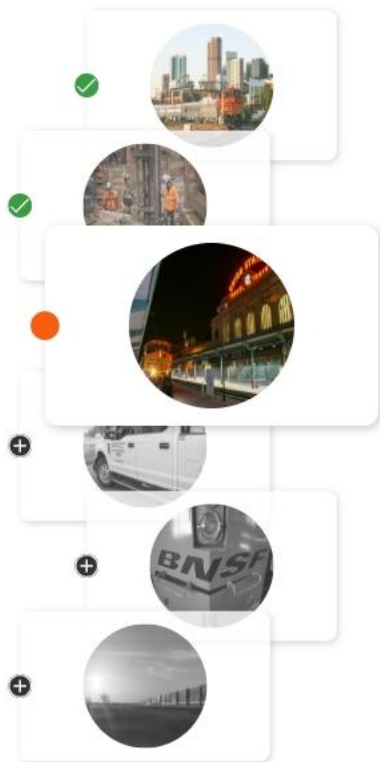
Purchases of materials and services must be made in accordance with the processes set forth on the Purchasing and Payment Portal or with the assistance and approval of Strategic Sourcing. Exceptions include emergency purchases and materials and services that are labeled as "Exceptions" on the Purchasing and Payment Portal.

Payment methods include Procard, Corporate Travel Card, WEX Card, Vendor Payments and One-Time Payments. Select each Payment type to learn more.



Procard

- A Procard is a credit card associated with BNSF provided to certain employees to use in association with their job to purchase approved items.
- Procard transaction limit is \$500 unless an approved increase is temporarily granted. Employees are prohibited from splitting purchases to avoid the set transaction limit.



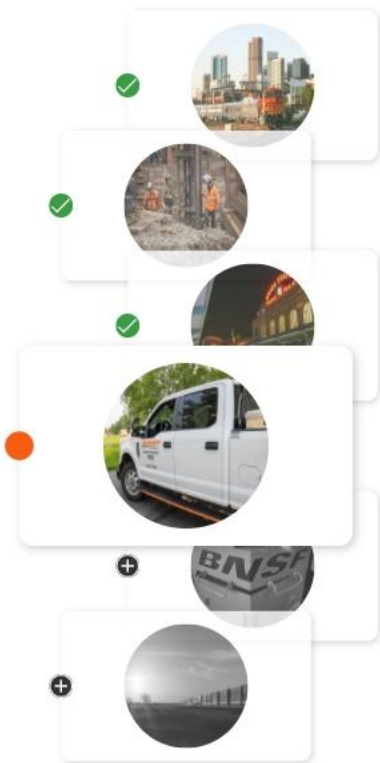
Corporate Travel Card

- A Corporate Travel Card is a BNSF issued credit card used for authorized travel, entertainment and other expenses incurred when conducting BNSF business.
- Corporate Travel Card purchases greater than \$50 and cash out of pocket purchases greater than \$10 require a receipt. Receipts are not required for airport parking or airline baggage fees.
- Personal purchases are prohibited.



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- Personal purchases are prohibited.



WEX Card

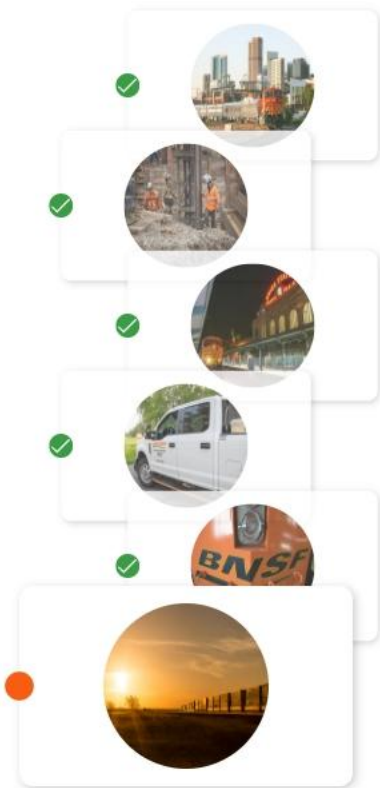
- A WEX Card is a fuel card used to purchase fuel and light repair items for the BNSF Company vehicle to which the WEX Card is assigned.





Vendor Payments

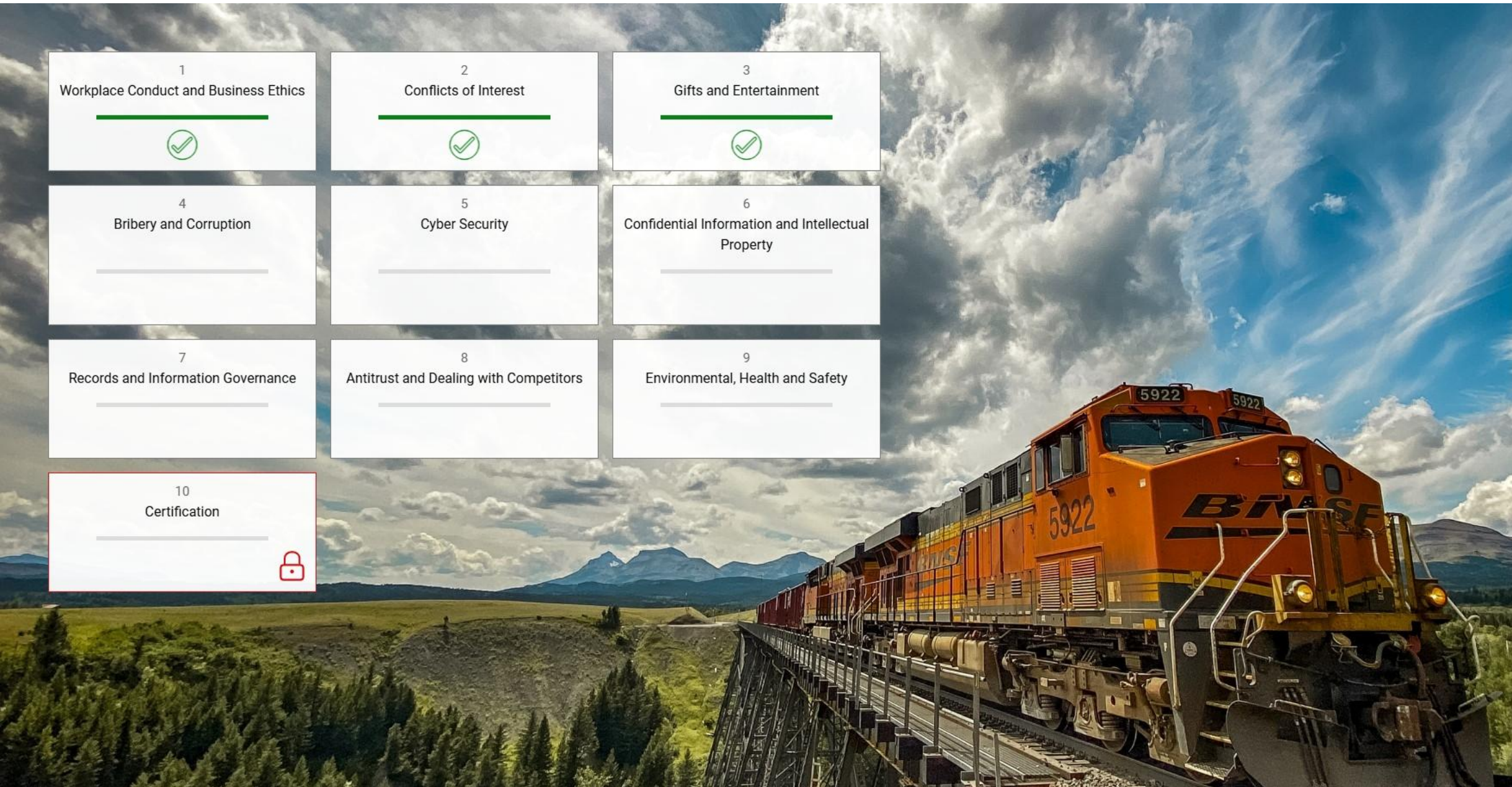
- Payments to authorized vendors using the Vendor Master System.



One-Time Payments

- A one-time payment may be used for a vendor:
 - i. that is not established in the Vendor Master System;
 - ii. who does not accept the Procard or Corporate Travel Card; and
 - iii. who will not be paid for more than two invoices submitted by the same employee in a calendar year.
- A one-time payment may not be used for services performed on BNSF property or for material available in BNSF's material ordering system.
- Vendors who receive more than two payments in a calendar year or otherwise not eligible for a one-time payment must be set up in Vendor Master.

Select the Next arrow to continue.



1

Workplace Conduct and Business Ethics

✓

2

Conflicts of Interest

✓

3

Gifts and Entertainment

✓

4

Bribery and Corruption

5

Cyber Security

6

Confidential Information and Intellectual Property

7

Records and Information Governance

8

Antitrust and Dealing with Competitors

9

Environmental, Health and Safety

10

Certification

Audio On

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Bribery and Corruption

The economic and social effects of this type of corruption are far-reaching. Bribery and corruption can:

- Obstruct local economic development
- Undermine the rule of law
- Weaken trust in local public institutions
- Allow organized crime to flourish

Select each topic to learn more about the consequences of bribery and corruption.

- Bribery and Corruption
- ⊕ Crimes Around the World
- ⊕ Consequences
- ⊕ Our Policy

Crimes Around the World

Bribery and corruption are regarded as crimes throughout the world.

Anti-bribery and corruption laws and regulations govern our behavior at home and abroad.

- Bribery and Corruption
- Crimes Around the World
- ⊕ Consequences
- ⊕ Our Policy

Consequences

Consequences for companies and individuals can include:

- Penalties
- Fines
- Loss of reputation
- Repayment of profits
- Redress to victims
- Loss of employment or license to operate
- Imprisonment

- Bribery and Corruption
- ✓ Crimes Around the World
- Consequences
- ⊕ Our Policy

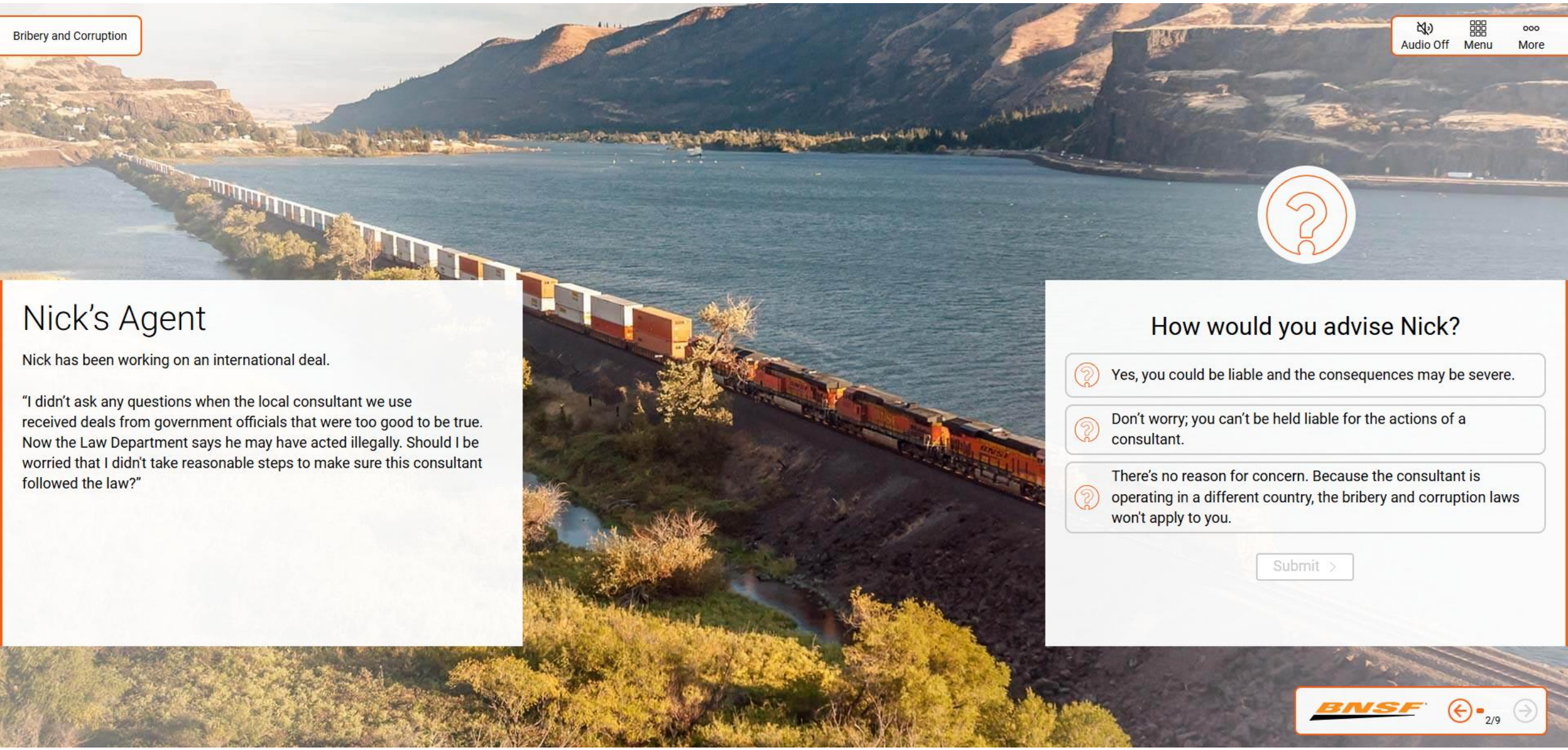
Our Policy

BNSF's [Anti-Corruption and Prohibited Business Practices Policy](#) helps ensure our business dealings and interactions with partners and government officials are ethical and in compliance with applicable law.

