

**WHISTLEBLOWING REPORTING
BY 3rd PARTY**



ICBC

中国工商银行

(马来西亚)

WHISTLEBLOWING REPORTING BY 3rd PARTY

A. POLICY STATEMENT

Industrial and Commercial Bank Of China (M) Berhad (“ICBCM”) is committed to the highest level of integrity from its employees in all dealings. Any illegal, unethical or questionable practices (collectively referred as “improper conduct”) by ICBCM’s employees will be treated seriously and dealt with swiftly in a fair but firm manner.

B. OBJECTIVE

ICBCM’s whistleblowing programme provides an avenue for the contractors, consultants, service providers or interns that to a certain extent may have business dealing or contractual relationship with ICBCM to disclose any improper conduct of ICBCM’s employees; with assurance that such information from the whistleblower will be treated in strict confidence without risk of reprisals on the whistleblower.

C. SCOPE OF REPORTING

The whistleblowing programme deals with improper conducts which include, but is not limited to, the following:

- Any fraud, unlawful civil or criminal act;
- Any act of dishonesty, corrupt, abuse of power/authority for personal gain;
- Any financial or professional misconduct;
- Any act of deliberately concealing any of the foregoing; and
- Any non-compliance with regulatory requirements, whether expressed or implied.

D. PROTECTION OF THE WHISTLEBLOWER

ICBCM prohibits any reprisal or retaliatory action against any whistleblower for raising legitimate concerns or questions or for reporting suspected violations in good faith.

The identity of the whistleblower will be kept confidential, unless so required under the provisions of the law. All information disclosed during the course of the investigation will remain confidential, except as necessary to conduct the investigation and take any remedial action.

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E. REPORTING PROCEDURE

The whistleblower shall report the alleged improper conduct in writing by using the Whistleblowing Report Form (refer Appendix 1) to ICBCM's Head of Internal Audit at Level 10, Menara Maxis, Kuala Lumpur City Center, 50088 Kuala Lumpur, Malaysia.

Anonymous reporting is NOT accepted as it may hinder or complicate the investigation due to the constraint in getting further information and clarification from the whistleblower. False reporting with bad intention is strictly prohibited.

Alternatively, the whistleblower can report his/her concerns to the regulators (i.e. Bank Negara Malaysia) or any other appropriate law enforcement agencies directly.

F. INVESTIGATION

In all instances, ICBCM retains the prerogative to determine if circumstances warrant an investigation and, in conformity with this programme, the appropriate investigation process shall be employed.

G. NOTIFICATION TO WHISTLEBLOWER

The whistleblower will be accorded the privilege to be notified by ICBCM on the outcome of his/her report of improper conduct to the extent legally permissible having regard to the rules on banking secrecy and privacy of personal data or other legal constraints.

ICBCM reserves the right to amend this document from time to time. This document is also available at <http://www.icbcm.com>

**APPENDIX 1
WHISTLEBLOWING REPORT FORM
(STRICTLY CONFIDENTIAL)**

Commitment from ICBCM:

ICBCM is committed to keeping high standard of corporate governance framework, hence having zero tolerance against any improper conducts that may adversely impact the financial position or reputation of the Bank. In keeping the commitment, you are encouraged to come forward and report in good faith any improper conduct observed or perceived to happen. ICBCM will keep your identity confidential and you are assured of the protection against any acts of reprisals on you as provided under the Bank's Whistleblowing Programme.

[CAUTION: False reporting with bad intention is strictly prohibited.]

Please use this Whistleblowing Report Form to report the improper conduct.

Date : _____

To : _____

From : _____

- **Name** : _____

- **Address** : _____

- **Tel. No.** : _____

- **Email** : _____

<p>The name(s) of the subject matter:</p> <p>1) _____</p> <p>2) _____</p> <p>3) _____</p>
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<p>Details of concerns: <i>(please provide full details: names, dates, places and reasons for concerns together with supporting evidence, if available)</i></p>
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<p>Solemnly disclosed by:</p>
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<p>Name: _____</p>
