

LEGEND IMPORTS



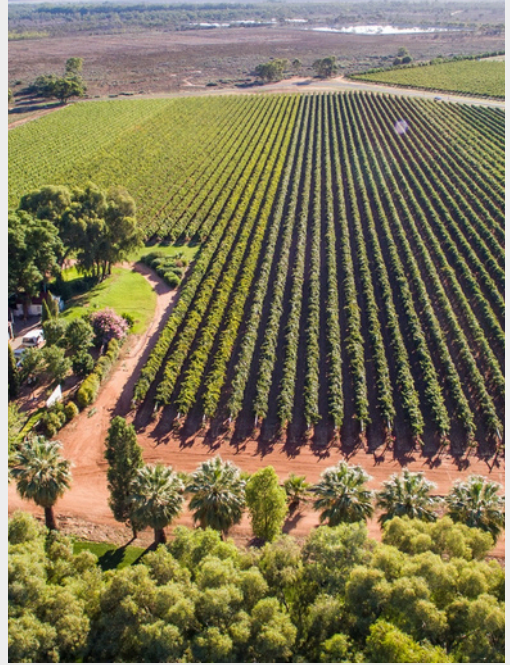
IMPACT
HANDBOOK

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MISSION + IMPACT



OUR MISSION STATEMENT

To create meaningful relationships – between consumers and farmers, merchants and distributors, educators and students – around the globally prolific system of agriculture (and the centerpiece of the dinner-table) that is wine. To do this with a reverence for all of those that came before, for the environment, for its farmers and agricultural workers, and for its drinkers and sellers.

OUR IMPACT STATEMENT

With every decision that Legend makes, we consider the social and environmental implications. We believe that a sustainable business is not just sustainable for itself, but for the people and world around it. And we believe that our financial wellbeing is intimately tied to wellbeing of the communities that we interact with.

Our primary social impacts are 1) to champion fair wages and proper conditions in the wine industry and 2) to promote high-quality and accessible wine education that highlights and recognizes social issues in our industry like equity, Indigenous land rights, and fair labor.

Our primary environmental impacts are 1) to encourage sustainable farming and facilitate transparency of farming practices and 2) to offset the carbon footprint of wine transit.

VALUE STATEMENT + POLICIES

FIRST PUBLISHED IN 2020 AT
THE OUTSET OF OUR BUSINESS,
THIS STATEMENT HAS
EVOLVED OVER THE YEARS.

When we founded Legend in July of 2020, we launched it alongside a set of values that we wanted to define our business. In the following 4 years, we've lived up to these values in many ways (and we've fallen short as well), but more than anything we've reaffirmed that these are values worth fighting for.

We have since released three annual accountability reports (2021, 2022, and 2023 with 2024 due at the beginning of 2025)—a way for us to stay accountable to our customers, our partners, and ourselves. We hope to encourage an open dialogue and see this as a lifelong commitment.

ADDITIONAL POLICIES:

Though we are a small business of two founding-members, the work we have done on our value statement and annual reports has encouraged us to formalize some of our most important values:

- We are formally committed to donating the equivalent of 5% or more of our time through pro-bono services, including education, time donated to charities/non-profits, and other acts of service to our local and broader communities.
- We are formally committed to donating 10% of the proceeds from the sale of our book, *How to Drink Australian*, to Indigenous charities in Australia.
- We are formally committed to donating 2% of our profits in pro-bono time, in-kind product contribution and/or monetary donation to charitable groups.
- We have a process for vetting the organizations that we donate our time and money to that involves using third-party research, tapping our network of contacts, and – importantly – often taking leadership roles ourselves within the organization or its events.

CODE OF ETHICS

LEGEND WAS FOUNDED ON SEVERAL PRINCIPLES, INCLUDING ETHICAL CONDUCT, INTERACTIONS, AND PARTNERSHIPS. THIS POLICY WAS CREATED TO GUIDE THE DECISIONS THAT WE MAKE, TO INFORM PARTNERS OF OUR VALUES, AND TO PROVIDE A JUMPING OFF POINT FOR A MORE COMPREHENSIVE POLICY WHEN WE HAVE EMPLOYEES.



