



**2019**

Aspen Technology  
Corporate Responsibility Report



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# Letter from the CEO

## Sustainability and Corporate Responsibility

You may know Aspen Technology, Inc. (AspenTech) as a leading provider of asset optimization software. But when people ask me about AspenTech, the first thing that comes to my mind is the passion of our employees around what we do — “We model customer success.” We focus on the toughest and most complex problems our customers have and we try to solve them, so they can be more successful in achieving their financial, operational and sustainability goals.



We do that by applying knowledge, not just technologies.

“Solutions” is an overused word in the technology industry, but for us it truly does represent a multi-faceted combination of products, functionality, know-how and experience in the industries we serve — the AspenTech domain expertise that has been built up over more than 35 years of exclusive focus on capital-intensive industries. We were originally a spin-off of a Massachusetts Institute of Technology project that was funded by the United States Department of Energy. Our roots go back to a mission that remains at our core today: digitally transform the industries we serve by optimizing their assets to run faster, longer, safer and greener.

We focus on solving the biggest challenges because that’s where the value is. Today, we estimate that our customers create over \$50 billion in annual value through the use of AspenTech solutions, which is why they view our products as mission-critical. But just as important, our software helps our customers enhance the safety and reliability of their operations, achieve regulatory compliance, and mitigate the impact on the environment. This is at the heart of today’s global business environment — balancing profitability with



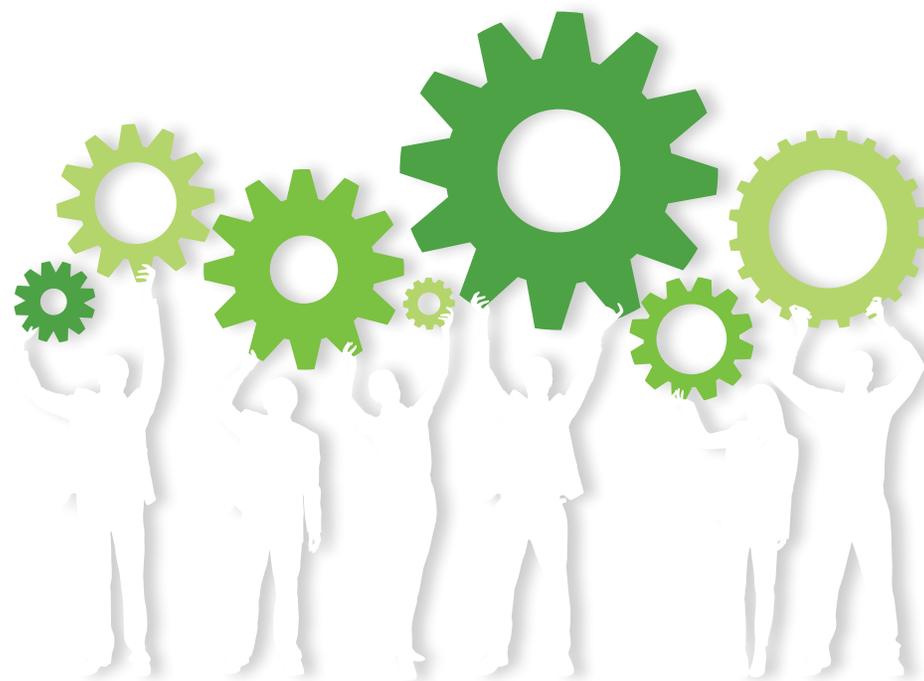
corporate responsibility. Striking that balance is a critical imperative that we share with our customers. It is a challenge we fully embrace, both in the solutions we provide for those customers and in the manner in which we run our own company.

At AspenTech, our framework for thinking about corporate responsibility consists of three areas — business, people and environment — and we view them as intricately linked to the concept of sustainability.

- **Business.** aspenONE® advanced software solutions and technologies enable our customers to achieve sustained optimal performance while also helping them meet their safety, health and environmental compliance goals. And in our own organization, we have implemented comprehensive business practices to ensure sustainable operations — optimal capital allocation, appropriate corporate governance, and security and data protection of employee, customer and vendor information.
- **People.** The driving force behind our success has always been the people of AspenTech, and we work hard to attract, develop and maintain a robust and diverse employee population. Our many organizational development and engagement programs are designed to operationalize the AspenTech Values, a set of principles that define how we view our responsibility to our customers, shareholders and employees. We seek to hire and develop employees who live up to these values, learning the skills and traits that will also enable them to have a positive impact on society outside of AspenTech.
- **Environment.** As a software company, our environmental impact and carbon footprint are less than what might be found in other industries. However, we continually implement new programs and enhancements that reduce our impact on the environment in AspenTech offices around the world.

At AspenTech, we are proud of our accomplishments — sustained market leadership, the significant value we deliver to our customers, a culture of innovation, collaboration and high performance, and consecutive years of profitable growth and best-in-class financials that investors value. We believe that our focus on corporate responsibility has been a key factor in our success, and we take seriously our commitment to being responsible corporate citizens. We will continue to make significant investments in our employees and programs that ensure we meet that commitment for many years to come.