Select the Next arrow to continue.

- Bribery and Corruption
- ✓ Crimes Around the World
- ✓ Consequences
- Our Policy





Nick's Agent

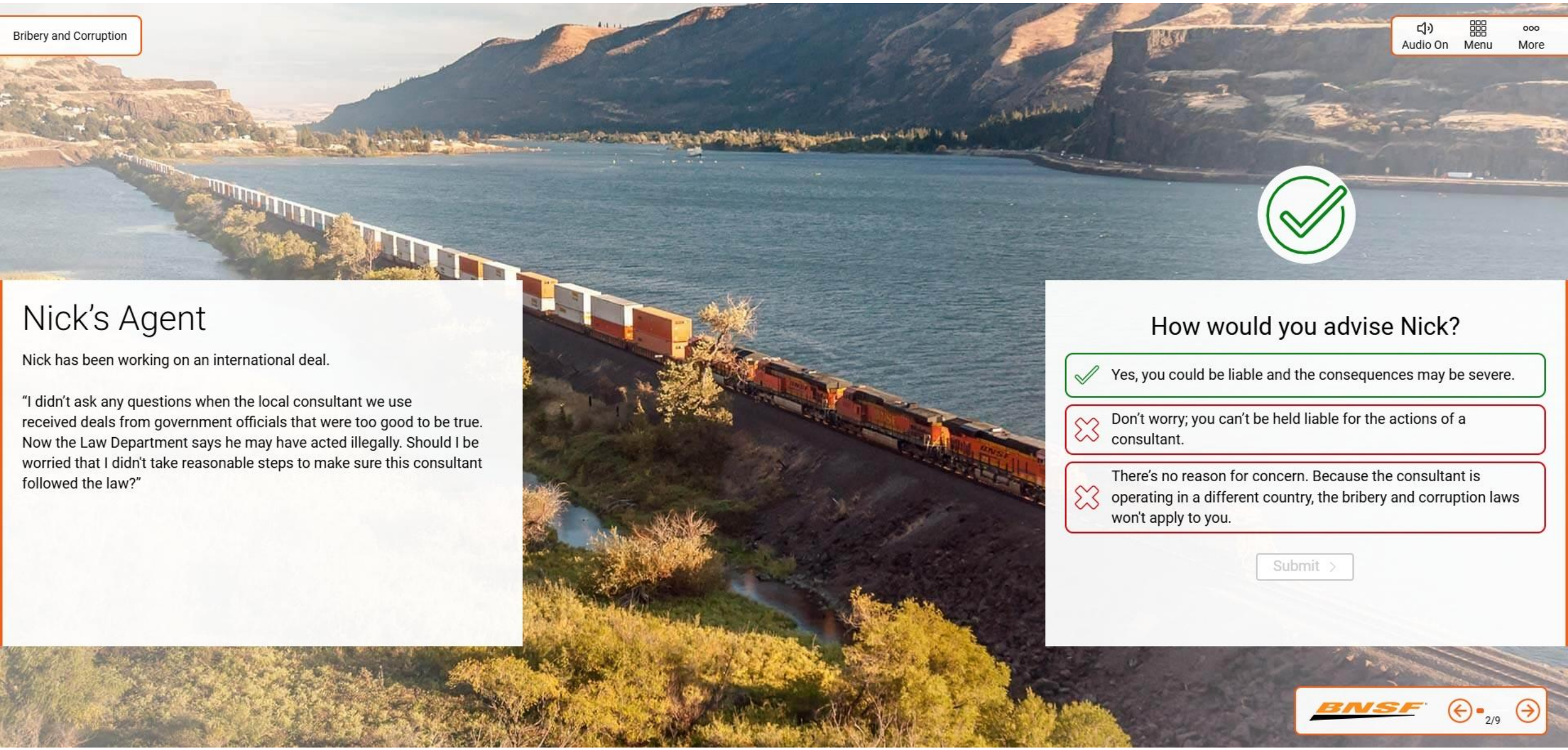
Nick has been working on an international deal.

"I didn't ask any questions when the local consultant we use received deals from government officials that were too good to be true. Now the Law Department says he may have acted illegally. Should I be worried that I didn't take reasonable steps to make sure this consultant followed the law?"

How would you advise Nick?

- ☐ Yes, you could be liable and the consequences may be severe.
- ☐ Don't worry; you can't be held liable for the actions of a consultant.
- ☐ There's no reason for concern. Because the consultant is operating in a different country, the bribery and corruption laws won't apply to you.

Submit >



Nick's Agent

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"I didn't ask any questions when the local consultant we use received deals from government officials that were too good to be true. Now the Law Department says he may have acted illegally. Should I be worried that I didn't take reasonable steps to make sure this consultant followed the law?"

How would you advise Nick?

- ☒ Yes, you could be liable and the consequences may be severe.
- ☐ Don't worry; you can't be held liable for the actions of a consultant.
- ☐ There's no reason for concern. Because the consultant is operating in a different country, the bribery and corruption laws won't apply to you.

Submit >

Using a consultant does not shield Nick or the Company from liability for acts of bribery and corruption. He could face consequences including internal discipline, criminal sanctions, and monetary penalties. The Company might also face fines and penalties.

BNSF's [Anti-Corruption and Prohibited Business Practices Policy](#) provides requirements for engaging potential agents and intermediaries and ensuring their conduct is consistent with applicable law and BNSF Policies.

Select the Next arrow to continue.





What do you say?

- ?

 This may seem inconsequential, given the low cost of the gifts, but it may conflict with U.S. and local law, and violate BNSF Policies.
- ?

 It's OK. Anti-bribery and corruption rules don't apply to low-cost gifts.

Submit >

Kim's Gifts

Kim travels regularly on business to Mexico.

"I always bring low-cost gifts like pens and T-shirts for local government officials and business contacts I meet on my trips. Isn't this OK?"



What do you say?



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Submit >

Kim's Gifts

Kim travels regularly on business to Mexico.

"I always bring low-cost gifts like pens and T-shirts for local government officials and business contacts I meet on my trips. Isn't this OK?"

The value of the gift in Kim's eyes is irrelevant – the fact that the gift could have value to the recipients is an important factor in determining bribery or corruption.

Kim must also be aware that some meeting attendees could be government officials or employees of a government-owned enterprise, such as a port. Giving anything of value to gain an improper business advantage is considered a bribe and is prohibited by law and BNSF's [Anti-Corruption and Prohibited Business Practices Policy](#).

A business advantage is improper if it is the result of an offer, promise, or payment intended to induce another person to misuse his or her official position. In other words, an advantage that wouldn't have been granted or achieved without the bribe.

This may involve winning or retaining business, but can also be a regulatory benefit, such as obtaining or expediting a permit or avoiding an inspection.

While all improper gifts and payments are prohibited, employees should be particularly careful when dealing with any foreign or domestic government official, regardless of the official's role or level.

No gift or entertainment may be offered to a government employee, elected official, or candidate for government office without the following approval:

- Gifts or entertainment to foreign officials must be approved by the Vice President Compliance and Audit.
- Gifts or entertainment at the local or state level must be approved by a General Director, Public Affairs.
- Gifts or entertainment at the federal level must be approved by the Vice President Government Affairs, provided that a meal offered to a government employee, other than an elected official or government appointee, does not require approval where all the following requirements are met:
 - The value of the meal does not exceed \$20
 - The value of meals offered to a single government employee within a calendar year does not exceed \$50; and
 - Offering the meal does not influence, or create an appearance to influence, the government employee in the performance of his or her duties.

Expenses involving foreign or domestic government officials must be accurately identified on an employee's expense report.

For additional information, see the [Anti-Corruption and Prohibited Business Practices Policy](#), [Gifts and Entertainment Policy](#), and [Travel and Entertainment Expense Policy](#).

Select the Next arrow to continue.



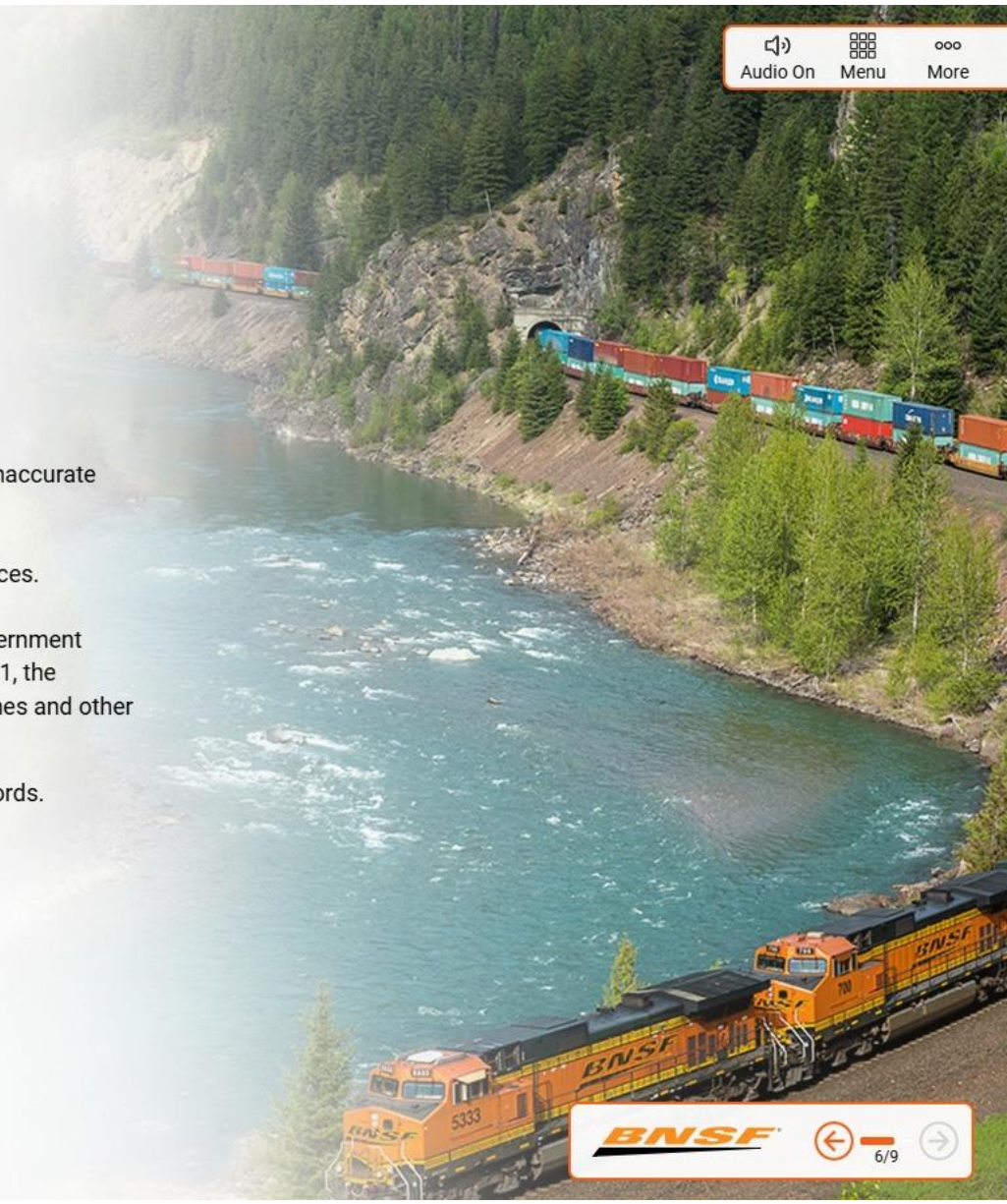
Accurate Record-Keeping

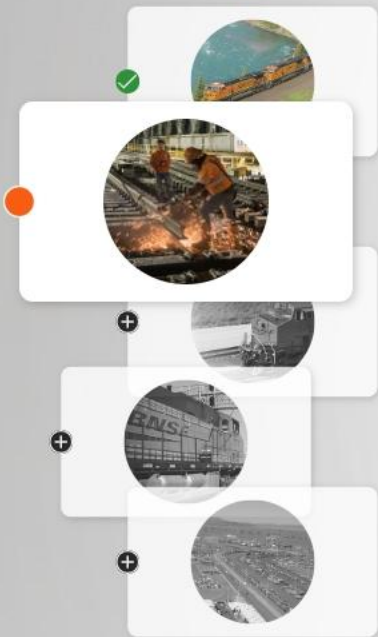
Many serious global bribery and corruption offenses involve some degree of inaccurate record-keeping.

Here's an example of inaccurate record-keeping leading to serious consequences.

For years, a large financial institution made improper payments to foreign government officials and concealed payments by falsifying their books and records. In 2021, the financial institution agreed to pay U.S. authorities more than \$130 million in fines and other penalties for violating the Foreign Corrupt Practices Act.

Select each image panel to learn more about keeping accurate books and records.

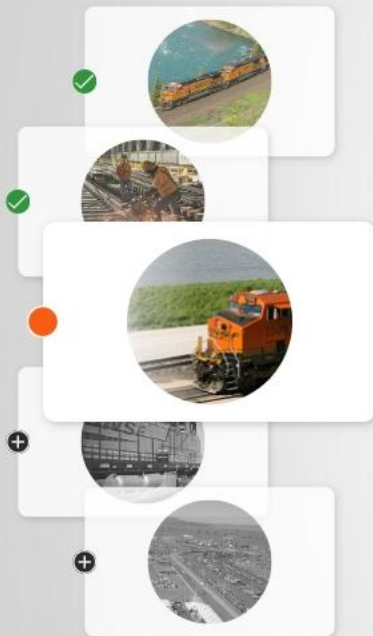




Our Standards

Federal law and BNSF Policy define record-keeping standards to help us avoid this type of situation.