HONESTY AND TRANSPARENCY

We strive to always be honest and transparent in our interactions with our distributors, restaurants and retailers we work with, and consumers we sell wine to. Our website provides comprehensive information about us, our suppliers, and the distributors we work with.

ETHICAL DECISION MAKING

One of Legend's key tenets is that we consider the ethical implications of the decisions that we make: what suppliers and distributors we work with; the logistics, financial, and service businesses we employ; and daily decisions that keep our business running.

RESPECT & EQUITY

We have a zero tolerance policy for ourselves and in our interactions for any sort of disrespect, bullying, and hate speech. Equity in the wine industry is a driving force for us and informs our decisions and modes of operation.

LEGAL & REGULATORY COMPLIANCE

The wine industry is one of the most regulated industries in the United States. Following the letter of the law is paramount for us – for the protection of the business itself, all of our partners, and public health & safety.

ADVISORY BOARD



IN 2023, LEGEND CREATED AN ADVISORY BOARD CONSISTING OF MEMBERS IN ALL ITS STAKEHOLDER AREAS: SUPPLIERS (WINERIES) THAT WE REPRESENT, DISTRIBUTORS WHO BUY WINE FROM US, COMMUNITY MEMBERS IN THE SOCIAL/ENVIRONMENTAL IMPACT SPACE, AND A LENDER.

Though our business is small at the moment, our interactions with the communities around us are of the utmost importance to how we run our company. We have enlisted eight individuals/businesses who have a stake in the success of our business to comment on the areas in which they see legend as an ethical business and where there is room for improvement.

Linked are [the survey](#), that each board member filled out, as well as [the responses](#) that we received. We have taken all these responses on board and are actively working toward addressing all feedback.

The stakeholder board consists of:

- Pamela Busch, director of 501(c)3 The Vanguard
- Kim Chalmers, winery supplier at Chalmers
- Gail Lopes, Lender
- Matt Purbrick, winery supplier at Minimum
- Tim Rawding, Portfolio Manager for Best Brands, Inc.
- Glen Roberts, winery supplier at La Petite Mort
- Collin Williams, Portfolio Manager for Tryon Distributing
- Ricky Young, owner of Stem Wine Company

SUPPLIER STANDARDS + TRANSPARENCY



IT IS IMPORTANT TO US AS IMPORTERS THAT WE BOTH VET AND COMMUNICATE THE ENVIRONMENTAL AND LABOR PRACTICES OF OUR PRODUCERS, AND THAT THOSE -- AS WELL AS AN OVERALL APPROACH AND PHILOSOPHY -- ALIGN WITH OUR VALUES. THESE RESPONSES ARE FEATURED ON THE "IN THEIR WORDS" SECTION ON LEGEND'S WEBSITE, ALLOWING THE PRODUCERS TO SPEAK DIRECTLY ABOUT THE MYRIAD WAYS THEY APPROACH SUSTAINABILITY AND HOW THEY VIEW THE RESPONSIBILITY OF LOOKING AFTER THEIR STAFF.

WE VERY PROUDLY WORK WITH AUSTRALIAN PRODUCERS BECAUSE THE LABOR STANDARDS ARE SO HIGH. EVERY PRODUCER WHO IS ABLE TO RECEIVE AN EXPORT PERMIT IS IN GOOD STANDING WITH THE AUSTRALIAN FAIR WORK COMMISSION AND HAS NO INFRACTIONS AGAINST THEM.

SUPPLIER STANDARDS + TRANSPARENCY

THE BELOW PROMPT IS WHAT WE HAVE DEVELOPED FOR OUR PRODUCERS, TO INTERROGATE THEIR PRACTICES AND TO CREATE THEIR PROFILE ON OUR WEBSITE.

ON LABOR

In Australia, we take for granted that everyone has good labor practices, but that's not the case in the US. Please outline your labor practices as if talking to someone who is not familiar with Australian labor wages. Be as specific as possible. You don't have to include numbers, and we will link to the individual state award systems, but here are some questions to include:

- How many workers do you have, full time vs. part time?
- How do you approach seasonal labor? How are seasonal workers compensated?
- What are the steps you take to ensure that people are safe and looked after?
- What is your general outlook on labor and providing employment?