Antonio Pietri  
President & CEO  
Aspen Technology, Inc.



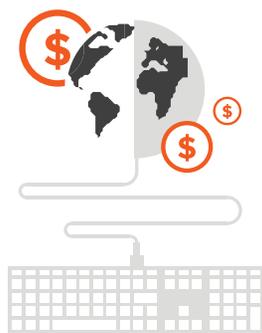


## Who We Are

AspenTech makes the best companies better by optimizing asset performance in complex, industrial environments with software and insights that run assets faster, safer, longer and greener. Our integrated solutions for capital-intensive industries optimize assets across the design, operations and maintenance lifecycle, by combining real-time data with rich process knowledge and the power of machine learning.

For more than 35 years we have been focused on innovation that drives customer value. Multiple times, AspenTech has been named to the Forbes Magazine World's Most Innovative Companies list. AspenTech has received the Hall of Fame Achievement Award for Service Excellence in customer support (given to five-time service award winners), and in 2016 Aspen Mtell received the Supplier Innovation Award from CSX Corporation, one of several awards we have received from customers.

## Customer Value



# \$50B

Estimated value created annually for our customers

# WORLDWIDE



## \$30M\*

Energy cost savings  
and safer designs



## 50+ days\*

Advance notice on  
equipment failures



## 10%\*

Reduction of  
greenhouse gases and  
energy consumption

*\*Examples of estimated value created by AspenTech software to enhance sustainable operations of three different customers*



## AspenTech Values

As a market leader, we believe that AspenTech has a responsibility to our customers, shareholders, employees and the industries we serve. We commit to making the best companies even better by optimizing asset performance in complex industrial environments. For shareholders, our focus is on maintaining a strong operational foundation, delivering best-in-class financials and continuing to increase shareholder value.

Every AspenTech employee understands that being part of a market leader means sharing and taking ownership of that responsibility, in the work they do every day and in how they interact with customers and each other.

Over the years, our commitment to this responsibility has resulted in a set of values that represent who we are, how we conduct ourselves and why we have sustained our market leadership. We have codified them into what we call the AspenTech Values. Following and adhering to these Values reminds us of what is required to uphold our responsibilities as good corporate citizens.



### Our Values

As a market leader, AspenTech has a responsibility to our customers and the industries we serve. Each of us must take ownership of that responsibility, every day. We embrace this challenge because it represents the passion we have for our work, the pride in what we have accomplished and the potential of what is still to come. These values represent who we are, what we aspire to be and how we will get there.

**INTEGRITY**

Act with integrity, always.

**CUSTOMER FOCUS**

Enable the success of your internal and external customers.

**INNOVATION**

Create value for AspenTech and our customers.

**COLLABORATION**

Be collaborative, seek alignment and mutual accountability.

**COMPETITIVE SPIRIT**

Know your competition, refuse to lose.  
Be all in, shape the outcome and deliver.

**ENTREPRENEURIAL THOUGHT-AND-ACTION**

Identify and seize the opportunities and challenges, grab the bouncing balls. Take risks, invest, determine outcomes quickly, learn a lot. Speak the truth, good or bad — speak up early, so action can be taken.

**EXECUTION**

Inspect what you expect, so that it leads to positive results. Avoid complacency. Question long-held assumptions. Do not be surprised.

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## Corporate Responsibility

Our framework for Corporate Responsibility has three components — Business, People and Environment. To create value for all our customers and shareholders, we must be successful in all three of these components.



Business



People



Environment



## Providing Sustainable Business Solutions for Our Customers

Customer success is at the core of AspenTech's mission, and sustainability is a top priority for the complex, capital-intensive organizations that rely on our software solutions every day. We leverage the latest advances in technology to help our customers deliver their products and services in the most operationally efficient and environmentally responsible ways possible.

aspenONE solutions allow our customers to target the sustainability metrics that matter most to them — reducing emissions, maximizing energy efficiency and complying with environmental regulations — while ensuring safe and reliable operations.

### *Safe Operations*

Safety is the number one operational priority for asset-intensive companies. AspenTech software helps our customers ensure safe operations in the most complex industrial environments.

Our products help our customers to:

- Ensure safe designs and adequate risk management
- Prevent unplanned downtime from process equipment degradation and/or mechanical equipment failure using predictive and prescriptive analytics
- Keep operations within safe operating limits and ensure compliance with environmental regulations
- Identify causality of past or ongoing events to prevent operational underperformance through automation of root cause analysis
- Understand and mitigate potential vulnerabilities by performing lifecycle analyses on assets



### ***Environmental Standards***

Asset-intensive companies operate within a complex regulatory landscape, with ever more stringent requirements for environmental compliance. AspenTech software helps our customers successfully meet these standards, specifically enabling customers to:

- Consistently meet environmental regulations, for example with accurate insights into the acid gas treating process, sulfur recovery control and monitoring of storage tank emissions
- Resolve and prevent emission infractions with alarming and quick troubleshooting using real-time insight into key production KPIs