Knowing and following these standards is imperative, since false, misleading, or inaccurate records of any kind could potentially damage BNSF, leading to consequences such as those faced by the financial institution.



Expense Reimbursement

BNSF reimburses employees for reasonable and appropriate expenses incurred while conducting business. It is important to always accurately describe expenses on an expense report. You should NEVER:

- Submit expenses for any benefits, gifts or entertainment provided to a Foreign Governmental Official without a description, purpose, receipt, amount of money spent and the manner of payment
- Claim additional attendees at a meal or event to make the overall cost appear more appropriate
- Prepare a fictitious receipt to hide inappropriate or vague expenses
- Provide or offer benefits, gifts or entertainment with intent or expectation of obtaining more favorable business terms





Government Officials

Extending hospitality to or providing travel for government officials are sensitive topics under law and BNSF Policy. Be particularly careful if you are in a situation that involves extending hospitality to government officials or reimbursing them for travel to a Company site visit or other event.

If you must make payments for government fees, approvals, permits, or other types of government requirements, make sure the payments are properly documented and described in detail.

If you have any uncertainty about hospitality or travel involving government officials, check with someone knowledgeable about the process—like a member of Compliance.



Keep Proper Records

ALWAYS keep proper records. An improper record is one that conceals, distorts or misrepresents the true nature of the transaction or event. If you are not sure if a certain expense is legitimate or if it has been properly documented, ASK.

If you learn of any false or misleading accounting entries, or unusual or unrecorded payments in BNSF's financial statements, you should report them immediately. You can find out who you can contact [here](#).

It is your responsibility to diligently review all records of transactions or events that you are required to review as a leader. These records may include expense reports, time-keeping records, FRA reports, purchase orders, and invoices. Your careful review helps protect BNSF from fraud, waste, and abuse.

For additional information, see the following Policies:

- [Anti-Corruption and Prohibited Business Practices Policy](#)
- [Contracts and Payments Policy](#)
- [Investment Activities Policy](#)
- [Purchasing and Payment Method Policy](#)
- [Travel and Entertainment Expense Policy](#)
- [Records and Information Management Policy](#)

Select the Next arrow to continue.






An Invoicing Question

BNSF held a conference in Canada for shippers and Monica is processing payments for the conference. She receives an invoice from one of the local vendors that includes several small, vague charges described as "other services." When asked about the charges, the vendor says:

"Those charges are for payments we make to reimburse costs to local city officials who help facilitate permitting and security. It's standard procedure here."

How should Monica respond?

-  That's fine, just call them "miscellaneous" on the invoice and resubmit it.
-  I'm sorry, but we need documentation to validate all payments. I will need specifics on those payments – who, what, when, why – in order to decide if those payments are appropriate.
-  I understand. Let me see how we can facilitate reimbursing you for those payments.

Submit >



An Invoicing Question

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How should Monica respond?

- ☐ That's fine, just call them "miscellaneous" on the invoice and resubmit it.
- ☒ I'm sorry, but we need documentation to validate all payments. I will need specifics on those payments – who, what, when, why – in order to decide if those payments are appropriate.
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Submit >



Remember...

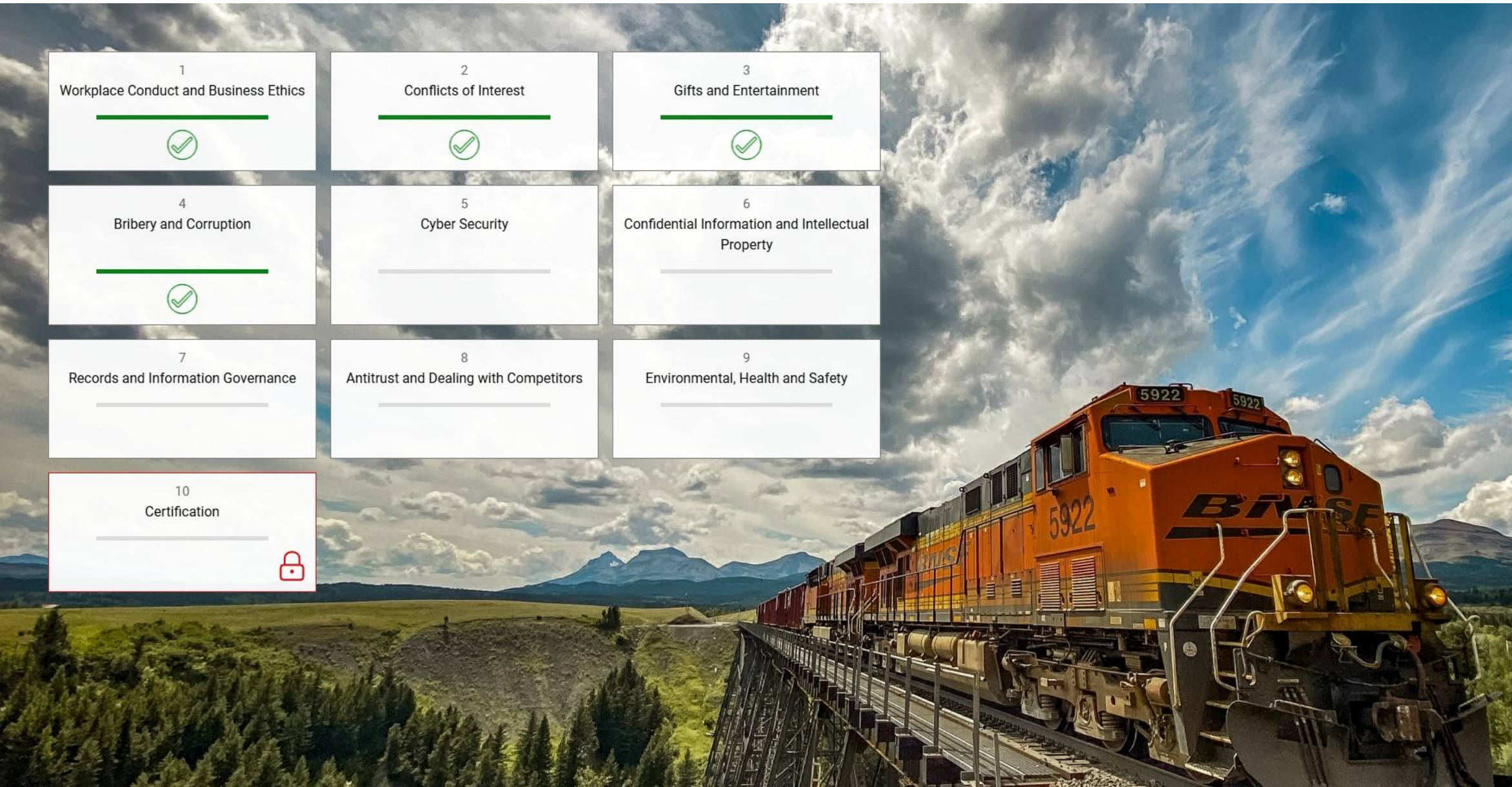
If a vendor or other third party makes payments on BNSF's behalf, even if it is without consent, BNSF may still be open to an accusation of bribery and corruption.

Unusual payment requests raise a red flag and may indicate that the true nature of the transaction is being concealed.

Authorizing or paying expenses that are improper, unauthorized, or not supported by proper documentation breaches BNSF Policy.

Select the Next arrow to continue.





1
Workplace Conduct and Business Ethics

100%

✓

2
Conflicts of Interest

100%

✓

3
Gifts and Entertainment

100%

✓

4
Bribery and Corruption

100%

✓

5
Cyber Security

0%

6
Confidential Information and Intellectual Property

0%

7
Records and Information Governance

0%

8
Antitrust and Dealing with Competitors

0%

9
Environmental, Health and Safety

0%

10
Certification

0%

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Learning Progress



Time Spent





Cyber Security

BNSF employees who have access to or use any technology resource that creates, processes and/or stores BNSF information, including computers, mobile devices, applications, networks, hardware, software and related services, and other electronic equipment (collectively "BNSF Systems") must help ensure BNSF Systems are not subject to damage, theft, or unauthorized access. Additionally employee's must notify Technology Services of any system being used, and provide requested information about the system, its use, and other relevant attributes. This allows the Technology Services Team to catalog, update and inspect BNSF Systems for purposes of minimizing potential security risks. Devices, user identification, and user credentials must be secure at all times and devices must be password protected when left unattended.

BNSF assets such as Internet access, the Employee Portal, and BNSF Systems should be used primarily for business purposes; however, limited personal use is allowed if such use is consistent with our Vision and Values and does not interfere with job performance, hinder BNSF business communications, or violate BNSF Policies and Corporate Rules.

Select the Next arrow to continue.



Stolen Bag

On her way to work, Nikki stopped at a coffee shop to grab breakfast, and her work bag was stolen. Which of these items should she report to BNSF Resource Protection as a potential information security concern for our Company?

Select the **THREE** items.

- ☐ Her Company access card
- ☐ Her work laptop
- ☐ Her Company cell phone
- ☐ Her personal credit cards
- ☐ Her driver's license

Submit >





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Select the THREE items.

- ☒ Her Company access card
- ☒ Her work laptop
- ☒ Her Company cell phone
- ☐ Her personal credit cards
- ☐ Her driver's license

Submit >





Remember...

It takes little time for skillful thieves to access everything on a laptop and potentially gain access to BNSF information systems quickly. If you are unsure who to contact about lost or damaged Company property, you can find out [here](#).

Losing a credit card or driver's license can also make an individual vulnerable to identity theft or worse. Personal losses should be reported to the appropriate agencies, banks, or other companies.

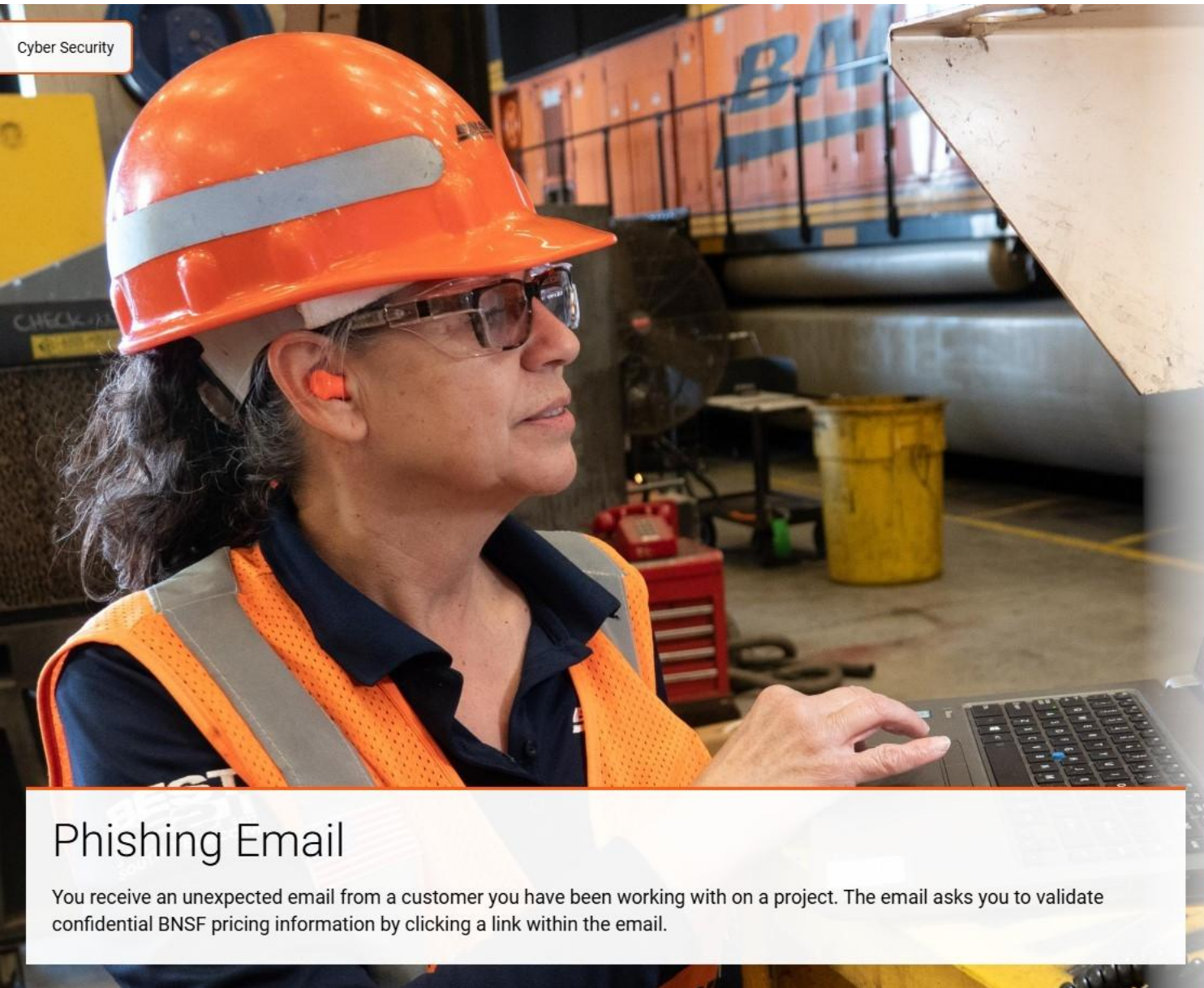
It's important that you:

- Recognize the risk of Company data falling into the wrong hands
- Know that you are responsible for information security in the workplace and while traveling
- Escalate through the correct channels and remember that minutes count

For additional information, see the [Information Security Policy](#) and [Secure Facility Access Policy](#).