ON THE ENVIRONMENT

Even if you're not certified organic or bio-D, we know that everyone in this group takes actions to ensure their own sustainability, environmental and otherwise. Please outline your philosophy on sustainability and environmental practices, and what steps you take in the vineyard, winery, and in your lives to make the world a better place for the next generation of people, animals, and earth. Here are some specific questions:

- Do you have any third-party environmental certifications?
- Do you employ any synthetics in your vineyard? Which and why?
- How does your approach to farming work to create as healthy an environment as possible?
- What organizations do you partner with or align yourselves with to further your sustainability work?
- Do you use any renewable energy? How do you approach recycling or sustainably disposing of waste? What is your approach to water usage?
- Do you do any further conversation or regeneration work?

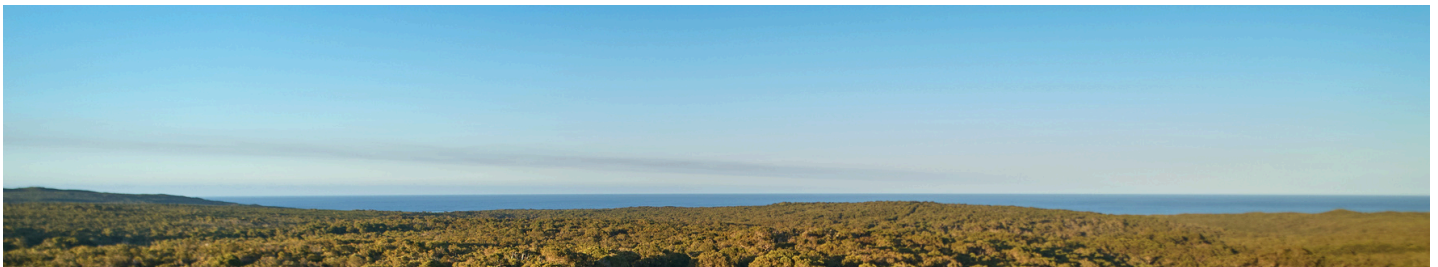
ON OVERALL MISSION

Please give us a sentence or paragraph about how you view your philosophy and mission in the wine world. It can be humorous or serious, just something that shows your personality and purpose.

SUPPLIER CERTIFICATIONS

WHILE MANY OF OUR SUPPLIERS PRACTICE ORGANICS, BIODYNAMICS, AND REGENERATIVE AGRICULTURE WITHOUT A CERTIFICATION (OR WORK WITH CERTIFIED VINEYARDS, BUT ARE NOT THEMSELVES CERTIFIED), BELOW ARE THE WINERIES THAT HAVE ATTAINED CERTIFICATION FOR THEMSELVES AND/OR THEIR ESTATE VINEYARDS.

In 2023–2024, XXX% of our purchases came from wineries with third-party certifications.



WINERY NAME	LOCATION	CERTIFICATION
Bill Downie (Guendulain Farm)	Gippsland, VIC	<u>ACO (Australian Certified Organic)</u>
Chalmers	Heathcote, VIC	<u>Sustainable Winegrowing Australia</u>
Corymbia	Margaret River, WA	<u>ACO (Australian Certified Organic)</u>
Giaconda	Beechworth, VIC	<u>Bio-Dynamic Research Institute (BDRI)</u>
Minimum	Goulburn Valley, VIC	<u>ACO (Australian Certified Organic)</u> + <u>USDA Organic</u>
Mother Block	Murray Darling, VIC	<u>Sustainable Winegrowing Australia</u>
Ngeringa	Adelaide Hills, SA	<u>NASAA Organic</u>
Seppeltsfield	Barossa Valley, SA	<u>Sustainable Winegrowing Australia</u>

SUPPLIER DIVERSITY

HAVING A DIVERSE SET OF WINERIES IN OUR PORTFOLIO HAS BEEN IMPORTANT TO LEGEND FROM DAY ONE.