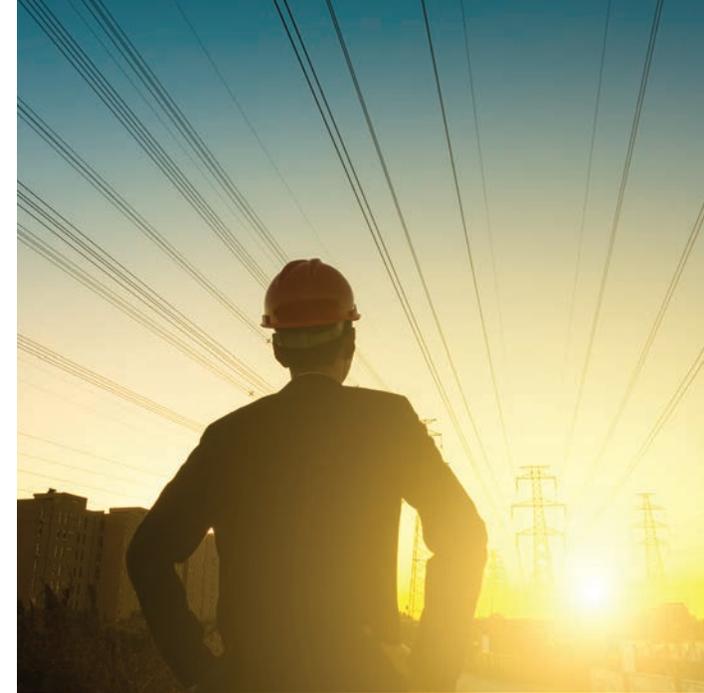
### ***Energy Management***

Effective energy management is an operational necessity for asset-intensive companies. Reducing energy use and emissions can enhance sustainability initiatives while also having a significant positive impact on financial results. AspenTech software makes it easier for companies to manage and optimize their energy and utility usage. Our products help customers to:

- Identify energy-saving opportunities in asset design
- Improve energy efficiency and reduce waste through production optimization
- More efficiently meet their demand-supply requirements

### ***Renewable Energy***

Alternative energy is increasingly accounting for more of the world's global energy supply and growing at faster rates than traditional sources. Our products help customers pursue renewable energy projects — for example, bioethanol, biodiesel, carbon capture, solar, wind and plastic recycling — with insights to improve profitability and reliability while reducing CAPEX investments.



Business

# Affirming Responsible Business Practices in AspenTech Operations

## *Information Security & Privacy*

In an increasingly digital world, it is more important than ever to ensure that data and electronic information that is shared across organizations is protected. As a market-leading software provider and employer, AspenTech is committed to safeguarding customer, employee and supplier information, and maintaining compliance with evolving government data protection measures.

We put comprehensive measures in place to ensure compliance with current laws, regulations and guidelines, and customer and vendor contracts. We continually seek to protect against theft, corruption or destruction, and to preserve our intellectual property, including trade secrets. We strive to create a “culture of security” within AspenTech so that all employees participate in the protection of information assets.

## *Employees*

AspenTech employees are the first line of defense in enforcing strict compliance of processes for ensuring safe and secure information handling.

We train employees on best practices in information security and privacy and publish newsletters and bulletins to keep them informed. We also ensure that information technology security personnel have advanced training in these areas.

## *Process*

With technology changing at a rapid pace, it is vital that information technology organizations stay current with appropriate processes and procedures to guide employees in proper information handling. Processes that are in place include:

- Formal governance processes for keeping management aware of security policies, incidents and program plans
- Documented security program controls, including risk management, acceptable use, incident response, data protection, physical security, vendor management and audit controls, among others