Select the Next arrow to continue.









Phishing Email

You receive an unexpected email from a customer you have been working with on a project. The email asks you to validate confidential BNSF pricing information by clicking a link within the email.



What should you do?

-  Call your contact at the customer using your known contact information to confirm whether the email is authentic.
-  Click on the link. If the link is malicious, BNSF's antivirus software will prevent any damage.
-  Contact the customer with the contact information provided in the email containing the link to confirm the link is safe.
-  Forward the email to a coworker and ask them to complete the customer's request.

Submit >



What should you do?


- ✓ Call your contact at the customer using your known contact information to confirm whether the email is authentic.
- ✗ Click on the link. If the link is malicious, BNSF's antivirus software will prevent any damage.
- ✗ Contact the customer with the contact information provided in the email containing the link to confirm the link is safe.
- ✗ Forward the email to a coworker and ask them to complete the customer's request.

Submit >

Phishing Email

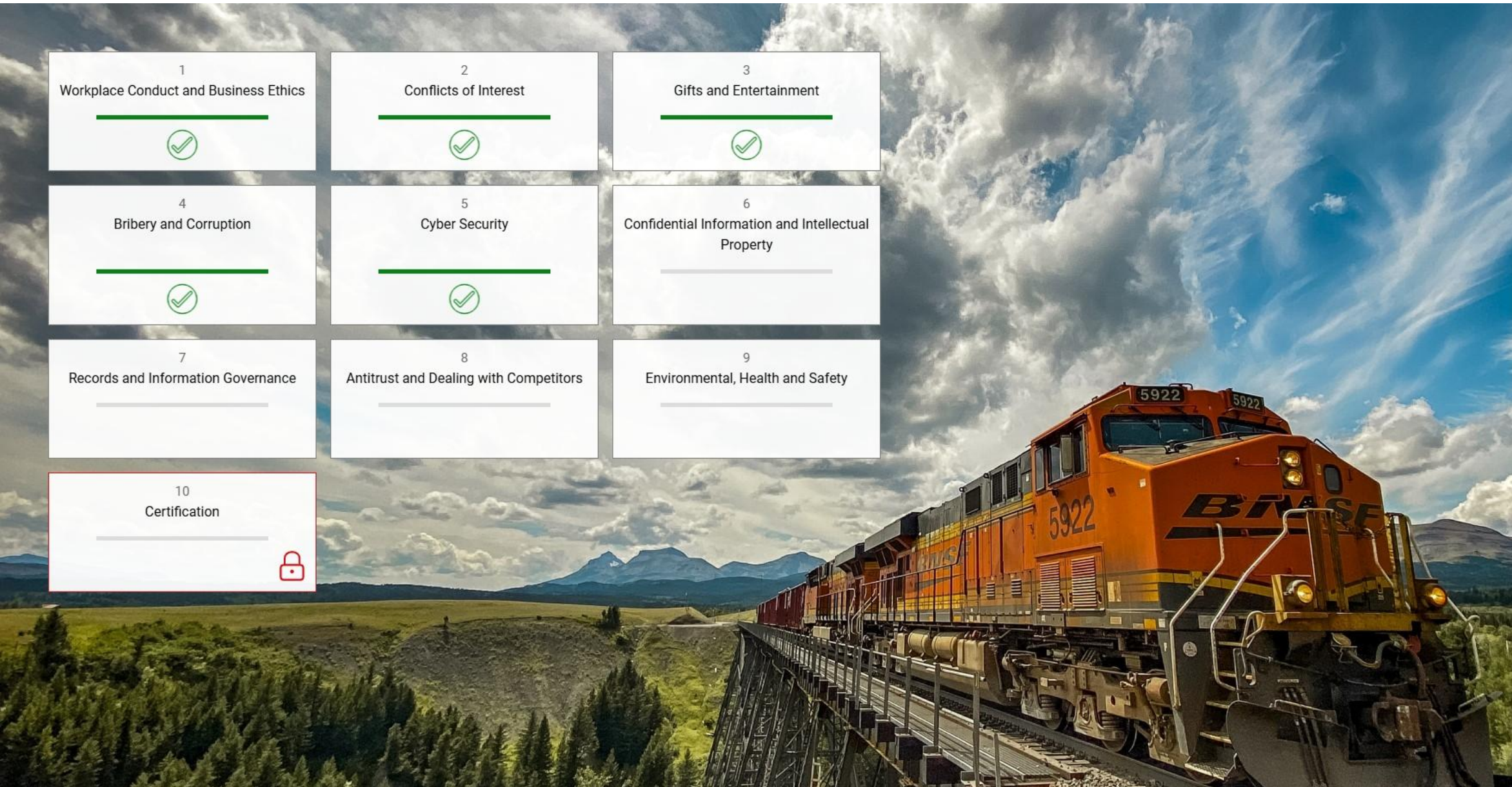
You receive an unexpected email from a customer you have been working with on a project. The email asks you to validate confidential BNSF pricing information by clicking a link within the email.

Never open an email attachment or click a link unless you are expecting the email and it's from a known sender. Attackers can send emails from what appears to be a reputable email address, but the "from" address can easily be falsified. Fraudulent emails sent by social engineers are known as phishing attacks. Malicious websites frequently accompany phishing attacks to solicit personal and often financial information. Do not rely on the "from" address in your email as proof of authenticity. Attachments can contain executable malware, which can plant spyware on your computer without leaving any trace of its actions. If you're uncertain about an attachment or link in an email, err on side of caution and contact the sender directly using a different method to confirm its authenticity.

If you think you have received a suspicious email, report the email using the "Email Alert"  button on the ribbon in Outlook or forward the suspicious email to SPAM@bnsf.com.

Select the Next arrow to continue.





1
Workplace Conduct and Business Ethics

100%

✓

2
Conflicts of Interest

100%

✓

3
Gifts and Entertainment

100%

✓

4
Bribery and Corruption

100%

✓

5
Cyber Security

100%

✓

6
Confidential Information and Intellectual Property

0%

7
Records and Information Governance

0%

8
Antitrust and Dealing with Competitors

0%

9
Environmental, Health and Safety

0%

10
Certification

0%

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Time Spent



What Is Confidential Information?

Proper stewardship of BNSF information is important to ensure confidentiality, protect trade secrets and other intellectual property, and fulfill our legal and regulatory obligations. Proper stewardship begins with understanding the types of information that carry enhanced obligations. For example, social security numbers and other Personally Identifiable Information are regulated in many jurisdictions, so BNSF has adopted strict standards for how this information is accessed, stored and transmitted. Other types of information may not be subject to regulatory restrictions, but is valuable to BNSF and is subject to internal requirements around confidentiality and security.

Confidential Information is any nonpublic information about an individual or organization that, if disclosed, could adversely impact that individual or organization, such as exposing the individual or organization's financial standing, employability, privacy or reputation. To simplify our standards for handling BNSF information, our Information Governance & Confidentiality Policy categorizes BNSF information into four classifications based on specified attributes. BNSF Information that meets the classifications of Restricted Confidential Information, Financially or Operationally Sensitive Information, or Business Important Information is considered Confidential Information.

Select each topic to learn more.

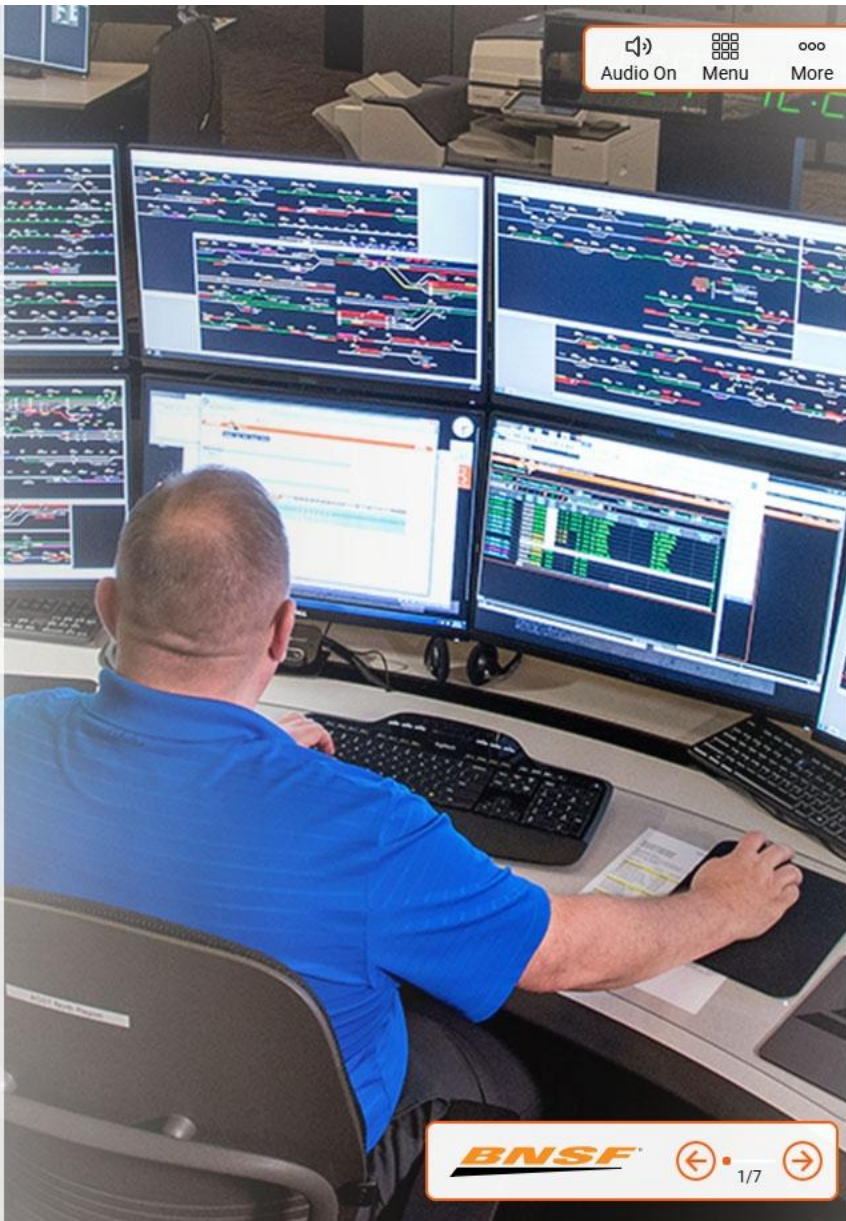
- What Is Confidential Information?
- + Restricted Confidential Information
- + Financially or Operationally Sensitive Information
- + Business Important Information
- + General Information



Restricted Confidential Information

This classification applies to information that is subject to federal or state regulations governing its collection, disclosure, use or protection. Examples of Restricted Confidential Information include Consumer Personal Information (CPI), Payment Card Information (PCI), Protected Health Information (PHI), and Personally Identifiable Information (PII). Information for which BNSF has confidentiality obligations pursuant to a non-disclosure or similar agreement is also Restricted Confidential Information.

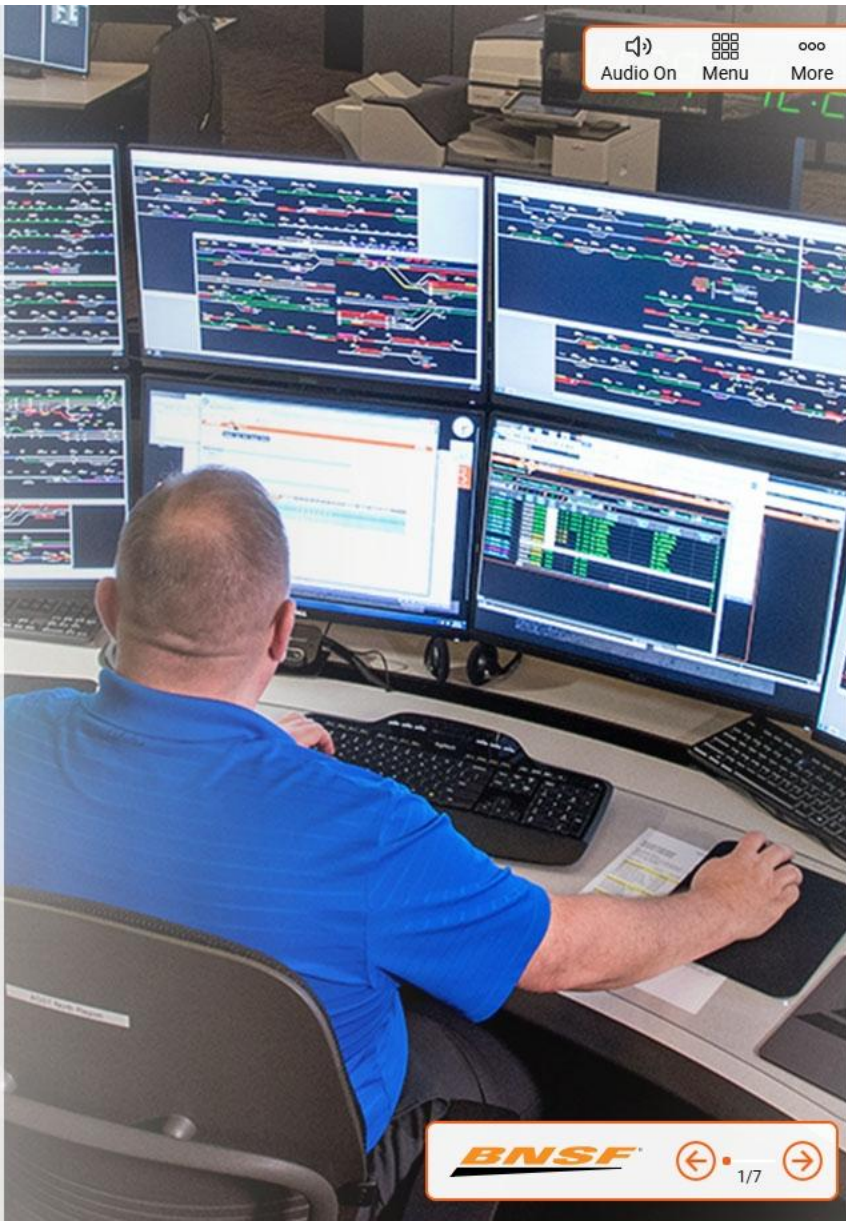
- What Is Confidential Information?
- Restricted Confidential Information
 - + Financially or Operationally Sensitive Information
 - + Business Important Information
 - + General Information



Financially or Operationally Sensitive Information

This classification applies to information that is critical to the operations of BNSF, or that represents or is used in the reporting of the financial or operational performance of BNSF. Examples of Financially or Operationally Sensitive Information include information used (a) in transportation operations; (b) for determining the health, performance, maintenance or replacement of key assets; (c) for revenue and payment management; (d) in external reporting of financial and operational performance as required by the SEC, STB or FRA; and (e) in other critical processes.