It is our formal policy to give special consideration, when deciding to bring new producers into our portfolio, to suppliers with ownership from underrepresented populations. We aim to always have 50% of wineries owned or managed by women, BIPOC, and/or LGBTQ+ individuals. We are also formally committed to buying at least 50% of our stock from producers who qualify as small-scale under the conditions of the US craft beverage act.



WINERY NAME	LOCATION	OWNERSHIP/MANAGEMENT
Bird on a Wire	Yarra Valley, VIC	100% Woman-Owned, -Ran, -Made
Attwoods	Macedon Ranges, VIC	50% Woman-Owned, -Ran
Babche Wines	Timboon, VIC	50% Woman-Owned, -Ran, -Made
Chalmers	Heathcote, VIC	100% Woman-Owned, -Ran
Corymbia	Margaret River, WA	50% Woman-Owned, -Ran, -Made
Henskens Rankin	Hobart, TAS	50% Woman-Owned, -Ran, -Made
La Petite Mort	Granite Belt, QLD	100% LGBTQ+ Owned, -Ran, -Made; 50% Australian-Asian Owned, -Ran, -Made
Mérite	Wrattonbully, SA	50% Woman-Owned, -Ran
Minimum	Goulburn Valley, VIC	50% Woman-Owned
Mother Block	Murray Darling, VIC	100% Woman-Owned, -Ran

SUPPLIER DIVERSITY, CONTINUED

THE NUMBERS

- Currently 62.5% of our wineries have either majority ownership or management/winemaking by underrepresented populations
- 59.4% of our wineries are minimum 50% owned by underrepresented populations
- In 2023 and 2024, XXX% of our wine purchased came from wineries owned/managed by women and underrepresented populations



WINERY NAME	LOCATION	OWNERSHIP/MANAGEMENT
Mother Tongue	Barossa Valley, SA	50% Woman-Owned
Mt Yengo	Adelaide Hills, SA	66% Indigenous-Owned, -Ran
Ngeringa	Adelaide Hills, SA	50% Woman-Owned, -Ran
Reed Wines	Geelong, VIC	100% Woman-Owned, -Ran, -Made
Rasa	Barossa Valley, SA	50% Woman-Owned
Sailor Seeks Horse	Huon Valley, TAS	50% Woman-Owned, -Ran, -Made
Seppeltsfield	Barossa Valley, SA	Woman-Made (Chief Winemaker)
Silent Way	Macedon Ranges, VIC	50% Woman-Owned
Stargazer	Coal River Valley, TAS	100% Woman-Owned, -Ran, -Made
Vino Volta	Swan Valley, WA	50% Woman-Owned

CUSTOMER STEWARDSHIP



AS A B2B COMPANY, OUR CUSTOMERS ARE CONFINED TO LESS THAN THIRTY DISTRIBUTORS ACROSS THE COUNTRY.

Though this structure doesn't require extensive mechanisms for customer support, we do ensure communication and feedback in the following ways:

- We reach out to all of our distributors at least once monthly to check in about their progress and how we can support them.
- We offer to visit each of our markets at least once a year, and rarely turn down requests for more than that.
- We have an in-depth strategic planning session with each of our distributors annually to discuss the plans for the following year and how we can best support them.

We also monitor and have specific targets for client satisfaction:

- Sales are monitored from year to year as an easy metric for how satisfied our distributors are with our products: the more they sell, the more meaningful our products are to them as a business.
- Our goal is to add 4 new clients (distributors) every year, and to see a re-order within the first six weeks of launching the portfolio. This is a great metric for how quickly and effectively the wines are becoming a meaningful part of their business.
- In 2024, we achieved the goal of adding 4 new distributors, and each re-ordered within 6 weeks of launching our portfolio.

MEET THE TEAM

JON AND JANE ARE THE FOUNDERS
AND CO-OWNERS OF LEGEND
IMPORTS.