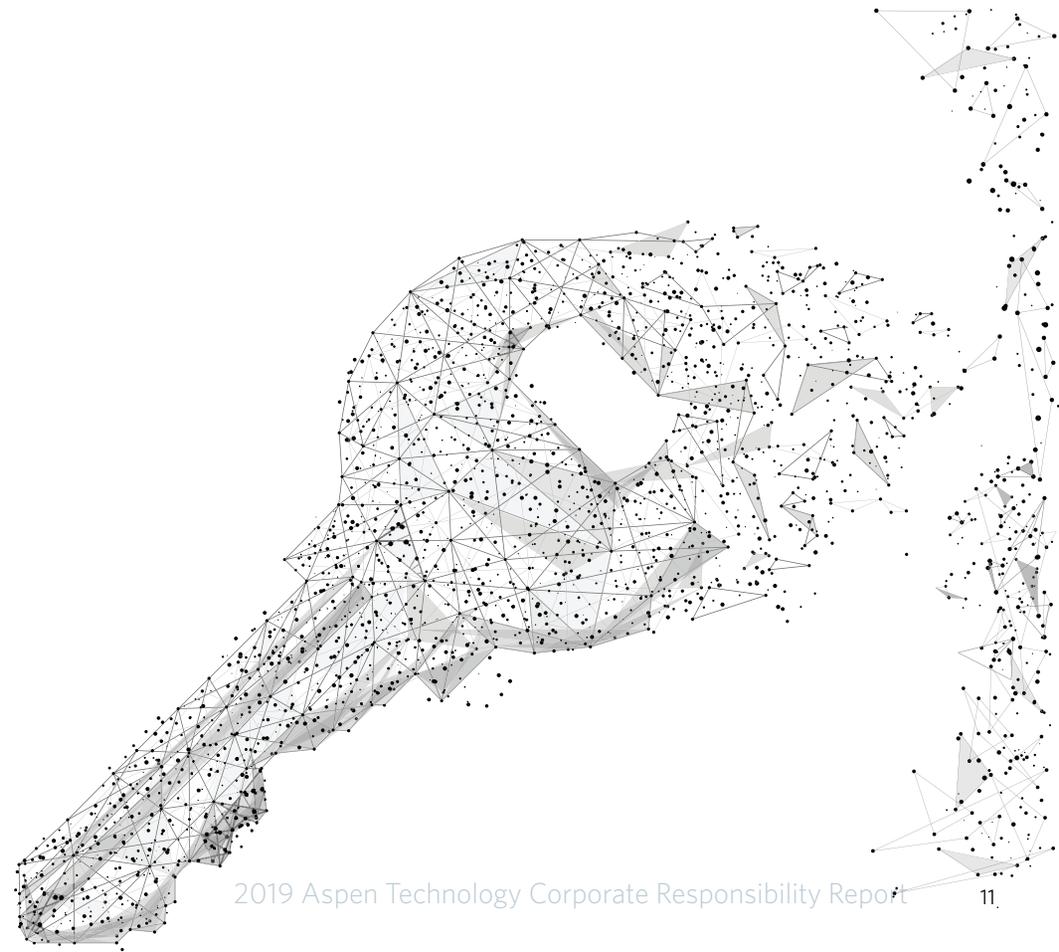
Business

### *Technology*

As with processes and procedures, it is critical that data security and protection technology be kept current.

- AspenTech has implemented advanced protection across the company
- We continually review current cyber defenses and identify possible new defenses

AspenTech's Privacy and Security Policy is posted on our corporate website and can be found [here](#).



## Affirming Responsible Business Practices in AspenTech Operations

### *Corporate Governance*

Adhering to effective corporate governance practices is critical for any company, especially in dynamic, fast-changing technology environments. As a market leader, AspenTech is committed to the highest standards of ethical business conduct and corporate governance.

Every employee is guided by the principles contained in our AspenTech Values (see page 6), and we have adopted corporate policies that drive our overall governance practices.

### *Code of Conduct*

A code of conduct lays out an organization's expectations and guiding principles for appropriate workplace behavior. AspenTech publishes a Code of Business Conduct and Ethics that applies to our directors, officers and employees, including our principal executive officer, principal financial officer, principal accounting officer or controller, and persons performing similar functions.

The Code of Business Conduct and Ethics applies to financial conduct, as well as to relationships among employees and with our customers and suppliers. All new hires and existing employees are required to complete Code of Business Conduct and Ethics training on a regular basis. We have posted a copy of the Code of Business Conduct and Ethics in the Investor Relations section of our website located [here](#).

### *Anti-Bribery / Anti-Corruption*

Anti-bribery and anti-corruption guidelines provide key principles that apply to all interactions with the company's customers, business partners and other third parties in both the public and private sectors.

AspenTech has an anti-bribery and anti-corruption compliance program designed to encourage a culture of integrity and transparency in all company activities, and to show that bribery and corruption are never acceptable business practices and are not tolerated. This includes:

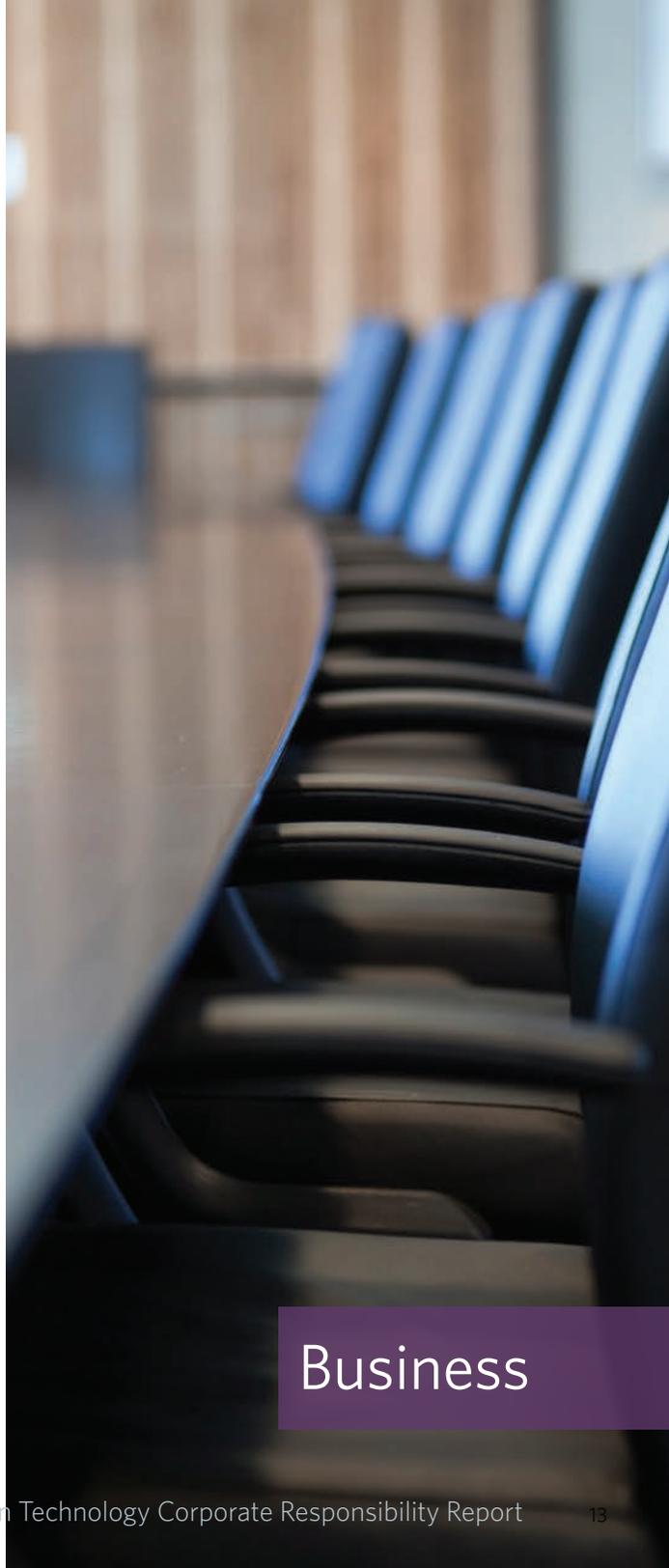
- Training in anti-bribery and anti-corruption for all employees worldwide
- A Whistleblower Hotline that allows anonymous reports to be made via email and phone

## Board and Committees

AspenTech's Board governance includes the following components:

- Nominating and Corporate Governance Committee of the Board that performs an annual assessment of director performance and considers the composition of the board on an ongoing basis.
- Compensation Committee of the board that approves executive compensation as well as corporate incentive plans and compensation policies.
- Audit Committee that ensures AspenTech uses accurate and transparent accounting methods.
- The Board of Directors uses the definition of independence established by The NASDAQ Stock Market. Under applicable NASDAQ rules, a director qualifies as an "independent director" if, in the opinion of the board, he or she does not have a relationship that would interfere with the exercise of independent judgment in carrying out the responsibilities of a director.
- We have adopted a policy that any nominee for director in an uncontested election who receives more withheld votes than votes in favor must submit an offer of resignation. More information on the Director nomination process can be found in the Proxy statement posted to the Investor Relations section of our company website at [www.aspentech.com](http://www.aspentech.com).
- The Board of Directors has adopted written policies and procedures for the review of any related-party transaction. If a related person proposes to enter into such a transaction, arrangement or relationship, which we refer to as a "related person transaction," the related person must report the proposed related person transaction to our general counsel. The policy calls for the proposed related person transaction to be reviewed and, if deemed appropriate, approved by the audit committee. More information can be found in the Proxy statement posted to the Investor Relations section of our company website at [www.aspentech.com](http://www.aspentech.com).

The Board of Directors currently has an independent chair, Robert M. Whelan, Jr. We believe that having an independent board chair can create an environment that is conducive to objective evaluation and oversight of management's performance and can increase management accountability and improve the ability of the board to monitor whether management's actions are in the best interests of our stockholders. As a result, we believe that having an independent board chair can enhance the effectiveness of the board as a whole.



Business



Business

### Integrity and Compliance

AspenTech is committed to operating with the highest levels of integrity and in compliance with all applicable laws. “Act with integrity, always.” is the first of the AspenTech Values.

AspenTech provides annual training for employees on conflicts of interest, financial integrity, General Data Protection Regulation (GDPR), cybersecurity, anti-bribery/Foreign Corrupt Practices Act (FCPA), non-discrimination and sexual harassment.