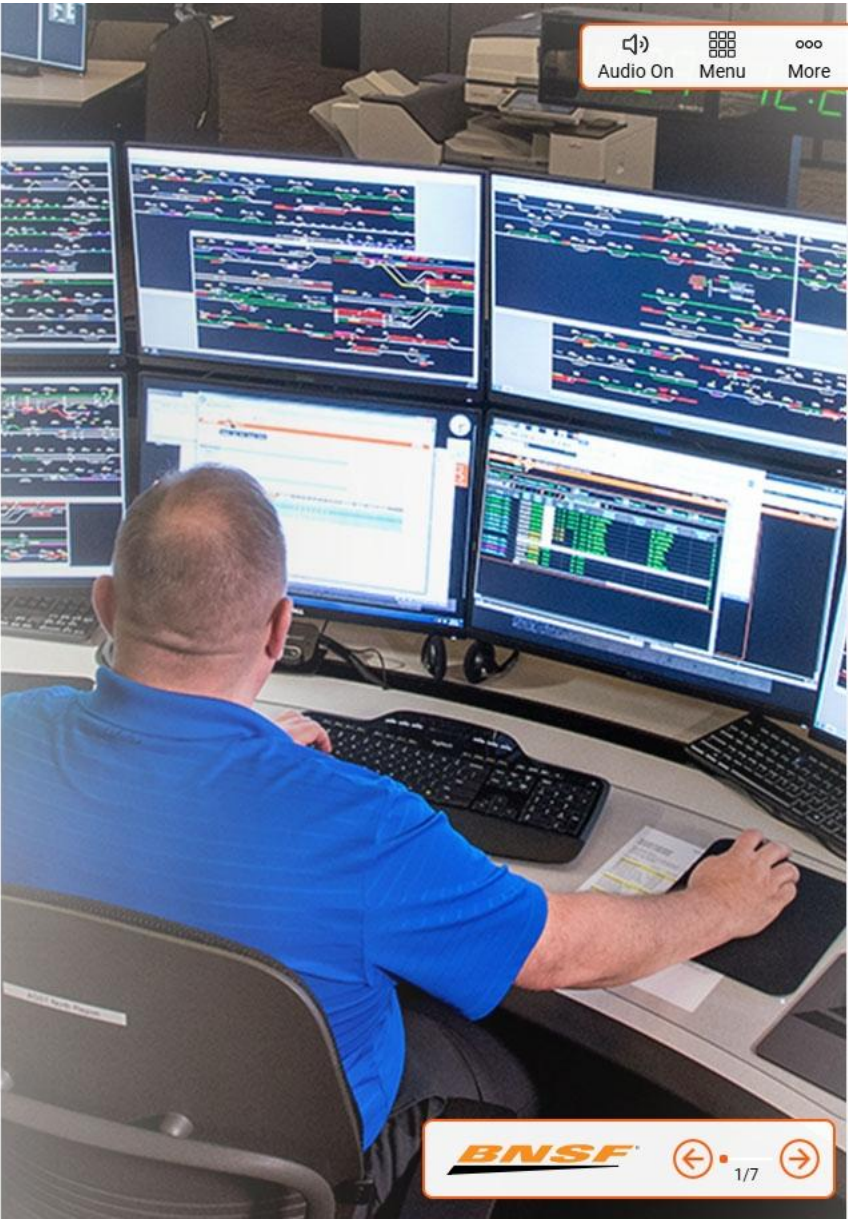
- What Is Confidential Information?
- ✓ Restricted Confidential Information
- Financially or Operationally Sensitive Information
- + Business Important Information
- + General Information



Business Important Information

This classification applies to information that is used in the routine business of BNSF but does not fall within the definition of Restricted Confidential Information or Financially or Operationally Sensitive Information. Business Important Information includes all nonpublic or proprietary information about BNSF and BNSF's current, past or prospective employees, shareholders, business partners, customers, vendors, and suppliers. Examples include (a) commercially-sensitive information about BNSF customers; (b) BNSF "trade secrets" as defined by federal and applicable state law and any other form of BNSF intellectual property or other confidential or proprietary information or trade secrets belonging to BNSF; (c) Policies, Rules, and Procedures; and (d) daily individual work product not falling into more restrictive categories.

- What Is Confidential Information?
- ✓ Restricted Confidential Information
- ✓ Financially or Operationally Sensitive Information
- Business Important Information
- + General Information

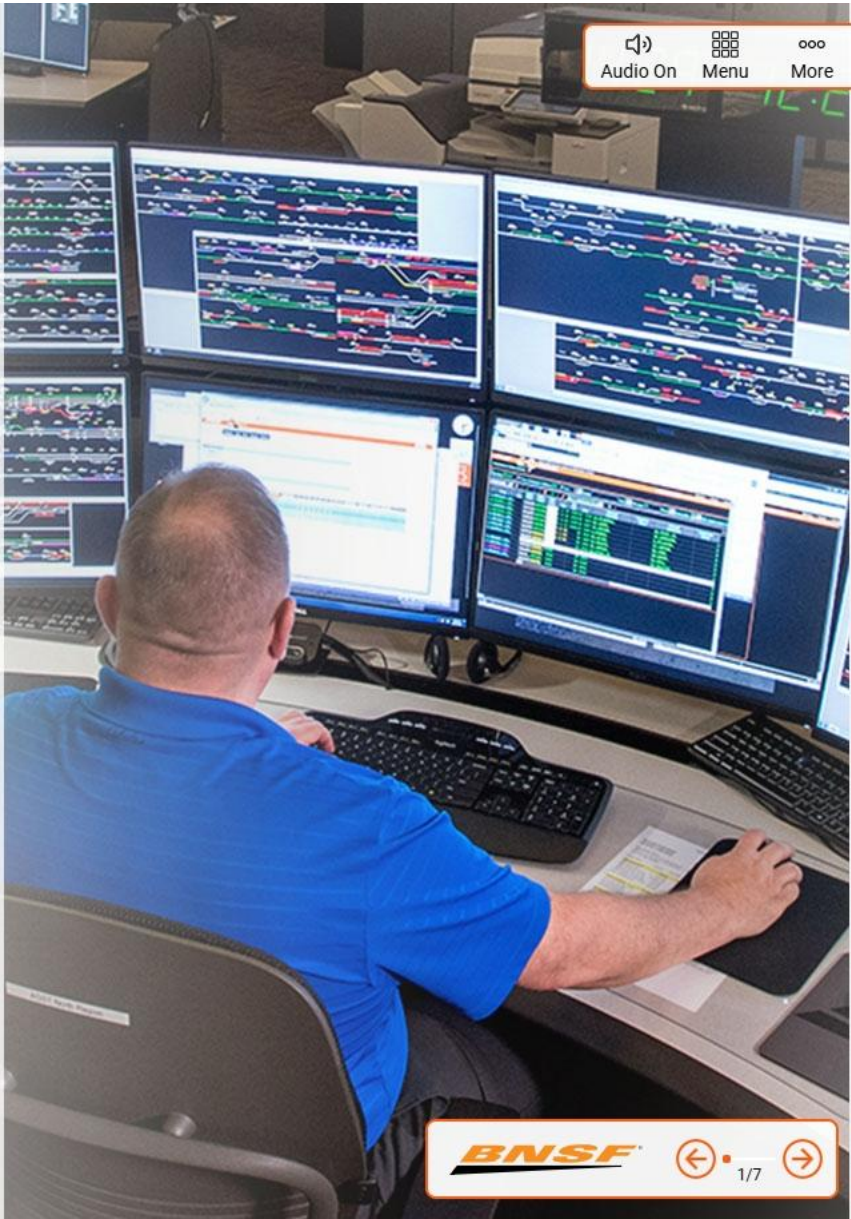


General Information

This classification applies to BNSF information that is of minimal value due to its type or use and for which the disclosure, modification or destruction would not be expected to impact BNSF operations, assets, or employees. General Information includes that which is intended for public audiences or is generally publicly available from outside sources.

Select the Next arrow to continue.

- What Is Confidential Information?
- Restricted Confidential Information
- Financially or Operationally Sensitive Information
- Business Important Information
- General Information



Protecting Confidential Information

Just as individuals protect their credit card information and social security numbers, BNSF must protect its Confidential Information.

Any Confidential Information you receive or create in the course of your work is private Company information, and you are responsible for protecting it.

Confidential Information may be classified as Restricted Confidential Information, Financially or Operationally Sensitive Information, or Business Important Information.

Regardless of classification, here are three tips to keep in mind when dealing with Confidential Information:

- 1. **Keep it secure.** Protect and hold all Confidential Information in strictest confidence, taking steps as needed to protect it from risks that could compromise its security, confidentiality, or integrity. Don't remove or delete any Confidential Information, except in the proper performance of your job.
- 2. **Share it appropriately.** Only individuals with a legitimate BNSF business reason to know Confidential Information are authorized to possess, access, or disclose Confidential Information. Don't disclose Confidential Information to any person who is not a BNSF employee or otherwise unauthorized to receive it or is not bound by a written confidentiality agreement or similar obligation. When you have a legitimate business need to share Confidential Information with authorized recipients, do so securely. If you believe you are compelled to disclose Confidential Information during a legal proceeding, notify BNSF's Vice President Compliance and Audit and the Law Department in advance.
- 3. **Use it appropriately.** Never use Confidential Information for your own personal benefit.

Select the Next arrow to continue.



Protecting Confidential Information

Some Restricted Confidential Information is particularly sensitive. Specifically, PII and PHI are subject to further restrictions. Before transmitting or sharing PII containing a social security number (SSN) or PHI, consider the following:

- Is there a legitimate business need to disclose the SSN or PHI, or can it be removed or redacted from the communication?
- Is there a more secure way to transmit the SSN or PHI, such as uploading it to a secure site instead of sending through email?
- Is the recipient of the SSN approved to view SSNs as provided in the [Information Governance & Confidentiality Policy](#)?

SSNs and PHI must be encrypted when emailed and the user must be connected to the BNSF network (VPN) when sending the email. In addition, encrypting PII and CPI when sending in an email will provide extra security through transmission. The BNSF Helpdesk can assist with any questions on how to encrypt an email when that is the only option to transmit.

Select the Next arrow to continue.



Intellectual Property

Intellectual Property (IP) is another area that requires special attention.

In addition to protecting the confidentiality of IP, employees who create IP, including hardware and software, must promptly notify the Vice President and General Counsel in the Law Department. BNSF will work with the employee to determine the steps necessary to ensure the appropriate treatment and protection of the IP.

BNSF owns all IP made or created by BNSF employees during their employment with BNSF and made or created within 12 months after the employee leaves BNSF.

IP belonging to third parties must also be protected. Be sure BNSF has the appropriate permissions before using any IP belonging to a third party in the course of your BNSF work.

Select the Next arrow to continue.



Generative Artificial Intelligence

Generative Artificial Intelligence (Generative AI) is a broad term used to describe technology that creates new content, such as text, data, or media, based on patterns and examples learned from existing data. BNSF supports technology as a strategic enabler as we enact our vision to provide transportation services that consistently meet our customers' expectations, safely and efficiently. If used improperly, Generative AI can pose risks around confidentiality, privacy, and data security. We must ensure BNSF's use of Generative AI, like all technology, is consistent with our Vision and Values and in compliance with the law.

BNSF has adopted the following principles for development and use of Generative AI:

- **Human-centered Development and Use** – BNSF's use of Generative AI will augment and extend human capability and will ensure human oversight is present in decision-making processes
- **Act with Integrity and Comply with the Law** – BNSF will employ Generative AI in a manner that complies with the law and BNSF values concerning discrimination, privacy, intellectual property and business use
- **Transparent and Accountable** – BNSF will train employees using Generative AI on technology outputs, strengths and limitations and will define responsibilities and provide accountability for the use of Generative AI and its outcomes
- **Secure and Resilient** – BNSF will prioritize data security and privacy in all development and use of Generative AI and employ best practices for maximizing resiliency, reliability and accuracy

Before developing, procuring or implementing technology that utilizes Generative AI, the employee responsible for the technology must submit a proposed project plan to the Generative AI Committee for review via email at EnterpriseAI@bnsf.com.

