

## Whistleblowing Form

BOCI-Prudential Trustee Limited (the “Company”) is committed to upholding and enhancing corporate governance standard and strongly values the ethical conduct and integrity of the employees. In the respect, if staff members and external parties (e.g. customers and suppliers) dealing with the Company encounter any actual or possible violation of legal and regulatory requirements or improprieties in relation to the businesses or other matters of the Company or the Company’s staff members, it can be reported to the Company. In all cases, the Company shall handle the whistleblowers’ concern in a prudent, confidential and fair manner.

Nevertheless, for customers’ comment and suggestion on the Company’s service, they should be made to the Company’s relevant unit in charge of customer opinions handling for following up. For staff appeal, please follow the Company’s applicable mechanisms to submit the case.

If you wish to make a reporting, please complete the Form below. Please note that whistleblowers may send the completed Form and supporting document, in a sealed envelope clearly marked “to be opened by addressee only” and addressed to the Internal Audit Manager of the Company **OR** to the Chairman of the Audit Committee of the Company by post at Suites 1501- 1507 & 1513-1516, 1111 King's Road, Tai Koo Shing, Hong Kong. Whistleblowers may also send the same to the Internal Audit Manager by email at [whistle\\_blower@bocpt.com](mailto:whistle_blower@bocpt.com) **OR** to the Chairman of the Audit Committee by email at [auditcommittee@bocpt.com](mailto:auditcommittee@bocpt.com).

### Whistleblower’s Name and Contact Information<sup>1</sup>

Name : \_\_\_\_\_  Employee  Customer  Supplier  Others (please specify: \_\_\_\_\_)

Telephone number: \_\_\_\_\_ Email address: \_\_\_\_\_

Date: \_\_\_\_\_

### The Subject Matter of the Reporting concerning the Company or the Company’s Staff Members:

Financial fraud or deceit  Bribery or corruption

Major loopholes of internal controls  Violation of legal and regulatory requirements (e.g. money laundering, terrorist financing, tax evasion)

Other unethical or questionable improprieties (please specify: \_\_\_\_\_)

### The issue has been reported to the Company’s other units or regulatory authorities:

Yes (please specify: \_\_\_\_\_)  No

### Details of the Subject Matter:

Please provide details, including WHO is the person(s) concerned, as well as WHEN, WHERE and WHAT are the issue about (please continue on separate sheets if necessary), and attach supporting documents.

<sup>1</sup> The Company accepts anonymous reporting. Nevertheless, anonymous reporting might lead to difficulties in following up owing to the inability to obtain further information from the whistleblower. In this connection, whistleblowers are encouraged to provide their real identity and contact information for following up if necessary.

### **Personal Data Collection Statement**

Personal data collected will only be used for the direct handling of whistleblowing reporting but not for any other purposes without the whistleblowers' consent, unless the use is required or permitted by the law. In case of a whistleblowing reporting becoming criminal investigation, the personal information as collected may then be disclosed to the relevant enforcement authorities. Besides, under the Personal Data (Privacy) Ordinance of Hong Kong, whistleblowers shall have the right to request access to and correction of his/her personal data as held by the Company. If he/she wishes to exercise these rights, requests should be made in writing to the Internal Audit Manager of the Company at the mailing address or email address as shown in this Form.