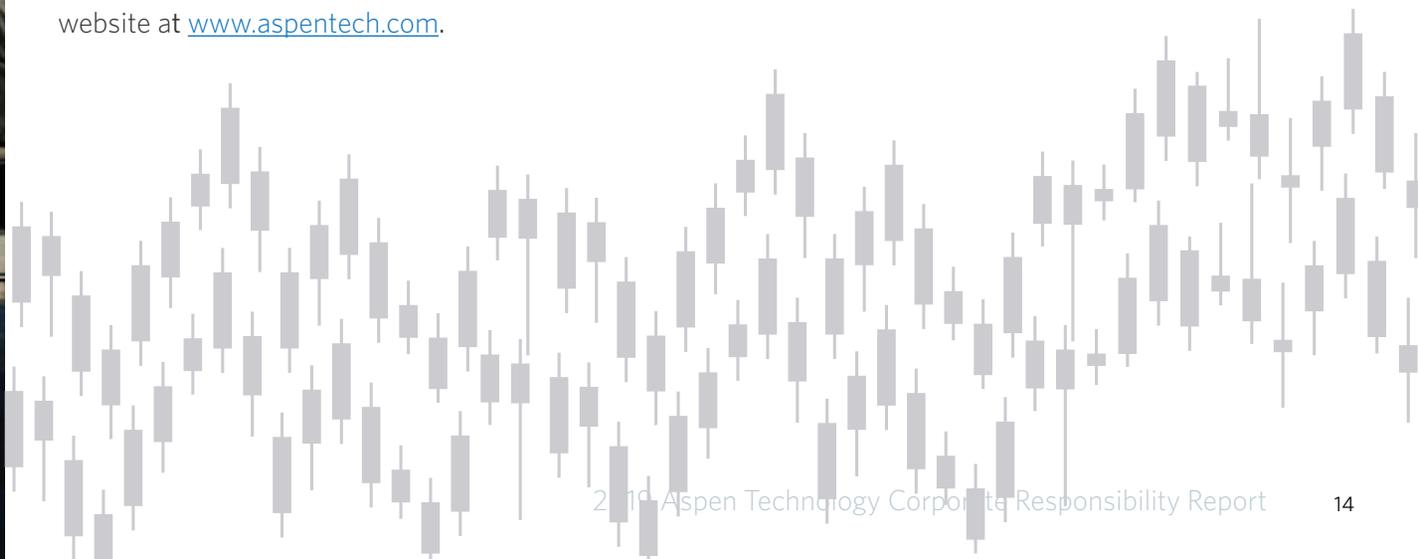
### Stock Ownership Guidelines

AspenTech maintains stock ownership guidelines requiring each of our named executive officers and non-employee directors to own our stock with a value related to each individual’s annual salary or cash retainer, as applicable. More information on stock ownership guidelines can be found in the Proxy statement posted to the Investor Relations section of our company website at [www.aspentech.com](http://www.aspentech.com).

### Compensation Committee Interlocks and Insider Participation

In Fiscal 2018, AspenTech’s compensation committee consisted of three independent directors: Donald P. Casey, Simon J. Orebi Gann and Robert M. Whelan, Jr. None of our executive officers has served as a member of either the board of directors or compensation committee of any entity, one or more of whose executive officers served as a member of either our Board of Directors or Compensation Committee.

Additional corporate governance information can be found on the Investor Relations section of our company website at [www.aspentech.com](http://www.aspentech.com).





## People

### Fostering a Robust and Diverse Employee Population

Ingenuity, determination, a competitive spirit, intellectual curiosity and commitment to the highest ethical standards — those are the traits for which AspenTech employees are known.

This profile of success is threaded through our core values, our code of conduct, our engagement initiatives, our career growth and development programs, and in the many ways we support our culture and community.

We take pride in our global footprint having approximately 1,500 employees located in over 30 countries. Our globally diverse workforce includes citizens from more than 50 countries. This diversity is evident in our Bedford, MA, and Houston, TX, offices where AspenTech leaders from around the world come together to work side-by-side serving the needs of our customers. This reflects our practice, as an entrepreneurial high-tech thought leader, to hire and develop the best and the brightest.

Our customers, which include many of the world's largest corporations, tell us they value our expertise, our focus on driving their business results, our confidence and curiosity to seek out new advances and the responsibility we

take as industry stewards. We enable our customers to be more successful, helping them be safer, more sustainable and more profitable in their operations. We attract, select and develop people who embrace this mission.

#### *Values and Engagement*

AspenTech's executive leadership identified and outlined the existing and desired traits in the culture beginning in 2016, resulting in the AspenTech Values (see page 6) as a driving force of proactive change. These values incorporate several well-established touchstones of how we work, including **Integrity, Innovation, Collaboration and Execution**. On that foundation, we challenge ourselves to lead our industry and customer partners into a new generation of technological solutions, energized by our **Entrepreneurial Thought-and-Action, Customer Focus and Competitive Spirit**.

In the spirit of personal accountability and continuous improvement, AspenTech designed and launched an all-employee values engagement survey "Our Values, Your Voice" in November 2017. We achieved an 85 percent response rate, with extensive feedback on engagement and suggestions to build upon our values. Our goal was to hold ourselves accountable and go beyond just the talk that can

surround corporate value initiatives. Innovating with our own survey design, we asked participants not only to rate their own business group on AspenTech Values, but also to rate one to three other business groups with whom they interact frequently. Respondents made specific suggestions on how groups can change to enact AspenTech Values more effectively in their work together. This “cross-unit” feedback was combined with more traditional upward feedback to produce lively discussions at all levels, from front-line work teams up to the executive leadership team.