For additional information, see the [Information Governance & Confidentiality Policy](#).

Select the Next arrow to continue.



Communication

BNSF Policies govern external communications across all forms of media including print, online platforms, and public forums.

Never discuss BNSF's Confidential Information in public areas, social conversation, or while on social media platforms.

If you are unsure of our policy, you can find out who to contact with questions [here](#). For additional information, see the following Policies:

- [Information Governance & Confidentiality Policy](#)
- [Confidentiality of Medical Information and PHI Policy](#)
- [Corporate Relations Policy](#)
- [Intellectual Property Policy](#)
- [Social Media Policy](#)

Select each numbered panel to learn more.



Government Requests for Information

1



Social Media Use

2



External Communications

3



Consult and Report

4

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- [Social Media Policy](#)

Select each numbered panel to learn more.

Government Requests for Information

BNSF cooperates with reasonable requests by federal, state, and municipal government officials seeking information concerning Company operations and personnel. Typical requests include:

- Requests made for information by inspectors of the Federal Railroad Administration during routine inspections
- Inquiries by government planning agencies for information not considered commercially sensitive
- Law-enforcement requests to BNSF Resource Protection for information involving routine matters

Employees should consult with the appropriate BNSF department regarding non-routine government requests for information, including attorney general or inspector general requests or subpoenas. If any government agency requests an interview with BNSF personnel or seeks data, documents, or access to files, refer to the following department:

- Tax Department for tax-related matters
- Environmental Department for environmental matters
- Law Department for all other matters

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More

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Social Media Use

+

External Communications

+

Consult and Report

2

3

4

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Communication

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- [Social Media Policy](#)

Select each numbered panel to learn more.



Government Requests for Information

1



Social Media Use

Be careful when using social media – even when you are chatting with your coworkers, remember the potential risks to you and to our Company.

Once Confidential Information has been posted, it cannot be recovered, and this may result in damage or liability for the Company and you personally. The same goes for offensive and defamatory information.

Be responsible in all social media use and never discuss Confidential Information on social media.



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External Communications



Consult and Report



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3

4

Communication

BNSF Policies govern external communications across all forms of media including print, online platforms, and public forums.

Never discuss BNSF's Confidential Information in public areas, social conversation, or while on social media platforms.

If you are unsure of our policy, you can find out who to contact with questions [here](#). For additional information, see the following Policies:

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- [Corporate Relations Policy](#)
- [Intellectual Property Policy](#)
- [Social Media Policy](#)

Select each numbered panel to learn more.



Government Requests for Information

1



Social Media Use

2



External Communications

Before making external presentations or publishing videos, printed materials, or Internet postings on behalf of BNSF, contact Corporate Relations for approval. Similarly, if you are asked by the media or a customer about cyber-related activities or a potential online incident, direct that inquiry to Corporate Relations, as required by the Corporate Relations Policy. Unless you are authorized to do so, it's never appropriate to talk to the media. Requests from the media must be directed to Corporate Relations.

Any disclosure of material nonpublic information about BNSF to an external audience or individual requires prior approval from the Vice President Communications and Chief of Staff and the Vice President Compliance and Audit. Material nonpublic information includes any previously undisclosed information concerning BNSF's financial or operating performance, including developments in customer contracts or volumes, and litigation developments.



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Consult and Report

4

Communication

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Select each numbered panel to learn more.



Government Requests for Information

1



Social Media Use

2



External Communications

3



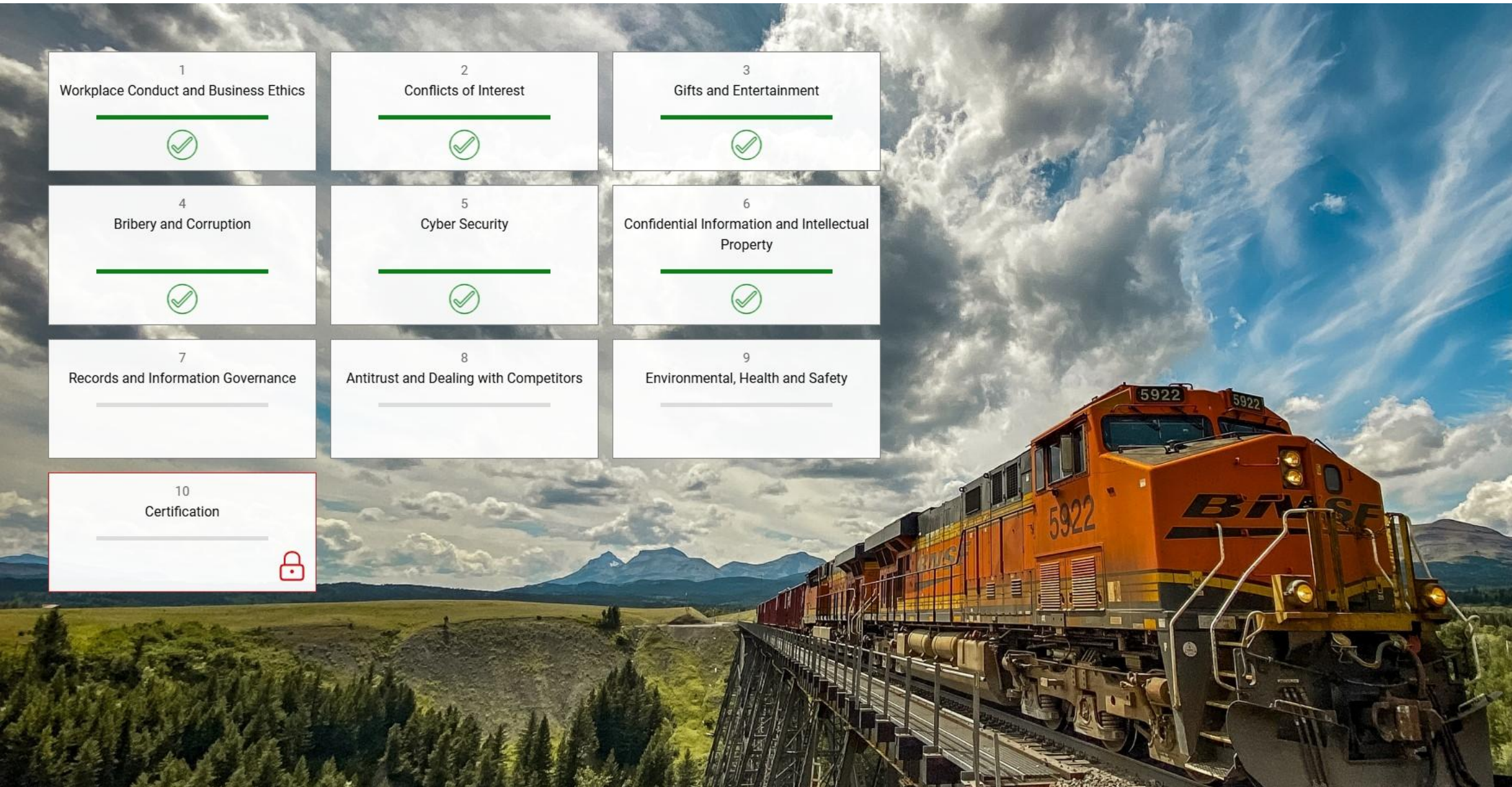
Consult and Report

If you are uncertain about a particular confidentiality issue, or you become aware of a confidentiality problem (including one that involves other coworkers), you can find out who to contact [here](#).

If you are working on a business deal with an outside party, it is important to ensure that there is a valid Non-Disclosure Agreement (NDA) in place before discussing Confidential Information with a third party. The Law Department can advise if an NDA is already in place.

To learn more about Confidential Information and classifications, see the [Information Governance & Confidentiality Policy](#)

Select the Next arrow to continue.



1
Workplace Conduct and Business Ethics

100%

✓

2
Conflicts of Interest

100%

✓

3
Gifts and Entertainment

100%

✓

4
Bribery and Corruption

100%

✓

5
Cyber Security

100%

✓

6
Confidential Information and Intellectual Property

100%

✓

7
Records and Information Governance

0%

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8
Antitrust and Dealing with Competitors

0%

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9
Environmental, Health and Safety

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Certification

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Learning Progress



Time Spent



Appropriately maintaining records at all times is vital to our business.

We all create, use, and dispose of information in many forms every day, including electronic and hard-copy formats. Appropriate records management is a critical part of our Records and Information Governance program.

Information, such as a rough draft, your personal meeting notes, or even a duplicate copy of a contract or other Record, does not have retention requirements.

Records, such as contracts, accounting ledgers, payroll, regulatory inspections, or certain communications with customers and suppliers, must be retained for a specified period of time as evidence of the business activity by our Company.

Any ongoing business activities or communications that provide evidence of our Company transactions, business decisions, employment practices, or policies must be maintained as a Record. You have a role in ensuring Records are properly maintained at all times, from their creation through their proper handling and disposal.

For additional information, see the [Records and Information Management Policy](#).

Select the Next arrow to continue.



Record Retention Schedule

Select each question to find out how to manage our records properly.

- + What Is the Record Retention Schedule?
- + How Does It Work?
- + What Is Considered Vital or Historical?

Record Retention Schedule

Select each question to find out how to manage our records properly.

What Is the Record Retention Schedule?

The Record Retention Schedule is part of our [Records and Information Management Policy](#) and defines our requirements for retention and proper disposal for each type and classification of Record that is created or used across the Company.

Note that in Records management, “disposal” is a set of rules for the deletion and destruction of Records.

+ How Does It Work?

+ What Is Considered Vital or Historical?

Record Retention Schedule

Select each question to find out how to manage our records properly.

✔ What Is the Record Retention Schedule?

● How Does It Work?

The Record Retention Schedule organizes Records into Record classes or business groups. These groups typically support similar business processes or have related legal or operational retention requirements. Each Record class is given a set retention period.

Some Records may need to be kept permanently for Vital or Historical purposes.

⊕ What Is Considered Vital or Historical?

Record Retention Schedule

Select each question to find out how to manage our records properly.

✔ What Is the Record Retention Schedule?

✔ How Does It Work?

○ What Is Considered Vital or Historical?

Vital Records are critical to establishing the Company’s legal identity or rights or establishing or proving the Company’s financial position as well as documenting key physical infrastructure, safety standards, and environmental management processes. Examples of Vital Records include deeds, land grants, maps documenting title, and documentation of financial interests, bridge and road crossing records, and safety rulebooks. Vital Records require special attention and enhanced protection.

Historical items or artifacts are deemed valuable by their contribution to BNSF legacy, history, or culture. Examples of Historical items and artifacts include maps, artwork, legacy newsletters, publications, press releases, and photographs.

Employees who are aware of, or discover, vital or historical items must contact the Records and Information Management Team. To learn more about Records Retention, Vital Records, and historical content, see the [Records and Information Management Policy](#).

Select the Next arrow to continue.



What Is a Hold Order?



What Is Covered?



What to Do?



Lifting the Hold Order

Select each topic to find out what a legal hold is.

What Is a Hold Order?

A Hold Order is an instruction that is issued to suspend the destruction of Records and Information when a lawsuit or enforcement action has been filed or is “reasonably anticipated” in the future. Hold Orders may occur for legal, tax, regulatory, or corporate reasons.

Records and Information covered by a Hold Order must be protected until the Hold Order is lifted.



Select each topic to find out what a legal hold is.

What Is Covered?

A Hold Order covers all paper and electronic Records and related Information wherever they are stored. Applicable Records and Information may include hard copies, electronic documents, videos, audio recordings, digital images, or technical drawings.

Remember, Records covered by a Hold Order must be retained even if they are beyond their retention period. Records and Information cannot be disposed of as long as they are subject to a Hold Order.



Select each topic to find out what a legal hold is.

What to Do?


So, what do you do if you receive a Hold Order notice?

- First, identify and locate all Records and Information pertaining to the matter described in the Hold Order.
- Next, suspend all routine destruction of covered Records and Information, and ensure everyone with access to the covered Records and Information suspends their practices of destruction.


You must preserve the Records and Information in their original form, whether electronic, hard copy, or digital, as well as any new Records and Information generated after you received the Hold Order. If you have any questions, reach out to the issuing Department contact designated in the Hold Order.



What Is a Hold Order?



What Is Covered?



What to Do?



Lifting the Hold Order

Select each topic to find out what a legal hold is.

Lifting the Hold Order

When the Hold Order is lifted, the Records revert to their original retention period and may be destroyed according to the Record Retention Schedule. Information may be disposed of as provided in the [Records and Information Management Policy](#).

Select the Next arrow to continue.

Information Governance

BNSF’s Information Governance program defines our company’s expectations for handling data and information. The terms data and information are used interchangeably to cover all contexts.

BNSF Policies, Corporate Rules, and Information Governance Playbook offer BNSF employees guidance on the value of our informational assets throughout its lifecycle (from creation to deletion). By integrating Information Governance into our everyday business activities, we can achieve consistency and efficiency while reducing risks associated with managing BNSF data.

Select each topic to find out what each lifecycle stage is.

- + Creation
- + Classification
- + Protection
- + Use
- + Retention
- + Deletion

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Select each topic to find out what each lifecycle stage is.

