



Investment Bank

1.0 WHISTLEBLOWING POLICY STATEMENT

Maybank Securities Limited (“MSVN”), a subsidiary of Maybank Investment Banking Group (“MIBG”), is committed to the highest standard of ethics and integrity in its conduct of business and operations. As part of this commitment, MSVN has in place an avenue for disclosure of any improper conduct.

2.0 OBJECTIVES OF THIS POLICY

The objective of this policy is to ensure that all employees and members of the public have access to secured channels to make disclosures on any improper conduct by any member or representative of MSVN, with the assurance that there will be no repercussion against them so long as the report are made in good faith.

3.0 SCOPE

Improper conduct includes, but is not limited to:

- a. Bribery and corruption;
- b. Fraud, theft or embezzlement;
- c. Abuse of power by an employee;
- d. Conflict of interest;
- e. Breach of MSVN policies and procedures;
- f. Failure to comply with legal and regulatory obligations;
- g. Unauthorised disclosure of customer information;
- h. Breach of Maybank Group Code of Conduct; and
- i. Concealment of any of the above.

Any person who is aware of, or has reasonable grounds to suspect that, any improper conduct has been committed by an employee or representative of MSVN can make a disclosure.



4.0 DISCLOSURE CHANNELS

Disclosures can be made via email or regular mail as the following:

Channel	Description
Email	Emails to disclose whistleblowing to be sent to: mibgwhistleblowing@maybank.com
Letter	P.O. Box 10060, GPO Kuala Lumpur, 50704 Kuala Lumpur.

Whistleblowers are encouraged to include the following information in the disclosure to facilitate investigations:

- a. Name of person(s) involved;
- b. Date and time of the event;
- c. Nature of the event;
- d. Witness to the event, if any; and
- e. Evidence of the event, if any.

5.0 CONFIDENTIALITY AND PROTECTION OF WHISTLEBLOWER

The identity of a whistleblower who made a disclosure in good faith will be kept confidential and will only be disclosed on a strictly need-to-know basis. Employees who whistle-blow in good faith will also be protected by MSVN from any repercussion.

6.0 DELIBERATION OF WHISTLEBLOWING REPORTS

6.1 Any whistleblowing reports received by Designated Recipients will be required to be escalated to Whistleblowing Coordinator or Group Industrial Relations (if the report made against any Compliance staff of MSVN) for further investigation.



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- 6.2 Upon completion of the investigation, Whistleblowing Coordinator or Group Industrial Relations will escalate the report to the Board of Members of MSVN or the authority required where such report was raised for deliberation.
- 6.3 The Audit Committee of the Board (“ACB”), MIBG shall be notified on the concern and outcome; and/or the report shall be deliberated by ACB, MIBG, if necessary.