

The Whistleblowing System

Bank of China (Thai) Public Company Limited (“BOCT”) is committed to upholding and enhancing corporate governance standard and strongly values the ethical conduct and integrity of the employees. In this respect, BOCT establishes a whistleblowing system (hereinafter referred to as “the System”), so that in case of encountering misconduct which might have happened or will possibly happen, external parties dealing with BOCT (e.g. customer and suppliers) can make reporting to BOCT via designated channels as set up in the System.

Scope of Reporting

The scope of reporting covered by the System includes but not limited to any misconduct of the following areas:

1. Issues concerning the bank-wide or departmental financial matters, such as providing false financial data to external parties or using fictitious invoices for reimbursement;
2. Issues concerning the bank-wide or departmental internal controls, such as loopholes identified in certain business processes or procedures;
3. Issues concerning the Bank’s staff members committing bribery or corruption;
4. Issues concerning the Bank’s staff members being suspected of money laundering, terrorist financing, tax evasion, weapons proliferation financing or violation of sanctions requirements;
5. Other possible improper conducts;
6. Any behavior attempting to conceal the abovementioned misconducts.

In relation to comment or suggestion on the Bank’s services or products, unless it is within the scope of misconduct as listed above, they should be made to the Bank’s relevant unit in charge of customer opinions handling for following up.

Reporting Channels

Whistleblowers can make a reporting within the scope as listed above to Head of Audit Department, or directly to the Chairman of the Audit Committee of BOCT. If the reporting concerns the Head of Audit Department of BOCT, it should be made directly to the Chairman of the Audit Committee and / or Chief Compliance Officer of BOCT.

Whistleblowers may complete the “[Whistleblowing Form](#)” and submit via the following channels:

To the Head of Audit Department of BOCT

Mailing address: PO. BOX 7, Sathorn Post Office, Bangkok 10341 Thailand
(the envelope should be marked “to be opened by addressee only”)

Email address: whistleblower@bankofchina.co.th

To the Chairman of the Audit Committee of BOCT

Mailing address: PO. BOX 7, Sathorn Post Office, Bangkok 10341 Thailand
(the envelope should be marked “to be opened by addressee only”)

To Chief Compliance Officer of BOCT

Mailing address: PO. BOX 7, Sathorn Post Office, Bangkok 10341 Thailand
(the envelope should be marked “to be opened by addressee only”)
Email address: whistleblower@bankofchina.co.th

Anonymous Reporting

The Bank accepts anonymous reporting. An anonymous reporting, however, might lead to difficulties in conducting the investigation because the Bank is not able to obtain further information from the whistleblower. In this connection, whistleblowers are encouraged to provide their identities and contact information to facilitate further follow up.

Protection for Whistleblowers

The Bank encourages whistleblowers to report in good faith. The Bank shall keep the identity of the whistleblowers in strict confidence, unswervingly support their acts and protect their legitimate rights.

In the event of someone retaliating or seeking revenge against any whistleblowers who made reporting according to the System, the Bank shall reserve the right to take necessary action against that person.

Unfounded Reporting

In the event of whistleblowers making unfounded reporting maliciously, the Bank shall reserve the right to take necessary action against that person, so as to recover any damages or losses caused by the unfounded reporting.

Confidentiality of Reporting

1. Whistleblowers should keep his/her reporting confidential, including the facts, subject issues and parties involved, so as to avoid hindering the investigation.
2. Reporting and its related information are confidential information to the Bank. Anyone handling or having access to the information shall strictly follow the legal requirements to protect the privacy, rights and interests of the whistleblowers and the parties being reported against. There should not be any unauthorized disclosure, or the Bank shall hold the relevant persons accountable.
3. The Bank might have to disclose the identity of the whistleblowers in the course of investigation. If that happens, the Bank shall wherever possible notify the whistleblower concerned of the circumstance.

4. In case the investigation becomes criminal prosecution, the whistleblower concerned might have to provide evidence to the enforcement authorities directly and cooperate with the investigation. Besides, under certain circumstances, the Bank is required to refer the reporting to relevant enforcement authorities without prior notice to the whistleblower or seeking his/her consent.

Investigation

1. Upon receipt of reporting via channels under the System, the Bank shall designate an officer-in-charge to promptly follow up on the case.
2. If the whistleblower has provided contact information, the officer-in-charge shall acknowledge receipt of the reporting to the whistleblower, as well as provide the investigation results to him/her upon completion of the investigation.
3. In case there is sufficient evidence to suggest that a reporting may involve criminal offence or corruption, the Bank shall report the case to the enforcement authorities in accordance with the applicable laws of the relevant jurisdiction. Once the case is referred to the enforcement authorities, the Bank shall provide full support to the authorities in relation to the investigation.

Privacy Policy Statement

The Bank highly values personal data and privacy and strives to preserve the confidentiality and security of all the personal data which the Bank may collect. By providing any personal data to the Bank through the whistleblowing channels as specified on this website, whistleblowers are consenting to the Bank's use of his/her personal data as set out in the Bank's Privacy Policy Statement. In particular, the personal data will only be used for the direct handling of the whistleblowing reporting but not for any other purposes without the whistleblowers' consent unless the use is required or permitted by the law. For more information on how the Bank manages personal data, please refer to the Group's [Privacy Policy Statement](#).