● Creation

The Creation phase involves producing any type of new data or content, be it within a database, software application, or active document. At this phase, it is crucial to ensure that the creation of information adheres to our established standards, regulations, and change management guidelines.

+ Classification

+ Protection

+ Use

+ Retention

+ Deletion

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Select each topic to find out what each lifecycle stage is.

✔ Creation

○ Classification

Classification refers to the process of categorizing data, new and existing, according to its type, value and purpose. This determines how data is used, stored, disseminated, retained, and deleted. Correct classification enables the suitable management of data throughout its lifespan.

+ Protection

+ Use

+ Retention

+ Deletion

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Select each topic to find out what each lifecycle stage is.

- ✓ Creation
- ✓ Classification
- Protection

In the Protection phase, data is safeguarded against unauthorized access, loss, or tampering. Ensuring the security of our data is essential for adherence to legal standards and maintaining system dependability.

- + Use
- + Retention
- + Deletion

Information Governance

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Select each topic to find out what each lifecycle stage is.

- ✓ Creation
- ✓ Classification
- ✓ Protection
- Use

In the Use phase, data maintains accuracy, integrity, and availability to support user requirements, informed decision making, and alignment with organizational strategies.

- + Retention
- + Deletion

Information Governance

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Select each topic to find out what each lifecycle stage is.

- ✓ Creation
- ✓ Classification
- ✓ Protection
- ✓ Use
- Retention

Retention ensures that the duration for which data is kept aligns with legal, regulatory, and operational needs.

- + Deletion

Information Governance

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Select each topic to find out what each lifecycle stage is.

- ☒ Creation
- ☒ Classification
- ☒ Protection
- ☒ Use
- ☒ Retention
- ☐ Deletion

Deletion defines how to securely eliminate redundant and obsolete data to decrease risk footprint, organizational burdens, and storage costs.

Select the Next arrow to continue.



Remember...

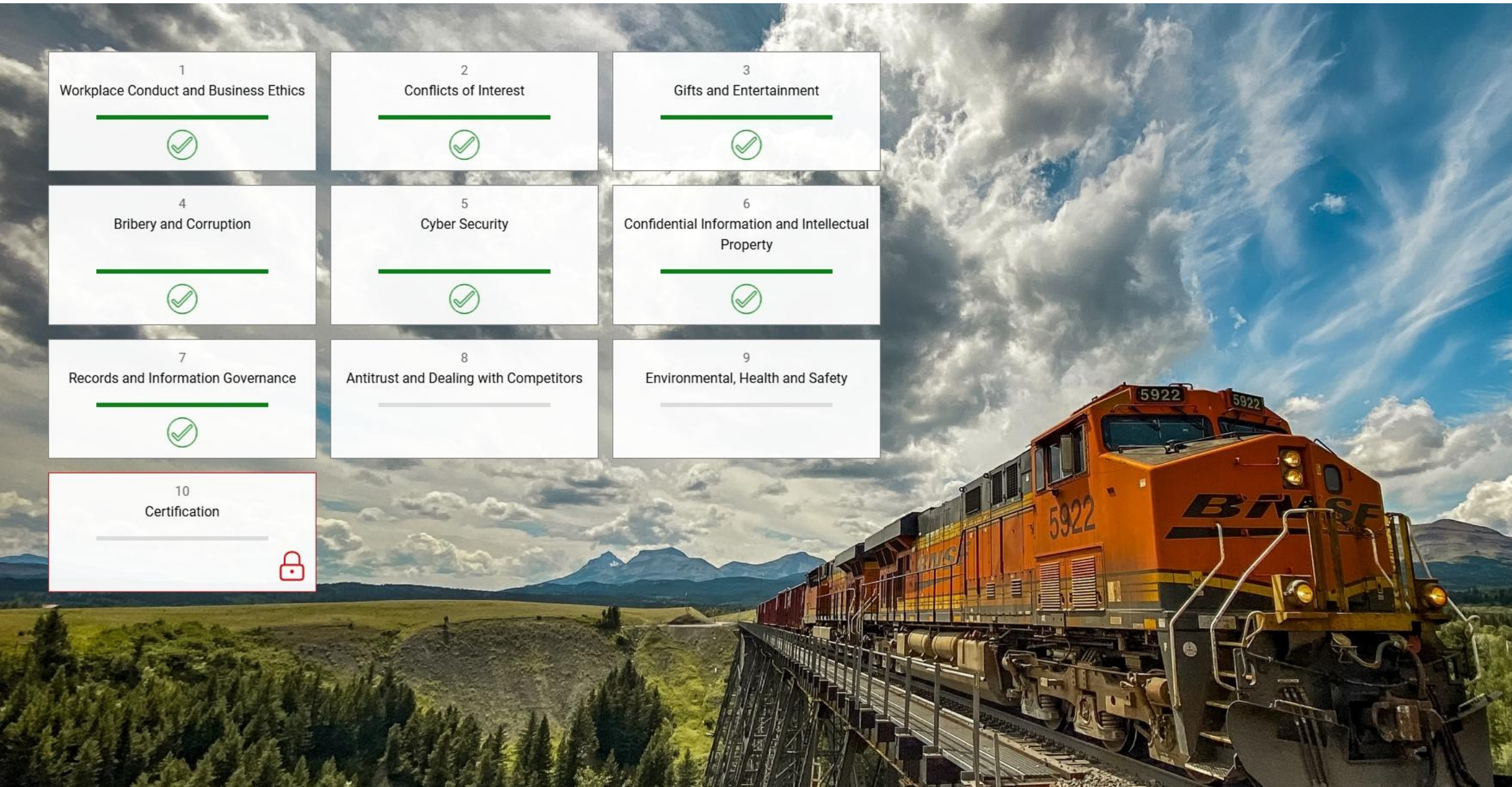
All of us share the responsibility for handling data and information according to BNSF's Policies, Corporate Rules, and Information Governance Playbook. Together we can ensure our data and information are:

- Created consistently in alignment with rules and standards
- Classified appropriately based on type and intended use
- Protected properly
- Complete, accurate, and available
- Retained in alignment with regulatory, legal and operational needs
- Deleted when no longer needed

If you have any questions, you can email enterpriseinformationgovernance@bnsf.com.

Select the Next arrow to continue.





1
Workplace Conduct and Business Ethics

✓

2
Conflicts of Interest

✓

3
Gifts and Entertainment

✓

4
Bribery and Corruption

✓

5
Cyber Security

✓

6
Confidential Information and Intellectual Property

✓

7
Records and Information Governance

✓

8
Antitrust and Dealing with Competitors

9
Environmental, Health and Safety

10
Certification

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Learning Progress



Time Spent



Antitrust and Dealing with Competitors

Antitrust is the name given to laws and regulations that promote healthy competition between businesses in the open market.

Competition can help provide more choices for the consumer and lead to products and services with higher quality and lower prices. Regulatory bodies around the world enforce antitrust laws to help ensure open and free markets, promote vigorous competition, and protect consumers from anti-competitive arrangements. Types of anti-competitive arrangements include:

- **Price fixing** - when companies collude to set prices, undermining the forces of the free market
- **Bid rigging** - when one or more bidders agree to submit bids that are intentionally uncompetitive
- **Market or customer allocation** - when there is an agreement between two companies to stay out of each other's way and reduce competition in the agreed territories

Breaches of antitrust laws are taken seriously. Penalties can include substantial fines, the loss of reputation, and even prison sentences. Aggrieved parties, including competitors and customers, can also bring legal claims for significant damages against a business for anti-competitive conduct.

BNSF's [Antitrust Compliance Policy](#) is designed to help you fulfill your legal and ethical responsibility to guard against breaches of antitrust laws.

Select the Next arrow to continue.



Joint Customer

Joe is working to establish commercial terms for a customer, Acme Corp., for a shipment that will originate on BNSF in California and terminate in Pennsylvania on another railroad.

Joe calls the other railroad to discuss the terms of the specific shipment for the joint customer, Acme Corp. During the call, the other railroad begins to comment on terms applicable to other shipments, including shipments that do not involve BNSF.



What is the best course of action for Joe?
Choose TWO correct responses.



Ask the other railroad to limit the discussion to only the terms for the joint shipment with Acme Corp. Report the incident to the Law Department.



If the other railroad does not stop the conversation, tell them you will need to hang up and discontinue the conference call.



Dive deeper into the topics raised by the other railroad. It's always good to learn market intelligence from others in the industry.



Listen to the other railroad, but don't ask questions or reveal BNSF information. Antitrust laws only prohibit active discussions, not listening.

Submit >

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Remember...

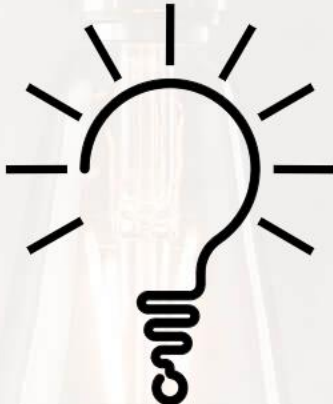
Agreements that restrict competition may violate the antitrust laws.

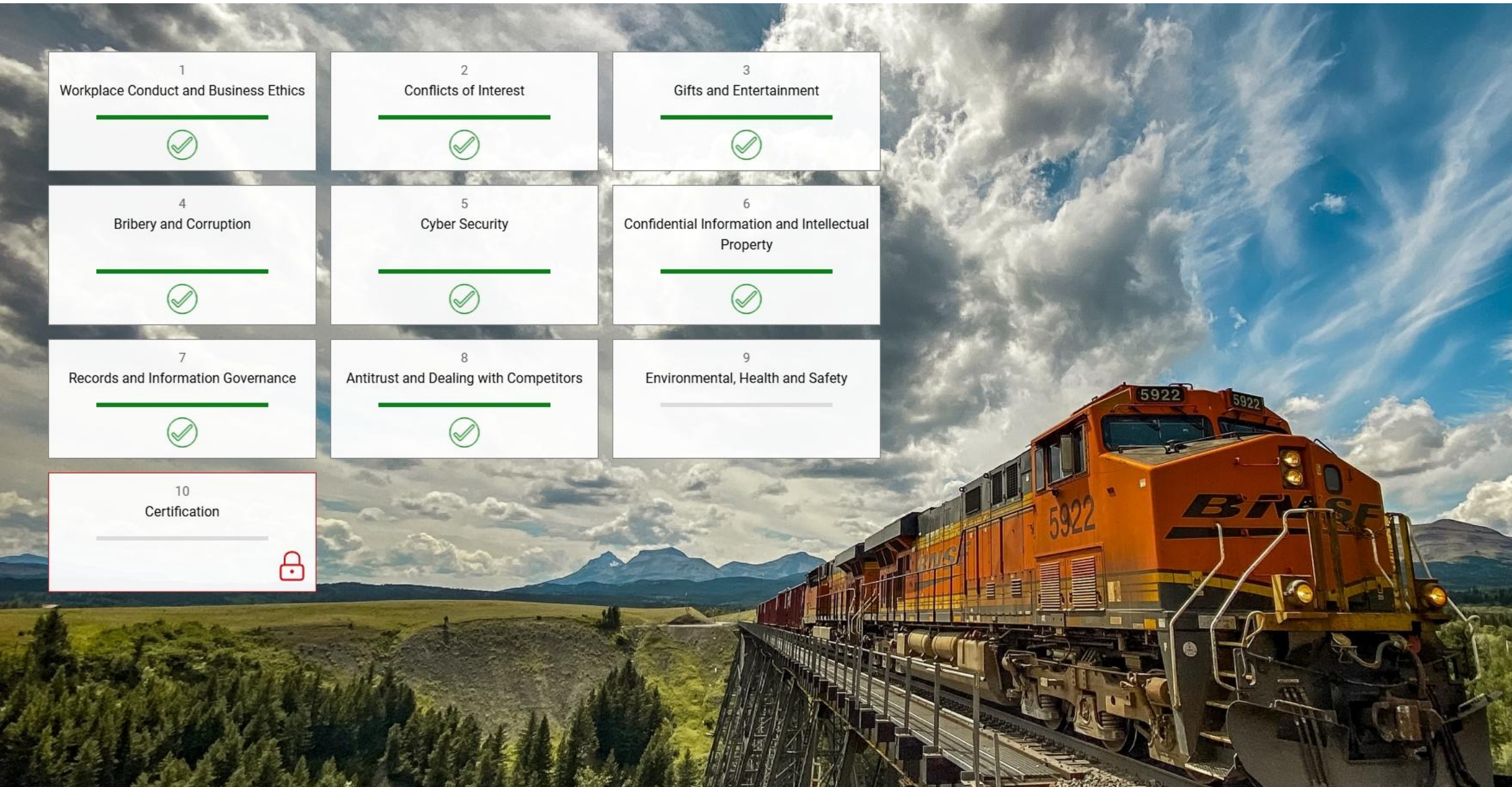
Engaging with, or even appearing to engage with, a competitor in prohibited activities could also seriously damage our Company's reputation. This could result in severe penalties, and even prison sentences for individual employees and potential liability for our Company as well.

Antitrust laws also prohibit collusion between parties to rig bids and control the market. Bidding too high or too low and suppressing bids so that contracts can be rotated between colluding parties, are violations of antitrust laws. Dividing territories is also a violation of antitrust laws.

If you have any questions, you can find out who to contact [here](#). For additional information, see the [Antitrust Compliance Policy](#).

Select the Next arrow to continue.