Results from this first survey underscore clear strengths in our culture around innovation and collaboration. Our benchmark comparisons to other high-tech companies were extremely positive, with our ratings exceeding the benchmarks on the majority of engagement indicators. We have taken up the challenge to make progress in the areas where we came in below the industry averages. A follow-up pulse survey was conducted in July 2018 and showed improvement from efforts across the company. A second all-employee values engagement survey is planned for calendar year 2019.

We continuously seek to challenge ourselves to build a culture aligned with our strategic vision that will deliver compelling value to our customers and will retain and develop top talent. Our employees are some of the most engaged, innovative, results-focused and collaborative team of high-tech employees in the world.

Along with the values based engagement survey, we offer various channels to communicate with and listen to our employees, in a constant effort to increase engagement, alignment and performance. This effort includes:

- Executive calls and meetings with employees around the world: our CEO conducts quarterly global all-hands meetings with open Q&A discussion and regular CEO roundtables and luncheons across the company. In addition, the CEO and other members of our Executive Team travel extensively to all regions, meeting with regional leaders as well as holding regular site presentations, discussions and roundtables with diverse groups of employees.
- Company strategy, brand and values “road show” meetings in offices worldwide, led by our SVP of Corporate Strategy: when not fully engaged with AspenTech’s active corporate development efforts, our SVP of Corporate Strategy also travels to various sites to meet with employees and leaders to present and discuss AspenTech’s strategy and how values and brand attributes align with and enable this strategy.





## People

- **Employee Experience:** our Chief Human Resource Officer has aligned the Human Resource function with dedicated Human Resources leaders and professionals around the globe so that employees and managers have ready access to support and counseling and offer performance related coaching and mentorship. With a theme of improving our “Employee Experience,” our CHRO has set forth a vision to “create conditions to enable people to do the best work of their lives” through goal alignment, career pathing and the launch of our Leadership 2.0 initiative.

### *Development and Growth*

AspenTech has a significant focus on employee growth and development, which starts with our CEO and is reinforced through all levels of management. We sponsor programs for all levels, from executive education to emerging talent and college hires. Developing talent from within is foundational to our success and central to our commitment to growing responsible corporate citizens. These programs include:

- Emerging Leaders Program for high-potential future leaders (in collaboration with Cornell’s SC Johnson College of Business), a Manager Development Program for front-line managers, and customized Executive Development Programs, in partnership with executive development faculty from leading universities (known nationally for their entrepreneurship studies). We also engage local development resources as needed, including UMass Lowell, the University of Houston and development partners in Europe and Asia.
- AspenTech offers tuition reimbursement as a popular and frequently used benefit for all full-time employees.
- AspenTech employees organize and lead Women’s Leadership Forums in several of our main sites (including Bedford, Houston and Reading) with interested employees exploring kick-off sessions elsewhere. These forums host stimulating events and seminars for all employees related to career development, entrepreneurship and leadership.
- Our Performance & Growth X-Change process is based on the belief that a feedback-rich environment will make us more agile and competitive as a company, yielding more shared information and better decisions. We have deployed related workshops globally for all employees and managers on giving and receiving feedback and career development, focusing on regular performance and career development conversations throughout the year, rather than traditional annual performance reviews. We will continue to survey our employees and managers and revise our practices to engage everyone most effectively in our work together.
- We have initiated AspenTech Talks seminars with leaders and content experts, patterned after TED Talks, on

# People



topics of interest to our employees globally. Topics range from “Public Clouds: Finding Opportunity in Change,” “Understanding Data and Data Scientists,” and “Software Containers: What you need to know and what it means for AspenTech” to “You, Me and Millennials: What We All Need to Know,” “Working Together Across Distances” and “The Art of M&A.” Presenters include vice presidents, directors, managers and individual contributors. These recordings are available on our intranet and widely viewed by new and veteran employees alike.

- AspenTech offers employees access to both Lynda.com and Skillsoft eLearning programs. Employees can take courses on their own or in department groups as part of team development discussions. AspenTech employees tend to exceed Lynda.com’s benchmarks, completing more courses than average. In FY18, AspenTech employees completed 1,935 courses and viewed 4,639 hours of instructional video on Lynda.com.
- AspenTech also offers EF Language as an online resource for learning English as a second language. The program includes 24-hour access to live group teleconference discussion classes and individual coach examinations at the completion of each level.
- AspenTech sponsors employee-led Toastmasters Clubs in multiple offices, developing articulation and employee presentation skills. Several active participants have competed nationally and converted their moving presentations into AspenTech Talks to share across the company.

## Community and Culture

With employees in over 30 countries around the globe, it is critical that we provide common cultural threads that unite us as a global organization, and also honor the local communities and needs of our employees in each region we reside.

We do this through:

- An employee-focused culture, anchored by our core AspenTech Values.
- “aspenFUN” cross-functional teams around the globe, which host team-building events and celebrations.
- An Inside AspenTech corporate intranet that highlights stories about



employees and teams worldwide, contains “We are AspenTech” videos showcasing regional offices and employees in Asia, Europe, North and Latin America, and the Middle East, and provides opportunities for employees to share positive comments on their colleagues who are featured on the site.