JANE LOPES

Founder & Majority Owner

Jane Lopes is a Nashville-based sommelier, author, and importer. She has worked at New York's Eleven Madison Park, Nashville's The Catbird Seat, Chicago's The Violet Hour, and most recently as the wine director at Attica, one of Australia's most celebrated restaurants. Jane was featured on Esquire network's 2015 television series *Uncorked*, which follows six New York City sommeliers in pursuit of the Master Sommelier title (which Jane attained in 2018). In September of 2019, Jane finally put her University of Chicago literature degree to good use in publishing her first book, a personal and educational guide to wine called *Vignette: Stories of Life and Wine in 100 Bottles*. In 2020, Jane and her husband Jonathan Ross co-founded their Australian wine imports company: Legend. Jane's second book, *How to Drink Australian* (co-authored with her husband), published in September 2023. Jane proudly sits on the board of the wine industry non-profit The Vanguard.



JON ROSS

Founder & Owner

Jonathan Ross is a New Jersey-born wine professional who spent most of his career working in the New York restaurant industry. Jon's time in New York was capped off by a 5-year stint as the head sommelier at Eleven Madison Park, which culminated in the restaurant's rise to the top spot on the San Pellegrino 50 Best Restaurant List. In 2017, Jon moved to Melbourne, Australia where he joined the Rockpool Dining Group as beverage director, overseeing the premium pillar of restaurants in Victoria and WA. While living in Melbourne, Jon launched his own label called Micro Wines. In 2017, he passed the master sommelier exam. In 2020, Jon and wife Jane Lopes returned to the US, and launched Legend Imports, bringing the wines they fell in love with while in Australia back to the US. Jon and Jane's Australian wine book, *How to Drink Australian*, published in September 2023. Among his many roles, Jon is passionate about education and mentorship in the wine industry.

PURPOSE + DIRECTORS CLAUSES

PURPOSE CLAUSE

The purpose of the company includes creating a material positive impact on society and the environment, taken as a whole, from the business and operations of the company.

DIRECTORS CLAUSE

- a) In discharging the duties of their positions and in considering the best interests of the Company, a [manager] [managing member] shall consider the effects of any action or inaction on:
- i) the members of the Company;
 - ii) the employees and work force of the Company, its subsidiaries, and its suppliers;
 - iii) the interests of its customers as beneficiaries of the purpose of the Company to have a material positive impact on society and the environment;
 - iv) community and societal factors, including those of each community in which offices or facilities of the Company, its subsidiaries, or its suppliers are located;
 - v) the local and global environment;
 - vi) the short-term and long-term interests of the Company, including benefits that may accrue to the Company from its long-term plans and the possibility that these interests may be best served by the continued independence of the Company; and
 - vii) the ability of the Company to create a material positive impact on society and the environment, taken as a whole.
- b) In discharging the duties of a [manager][managing member], and in determining what is in the best interests of the Company and its members, a [manager] [managing member] shall not be required to regard any interest, or the interests of any particular group affected by an action or inaction, including the members, as a dominant or controlling interest or factor. A [manager] [managing member] shall not be personally liable for monetary damages for: (i) any action or inaction in the course of performing the duties of a [manager] [managing member] under this paragraph if the [manager] [managing member] was not interested with respect to the action or inaction; or (ii) failure of the Company to create a material positive impact on society and the environment, taken as a whole.
- c) A [manager] [managing member] does not have a duty to any person other than a member in its capacity as a member with respect to the purpose of the Company or the obligations set forth in this Article, and nothing in this Article express or implied, is intended to create or shall create or grant any right in or for any person other than a member or any cause of action by or for any person other than a member or the Company.
- d) Notwithstanding anything set forth herein, a [manager] [managing member] is entitled to rely on the provisions regarding ""best interests"" set forth above in enforcing the rights of a [manager] [managing member] hereunder and under state law, and such reliance shall not, absent another breach, be construed as a breach of a [manager's] [managing member's] duty of care, even in the context of a Change in Control Transaction where, as a result of weighing the interests set forth in subsection (a)(i)–(vii) above, a managing member determines to accept an offer, between two competing offers, with a lower price per unit.
- e) A [manager] [managing member] who makes a business judgment in good faith fulfills the duty under this section if the [manager] [managing member]: (i) is not interested in the subject of the business judgment; (ii) is informed with respect to the subject of the business judgment to the extent the director reasonably believes to be appropriate under the circumstances; and (iii) rationally believes that the business judgment is in the best interests of the Company.

CONTACT US

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