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## HONG LEONG INVESTMENT BANK BERHAD WHISTLEBLOWING POLICY

Hong Leong Investment Bank Berhad (HLIB) is committed to good business ethics and integrity as set out in the Code of Conduct and Ethics. All employees are encouraged to raise concerns about improper conduct at the earliest opportunity, and in an appropriate way.

### Who can raise concerns?

- Any employee of HLIB
- Any (legal or natural) person including those providing services to, or having a business relationship with HLIB

### What types of concerns should you raise?

You should raise any concerns about any improper conduct or wrongful act that may adversely impact HLIB, including but not limited to:

- Any criminal offences, including fraud, corruption, bribery and blackmail
- Any failure to comply with legal or regulatory obligations

Any concerns about malpractice should be raised. If your concern is about your personal position, rather than a concern about malpractice, it will be more appropriate for you to use the HR grievance procedures.

### Who should you raise your concerns with?

Reports of any such concerns may be made to the Chairman of the Board Audit & Risk Management Committee:

Chairman of the Board Audit & Risk Management Committee  
Hong Leong Investment Bank Berhad  
Level 28, Menara Hong Leong,  
No. 6, Jalan Damanlela,  
Bukit Damansara,  
50490 Kuala Lumpur  
BARMCCchairman@hlib.hongleong.com.my

Please include your full name and contact details, as well as full details of your concern and any supporting documentation you consider relevant. Should you wish to do so, you may use our Whistleblower Form to provide the details required.

The Bank reserves the right not to investigate any concerns which are raised anonymously.

Additionally, you also have the right to raise your concerns with relevant regulators, such as Bank Negara Malaysia, Securities Commission, Bursa Malaysia Securities Berhad (or any of their related companies) or with law enforcement agencies.

### What action can be taken against you?

You will be protected from retaliation, adverse employment action and from disclosure of your identity, provided your disclosure was made in good faith (even if you are genuinely mistaken in the concerns you raise) and to the extent permitted by law.

## WHISTLEBLOWER FORM

You should raise any concerns about any improper conduct or wrongful act that may adversely impact Hong Leong Investment Bank Berhad. If your concern is about your personal position, rather than a concern about malpractice, it will be more appropriate for you to use the HR grievance procedures.

<b>YOUR RELATIONSHIP WITH HONG LEONG</b>	<b>Please tick all applicable:</b> Customer: <input type="checkbox"/> Employee: <input type="checkbox"/>
	<b>OTHER:</b> <input type="checkbox"/> Please specify your relationship. Please include your or your employer's details if you or your employer provides services to or otherwise has a business relationship with Hong Leong.
<b>ACCOUNT TYPE(S)</b> (For customers)	<b>Please tick all applicable types:</b> Stockbroking: <input type="checkbox"/>  Investment Banking (Treasury/Corporate Finance/Debt Market) : <input type="checkbox"/>
	<b>OTHER:</b> <input type="checkbox"/> Please specify Hong Leong products/services which are provided to you
<b>YOUR STAFF ID</b> (If you are a Hong Leong Investment Bank staff)	
<b>YOUR CONTACT DETAILS</b>	<b>Name:</b>  <b>Address:</b>  <b>Telephone:</b>  <b>Email:</b>

**DETAILS OF YOUR CONCERNS**  
(please provide as much information as possible)

**DESCRIPTION OF INCIDENT:**  
(use the additional information sheet, if necessary)

**WHERE DID THE INCIDENT OCCUR?**

**WHEN DID THE INCIDENT OCCUR?**

**NAME AND POSITION OF PERSON(S) INVOLVED:**

**DETAILS OF ANY WITNESS(ES):**

**DID YOU REPORT THE INCIDENT TO ANY AUTHORITIES? IF YES, PLEASE GIVE DETAILS:**

**SUPPORTING DOCUMENT(S) ATTACHED (Please tick)?**    Yes     No

## ADDITIONAL INFORMATION SHEET

### **ANY ADDITIONAL INFORMATION:**

Provide any further details you think may be relevant, for example, whether you approached the person(s) concerned, any financial impact to the bank, etc.

**Note:** Please send your report in a sealed envelope and marked  
“Strictly Private & Confidential - To be opened by Addressee only”