- STEM events held in the Bedford, MA and Houston, TX offices providing opportunities for local high school and middle school children to engage with AspenTech technical experts and obtain hands-on opportunities to work with our software and technology.
- The AspenTech Serving Others program, which provides opportunities for our employees to participate in hands-on AspenTech-supported community service projects.
- The AspenTech Charitable Giving Program, which offers all employees worldwide an avenue to seek funding or individual sponsorship for charities that support local causes and communities in which we have employees or where we do business.



## People

## Reducing Our Impact on the Environment

In addition to helping our customers reduce their impact on the environment, an essential part of AspenTech's commitment to corporate citizenship is to minimize our own environmental footprint.

As a global company with facilities on five continents, AspenTech strives to maintain our offices in a sustainable way. All our space is leased, and we seek out buildings and landlords that comply with local sustainability practices and regulations wherever possible.

We strive to minimize environmental impact where practical based on local regulations, guidelines and requirements.

More than 75% of our approximately 1,500 employees are based in one of the following locations:



1. Bedford, Massachusetts, USA
2. Houston, Texas, USA
3. Shanghai, China
4. Reading, UK
5. Singapore

We develop programs and practices as applicable for each site. Wherever possible, we locate at buildings with good access to public transportation and efficient energy and wastewater management practices. We maintain a paper-saving program and an energy-saving program company-wide.

Following is a partial list of features and programs at various AspenTech locations:





## Environment

### Energy Management

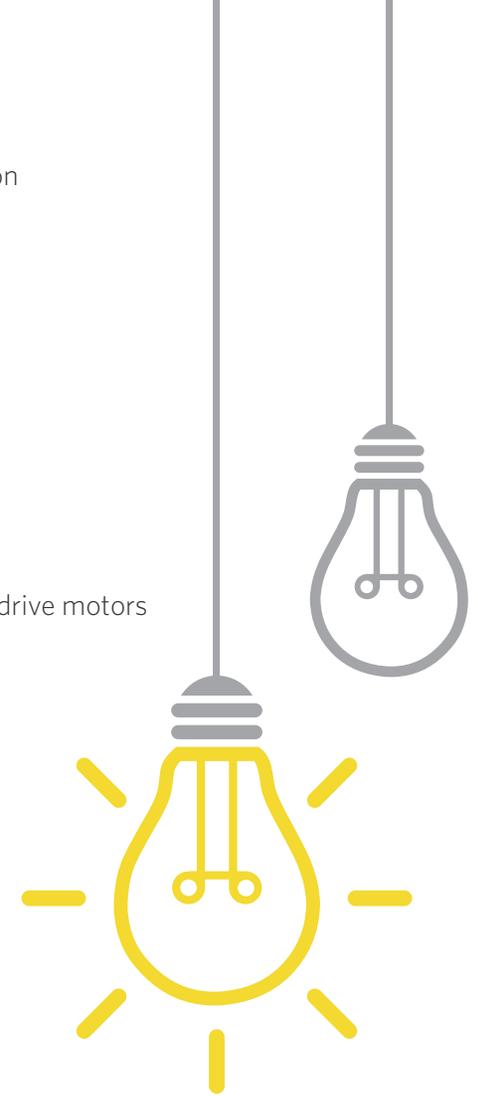
- Energy management software to manage energy usage
- Building management system reduces building energy consumption in off-peak work hours
- LEED Gold certifications and ENERGY STAR ratings
- Light sensors
- Seasonal adjustment of exterior lighting schedules
- HVAC start times and water temperatures
- Zoned air conditioning
- LED lighting
- Air conditioning that meets the Green Mark Platinum standard
- Main building cooling units that operate using variable speed eco-drive motors

### Water and Wastewater Management

- Auto faucets and low-flow flushometers
- Well for irrigation water
- Low-flow faucets, toilets and urinals
- Rainwater recycling

### Other Practices to Promote Sustainability

- Electric vehicle charging stations
- Metro bus stop
- Shuttle to subway station
- Bike racks and a Bike to Work Day
- Recycling programs: office paper, plastic, bottles, cans and glass, light bulbs, cardboard, single stream, paper shredding and electronic waste
- Rules for limiting printing and reduced use of color printing
- Low VOC (volatile organic compound) paints
- Green building initiatives: sustainable purchasing, green cleaning



AspenTech is a leading software supplier for optimizing asset performance. Our products thrive in complex, industrial environments where it is critical to optimize the asset design, operation and maintenance lifecycle. AspenTech uniquely combines decades of process modeling expertise with machine learning. Our purpose-built software platform automates knowledge work and builds sustainable competitive advantage by delivering high returns over the entire asset lifecycle. As a result, companies in capital-intensive industries can maximize uptime and push the limits of performance, running their assets faster, safer, longer and greener.

[www.aspentech.com](http://www.aspentech.com)

