



Announcing rice business, Crop integrated business, transport and services.

SGC 008/2022

## Policies and guidelines on whistleblowing and complaints handling

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Rice Business Crop Integrated Business Transportation and services (Business) recognizes the importance of providing channels for whistleblowing and complaints. efficient To listen to opinions, suggestions or complaints from all groups of stakeholders, namely rice business personnel Crop Integrated Business Transportation and services such as executives, employees at all levels and third parties such as business partners, business partners that are affected or are at risk of being affected by the business operations of the rice business Integrated Plant Business transport and service or from illegal acts or business ethics including behaviors that are considered wrongdoing, corruption, corruption including the wrongful performance of the business personnel in order to prevent risks and damage that may occur to stakeholders as well as a tool for surveillance track business And it is a database for improving the management and service of the business group. to be concise and more efficient

Rice Business Crop Integrated Business transport and service Therefore, the whistleblowing channel and complaint handling process are clear, honest, transparent and in line with international standards. Therefore, it has issued policies and guidelines regarding whistleblowing and complaints receiving. With details as follows

### 1. Scope of whistleblowing

- 1.1 Behavior related to any wrongdoing to seek unlawful benefits which includes corruption embezzlement corruption and bribery
- 1.2 Fraudulent or fictitious behavior of financial statements to deliberately deceive others by displaying false statements or concealing the truth that should be told
- 1.3 Behavior related to transactions that violate the law, rules and regulations of the company. business ethics and conflict of interests
- 1.4 Discrimination-related behavior harassment or unethical behavior unfairness in work

### 2. Definition

<b>Wrongdoing</b>	Means the act or omission of any personnel of the rice business Integrated Plant Business Transportation and services such as executives, employees at all levels which violates the rules Company Articles Company Code of Conduct and business contracts between the company and its partners including any act or omission of any act according to the law which causes damage to the Company
<b>Corruption</b>	Means an intentional act to seek unlawful or unlawful benefits for oneself or others, directly or indirectly causing damage to the company
<b>Corruption</b>	Means to include Bribery of any form by offering or promising to give or pledge to give, demand or accept money, property or any other benefit. which is not suitable for government officials government agency private agency or the person in charge whether directly or indirectly for such persons to perform or refrain from performing

their duties which is to acquire or maintain business or recommending a business to a particular company or to obtain or maintain improper benefits

However, except in the case where laws, regulations, announcements, regulations, customs, local customs or trade customs are permitted.

### 3. Duties and Responsibilities

3.1 Vice Chairman, Rice Business, Crop Integrated Business transport and service Charoen Pokphand Group / Chief Executive Officer of Rice Business / Chief Executive Officer of Crop Business

3.1.1 Set up policies and guidelines for whistleblowing and complaints.

3.1.2 Set up operating procedures and channels for whistleblowing and complaints. as well as appropriate and clear measures to protect whistleblowers, complainants and reporters.

3.1.3 Provide a structure for those responsible for receiving and investigating clues and complaints.

3.1.4 Consider appointing a whistleblower/complaint investigator

3.1.5 Provide a summary report of the investigation of clues and complaints.

3.2 Governance, Risk and Compliance Committee ("GRC Board")

3.2.1 Arrange for disclosure and communication for personnel and outsiders to acknowledge. About policies and practices Operation process and channels for receiving clues and receiving complaints as well as measures to protect whistleblowers, complainants and information reporters.

3.2.2 Provide a progress report and summarize the results of the consideration of clues and complaints

3.2.3 Review policies and guidelines for whistleblowing and complaints.

3.3 Whistleblower/Complaint

Including personnel of the rice business Crop Integrated Business Transportation and services such as executives, employees at all levels and third parties such as business partners, business partners

3.3.1 If found or there is a reason to believe that there is an offense which is considered a behavior according to "Section 1 Scope of Whistleblower", whistleblower and/or complaint shall be reported through the channel under "Article 4. Complaint Channel".

3.3.2 Cooperate in providing evidence

3.3.3 Understand and follow policies and practices

3.3.4 Reveal your name when giving a whistleblower The name of the whistleblower/complaint will be kept confidential throughout the process.

However, whistleblowers/complaints can choose to remain anonymous. If you see that disclosure will cause insecurity. or any damage, but if self-disclosure This will enable the whistleblower/complaint to receive a reply letter to the whistleblower/complaint. and can be informed of progress reports clarification of the facts or mitigate damage more conveniently and quickly

### 3.4 Whistleblower/Complaint

Whistleblowers/complaints are the executives of the Sustainability Management Office. Governance and regulatory compliance (“Executives of the Office of Sustainability Management”)<sup>1</sup>

This also means the supervisor of the whistleblower/complaint. and/or executives of the Human Resources Office and/or accounting firm executive and/or the executive of credit analysis, debt development and legal department and/or administrators of the administrative office and/or other inspection agencies

Sustainability Management Office executives have the following duties

3.4.1 Issue a reply letter to the whistleblower/complaint within 3 days from the date of receipt of the complaint.

3.4.2 Collect the facts Review information and evidence on clues/complaints with the whistleblowers/complaints.

3.4.3 Record progress and store data throughout the process.

3.4.4 Report a summary of complaints to the GRC Board or other relevant authorities.

If the whistleblower/complaint considers that the clue/complaint received may lead to a legal action To proceed in accordance with Clause 3.4.2 with the executive of credit analysis, debt development and legal proceedings. and/or other responsible agencies or law firm Charoen Pokphand Group

In the case where the whistleblower/complaint considers that the clue/complaint has sufficient grounds that the alleged culprit intentionally committed an offense or is causing significant damage to the business group The executives of the Office of Sustainability Management shall present to the executives in accordance with Clause 3.1 to consider appointing an investigator for clues/complaints. to enter the investigation process

<sup>1</sup> Sustainability Management Office Governance and regulatory compliance It is the central unit responsible for handling complaints. of the rice business Crop Integrated Business transport and service

In the event that the recipient of the whistleblower/complaint finds that there is insufficient evidence or is not relevant and consider that there is no need to enter the investigation process for the executives of the Office of Sustainability Management Submit the matter to the relevant authorities for further action. for example

- Disciplinary offenses of subordinates. unrelated to corruption or cause damage to the company which is in the power of the commander who can punish
- Complaints about the quality of goods, services or the environment, etc. that are not related to fraud or damage the company.