1
Workplace Conduct and Business Ethics

Progress bar: 100% complete

✓

2
Conflicts of Interest

Progress bar: 100% complete

✓

3
Gifts and Entertainment

Progress bar: 100% complete

✓

4
Bribery and Corruption

Progress bar: 100% complete

✓

5
Cyber Security

Progress bar: 100% complete

✓

6
Confidential Information and Intellectual Property

Progress bar: 100% complete

✓

7
Records and Information Governance

Progress bar: 100% complete

✓

8
Antitrust and Dealing with Competitors

Progress bar: 100% complete

✓

9
Environmental, Health and Safety

Progress bar: 0% complete

10
Certification

Progress bar: 0% complete

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Screens Completed



Learning Progress



Time Spent



Safety, health and environmental stewardship is everyone's responsibility.

BNSF is committed to the health and safety of our employees, contractors, visitors to our facilities, and the communities in which we operate. We are also committed to protecting the environment and operating in a sustainable manner that provides long-term economic, environmental, social and community benefits.

BNSF's vision is to operate accident free. Our safety, health, environment and sustainability programs, training, and technology are core elements of the tasks we perform to make that vision a reality. The skills we learn and practice empower our workforce to take responsibility for their personal safety and the safety of fellow employees, the environment, and the communities we serve. We believe that every BNSF employee should be guided by the following safety concepts:

- Instill a culture of commitment and compliance by consistently modeling exceptional safety, health, and environmental leadership behaviors.
- Encourage effective and engaging Job Safety Briefings to identify exposures and control or minimize safety, health, and environmental risks.
- Routinely interact with employees and contractors about safety, health, and environmental requirements and consistently provide feedback to address at-risk actions and reinforce safe behaviors.

As part of protecting the health and safety of our employees, we provide a workplace that is free from illegal drugs, alcohol, and threats of violence.

As BNSF employees, each of us has an obligation to comply with safety rules and environmental requirements and report any condition believed to be at-risk, unhealthy, or hazardous. We perform our work duties in a manner that complies with regulatory requirements and BNSF Policies as well as supports BNSF's efforts to continuously improve in these areas. Doing so supports our Vision & Values and our commitment to safety.

If you have questions, you can find out who you need to contact [here](#). For additional information, see the [Environmental, Health & Safety Policy](#), [Use of Alcohol and Drugs Policy](#), and [Violence in the Workplace Policy](#).

Select the Next arrow to continue.





What should you do?



The first priority is to ensure the employee receives prompt medical treatment. The accident should then be thoroughly investigated.



Gather all of the information you need to report the incident and then see if the employee still feels medical treatment is required.



Nothing. It is not your responsibility.

Submit >

Medical Treatment

An employee who reports to you has slipped and fallen while on the job. The incident was reported to you immediately and the employee requested medical attention. Before arranging for medical care, you want to investigate the incident so you can report it accurately. From outward appearances, you don't think the employee is badly injured, so you're not sure if immediate medical attention is warranted.



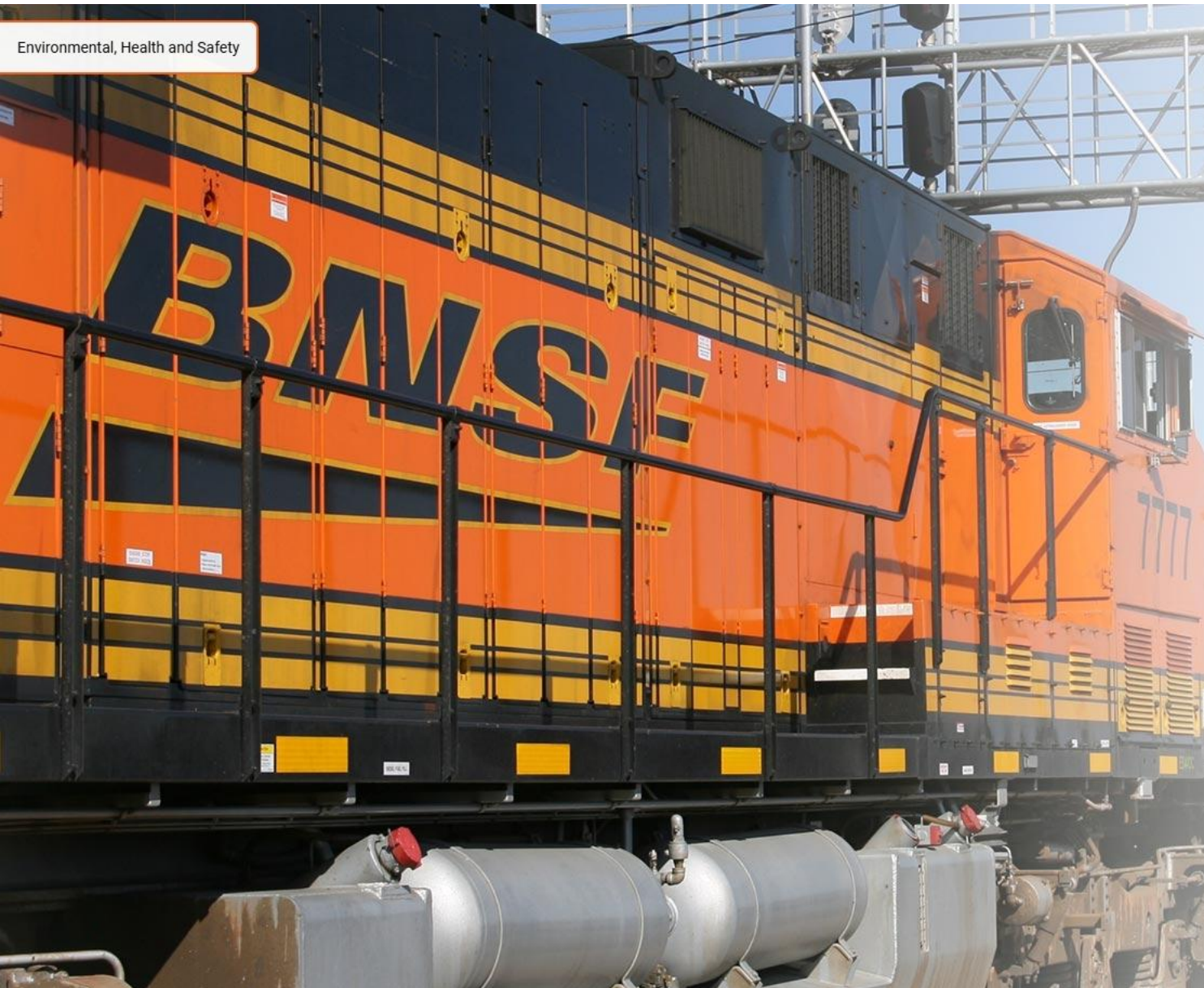
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Submit >

Medical Treatment

An employee who reports to you has slipped and fallen while on the job. The incident was reported to you immediately and the employee requested medical attention. Before arranging for medical care, you want to investigate the incident so you can report it accurately. From outward appearances, you don't think the employee is badly injured, so you're not sure if immediate medical attention is warranted.



You must ensure the employee receives prompt medical treatment. Call emergency services if necessary. Supervisors, or their designees, are responsible for arranging transportation for the employee to the medical provider's location and should offer to accompany or meet the employee at the medical provider's location.

It is not appropriate to accompany the employee into the examine room, unless specifically requested to do so by the employee. Never attempt to influence or interfere with medical treatment.

Although BNSF requires prompt reporting of accidents or injuries, taking care of our people is the top priority.

BNSF and federal law strictly prohibit any retaliation, harassment, or intimidation that discourages or prevents someone from requesting or receiving proper medical attention or reporting an accident, illness, or injury. Retaliation, harassment, or intimidation against an employee who reports a hazardous safety or security condition, or for following the orders or a treatment plan of their physician, is also strictly prohibited.




Select the Next arrow to continue.



Medical Emergency

Eleanor is in a meeting room discussing a project with Luke. They are the only people in the room. Luke complains that he's not feeling well. His speech then starts to slur, and he slumps forward in his chair. Eleanor thinks he might be having a stroke.

What should Eleanor do?

-  Dial 911 immediately (or 4444 if at the Fort Worth or Topeka campuses, or 4111 if at the TTC) and report the medical emergency. She should stay with Luke until emergency services arrive.
-  Leave the room to find another employee and ask them to call Resource Protection. Then go back to the meeting room and stay with Luke until emergency services arrive.
-  Leave Luke in the meeting room and try to find someone in the building who has medical experience so that they can help. If she can't find anyone, return to the meeting room and call 911.

Submit >



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Submit >

In a medical emergency, acting quickly and correctly can mean the difference between someone making a full recovery or not.

The first thing you should do in a medical emergency is dial 911 (or 4444 if at the Fort Worth or Topeka campuses) and stay with the victim until help arrives.

Select the Next arrow to continue.



Spill Reporting

While walking through a BNSF yard, you see an unidentified material that looks like a spill, such as a large oil stain, but didn't see anything being spilled. Do you need to report the suspected release?

What should you do?

- Yes. Report the potential release to the BNSF Service Interruption Desk (SID) so that appropriate parties can investigate and determine the need for additional actions.
- No, as you can assume the spill has already been reported.
- Nothing. It is not your responsibility.

Submit >



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Submit >

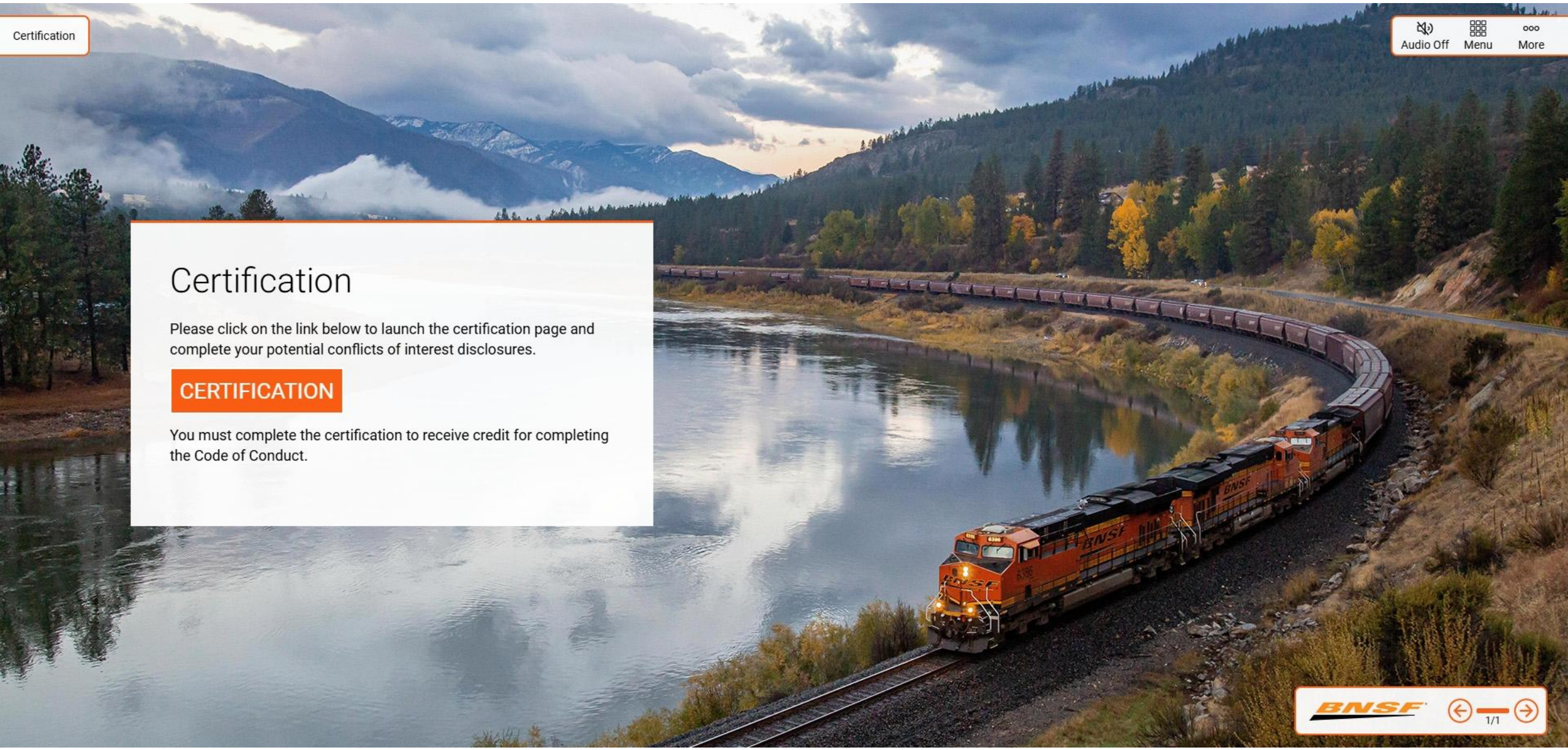


Remember...

As a rule of thumb, when in doubt about the need to report a release to the BNSF Service Interruption Desk (SID) always report the issue immediately by calling **817-593-6823**. The SID will review the respective federal/state/local spill reporting requirements and determine if additional reporting is needed.

Select the Next arrow to continue.





Certification

Please click on the link below to launch the certification page and complete your potential conflicts of interest disclosures.

CERTIFICATION

You must complete the certification to receive credit for completing the Code of Conduct.

1
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✓

2
Conflicts of Interest

✓

3
Gifts and Entertainment

✓

4
Bribery and Corruption

✓

5
Cyber Security

✓

6
Confidential Information and Intellectual Property

✓

7
Records and Information Governance

✓

8
Antitrust and Dealing with Competitors

✓

9
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✓

10
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