### 3.5 Whistleblower/Complaint Investigator

Whistleblowers/complaint investigators will take the form of the Employee Ethics and Discipline Committee. Or the investigative committee appointed by the executives under Clause 3.1 is responsible for investigating clues, considering and reporting a summary of the investigations of clues/complaints, wrongdoing and corruption to the appointee.

If it is the case that the executive under Clause 3.4 or the person under the supervision of the executive under Clause 3.4 is the complainant It is forbidden to be appointed as a director.

## 4. Operation process

### 4.1 collect the facts

Whistleblower/complaint recipient proceeds to gather facts Check information and evidence Including presenting the clues/complaints that have been considered to the whistleblower/complaint investigators to enter the investigation process.

### 4.2 investigative process

Investigate clues/complaints according to item 3.5, investigate wrongdoings

### 4.3 report

4.3.1 Whistleblower/Complaint Report the results to the person who appoints the investigative committee for acknowledgment.

4.3.2 Executives of the Office of Sustainability Management Governance and regulatory compliance notify the progress and the result of consideration to the whistleblower and the complainant know

4.3.3 require that the meeting of the GRC and/or the Human Policy Committee There is an agenda to report the summary of clues/complaints every time. Except for meetings that have urgent agendas by the executives of the Office of Sustainability Management Governance and regulatory compliance is the person who reports the following information:

- 1.) Number of whistleblowers/complaints investigated, case closed, and penalties including reports on the progress of the operation
- 2.) The type of behavior that was complained or questioned through the counseling channel.
- 3.) Recommendations or remedial measures from whistleblowing/complaints

4.3.4 Report to the Bureau of Compliance Charoen Pokphand Group or report directly to the management in accordance with Clause 3.1

## 5. Complaint Channel

### 5.1 Consultation channels before whistleblowing/complaints

If the whistleblower/complainant is unsure whether such action is categorized as the behavior under “Article 1 Scope of Whistleblowing” or requires information about the policy and practice or whistle-blowing procedures and complaints You can find information from the business ethics of the business in the Intranet or the e-Learning system of the business group or the Application “CPTGCROP Connect”.

### 5.2 Whistleblowing/Complaint Channels

Whistleblowers/complaints can report clues about their behavior according to “Article 1 Scope of Whistleblowing” through the following channels:

5.2.1 E-mail vos.cpi@cptg.co.th or vos.cpp@cptg.co.th or various channels that the company has set

5.2.2 Make an oral or written complaint directly to “Executives of the Office of Sustainability Management Good Governance and Supervision of Compliance” as detailed below.

C.P. Intertrade Co., Ltd.

No. 89 AIA Capital Center Building, 28th Floor, Ratchadaphisek Road, Din Daeng Subdistrict, Din Daeng District, Bangkok 10400

Email: SADUDEE.SUP@cpintertrade.com

Call: 081-467-7999

5.2.3 Complaints through other channels such as the Company's official online media, etc., as well as being able to notify the whistleblower/complaint according to Article 3.4 directly.

## 6. Measures to protect whistleblowers/complaints

### 6.1 In case the whistleblower/complaint is a business personnel

6.1.1 The business will protect whistleblowers/complaints from being threatened.

6.1.2 The business will not disclose the names of whistleblowers/complaints. and will keep the information Details of the whistleblowing or facts including all documentary evidence related to secret Do not disclose information to other persons who no related page unless it is a legal disclosure only.

6.1.3 The business will not lay off employment, suspend work, change job position, nature of work, or impose disciplinary action against whistleblowers/complaints who do not intend to provide false information.

### 6.2 In the event that the whistleblower/complaint is a third party

6.2.1 The business will protect whistleblowers/complaints from being threatened.

6.2.2 The business will not disclose the names of whistleblowers/complaints. and will keep the information Details of the whistleblowing or facts including all documentary evidence related to secret Do not disclose information to other persons who no related page unless it is a legal disclosure only.

## 7. Penalty

Person who gives clues about wrongdoing or fraud with good faith, rice business, integrated crop business Transport and Services will not take any penalties against the person who makes such whistleblowing. but if the results of the investigation found that the act was done with intent Maliciously or willfully result in any form of misrepresentation. In the event that the whistleblower/complaint is a rice business, integrated plant business personnel transport and service will consider investigating and taking action in accordance with the requirements of personnel management In the case where the whistleblower/complaint is a third party and make the rice

business Integrated Plant Business transport and service damaged rice business integrated crop business transport and service can consider legal action

**8. Training**

Rice Business Crop Integrated Business transport and service Providing training on whistle-blowing and guidelines as part of the business ethics curriculum that all personnel of the business Must be trained regularly according to the specified cycle. Including Onboarding Program for new employees. To encourage personnel to be aware and alert in whistleblowing

**9. Review**

Sustainability Management Office Governance and regulatory compliance and related agencies will jointly review this policy and practice. At least once a year or when there is a significant change To ensure that the policy is consistent with the relevant laws. efficient and consistent with the Company's operations

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