



Enabling Better Outcomes

CPM/COMPLIANCE/009
WHISTLEBLOWING POLICY

Effective on 01.03.2024

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CONTROL AND MAINTENANCE

This Policy is the property of Chemopharm Sdn. Bhd. (“**Chemopharm**”). This Policy is a dynamic document and shall be reviewed at least annually to ensure the continued efficacy and appropriateness of its contents. Significant amendments to the Policy must be approved by Chemopharm Management. All amendments are to be recorded in the **Amendments to the Policy** sheet of this document. The Compliance Manager who is the “Document Owner” of this Policy shall be responsible for its maintenance and distribution.

This Policy and relevant procedures are intended for internal use only and only authorised Chemopharm employees can access these documents. All employees shall ensure proper safekeeping of this Policy and relevant procedures provided to them.

The access to this Policy and relevant procedures by a third party shall require approval from both the Document Owner and Chemopharm Management. A Non-Disclosure Agreement (“**NDA**”) shall be required for such access to be granted.

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AMENDMENTS TO THE POLICY

The Compliance Manager who is the “Document Owner” of this Policy be responsible for the maintenance and update of this document. All amendments made to this Policy are to be tracked. Relevant information such as the document’s version control number, dates of amendment and approval, and section(s) amended are to be recorded in the amendment schedule set out below:

| Version Number | Description Of Change (Removed) | | Description Of Change (Inserted) | | Effective Date |
|----------------|---------------------------------|----------|----------------------------------|----------|----------------|
| | Section | Comments | Section | Comments | |
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CROSS REFERENCES

This Policy cross refers to the following document(s):

| Document Ref. No. | Document Name |
|--------------------|--|
| | Chemopharm's Code of Conduct Handbook |
| CPM/COMPLIANCE/010 | Chemopharm's Whistleblower and Investigation Procedure |
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WHISTLEBLOWER POLICY

1. INTRODUCTION

Chemopharm Sdn. Bhd. (“**Chemopharm**” or the “**Company**”) is committed to conducting its business lawfully and ethically. Chemopharm and each of her affiliate companies take a zero-tolerance approach to bribery and corruption and are committed to acting professionally, fairly and with integrity in its business operations and relationships and implementing and enforcing effective systems to counter bribery and corruption.

As part of this commitment, Chemopharm has in place an avenue for disclosure of any improper conduct or wrongful act. All employees are encouraged to raise genuine concerns about any improper conduct or wrongful act (“**Improper Conduct**”) occurring in Chemopharm at the earliest opportunity, and in an appropriate way, through available channels under this Whistleblowing Policy (“**Policy**”). Procedures that are incorporated in this Policy aim to address issues such as reporting, responsibility, confidentiality, investigation, and resolution.

Employees who whistleblow on Improper Conduct, will be protected against retaliation, or other adverse treatment provided that the whistleblowing is done in good faith. Such whistleblowing is a proper exercise of an Employees duty to enhance the prompt discovery of risks, improve the overall value of Group and promote good ethics. However, any whistleblowing which is not made in good faith and is found to be deliberately falsified with malicious intent or motivated by personal gain will be subject to disciplinary action by the Group in accordance with the Group’s disciplinary policy

Any questions or additional information related to the scope of this Policy can be referred to the Compliance Manager.

2. OBJECTIVE

The objective of this Policy is to provide a mechanism and set standards to be adhered to across Chemopharm Group (“**Group**”) in dealing with disclosure on questionable actions or wrongdoings by any personnel in the Group and any third parties acting on behalf of the Group. It aims to encourage personnel to raise concerns without fear of reprisal, allows for early detection of unlawful and unethical conducts and helps nurture a culture of accountability. This Policy serves as an early warning system for the Group to remedy any wrongdoings before serious damage is caused.

This Policy shall be read in conjunction with Chemopharm’s Code of Conduct and Chemopharm’s Whistleblower and Investigation Procedure.

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3. SCOPE

This Policy is applicable to Chemopharm's directors, employees of any type, suppliers, service providers, business associates, and any third parties acting on behalf of Chemopharm, unless otherwise stated in the specific policies referred to in this Policy.

4. RESPONSIBILITY

Chemopharm's Compliance Manager shall be responsible for periodically reviewing this Whistleblowing Policy.

5. DEFINITION OF WHISTLEBLOWING

5.1 "**Whistleblowing**" is defined as the deliberate, voluntary disclosure or reporting of an individual or organizational malpractice by any person on an actual (past or present) or suspected improper conduct within the Group or organization based on his or her reasonable belief.

5.2 The person who reports, disclose or alerts the serious concerns of improper conduct is referred to as "**Whistleblower**"

5.3 "**Improper Conduct**" includes among others, the following:

- violation of Chemopharm's Code of Conduct and other policies and procedures;
- fraud, misappropriation or financial irregularity;
- corruption, bribery, money laundering or blackmail;
- criminal offences;
- abuse of power, authority or position for personal financial gain, any unauthorised or ulterior purpose;
- misuse of company property;
- anti-competitive conduct;
- failure to comply with legal or regulatory obligation;
- risk of or actual damage to the environment;
- workplace discrimination and harassment, including sexual or physical abuse, retaliation or retribution against the Whistleblower;
- any creation of misleading, dissemination of misleading and/or false financial records
- endangerment of an individual's health and safety;
- concealment of any or a combination of the above; and
- any other concerns that could subject any part of the Group to serious legal or reputational liability.

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- 5.4 The above list is not exhaustive and includes other acts or omissions, which if proven is deemed as:
- an act of improper conduct or wrongdoing constituting a disciplinary offence under Chemopharm Code of Conduct, any employment agreement or service contract; or
 - an offence under any relevant legislation in force.
- 5.5 Whistleblowing procedures are different from grievance procedures. Typically, whistleblowing does not affect the complainant personally. They are different from a normal grievance / complaint in which the complainant is personally affected.
- 5.6 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 Chemopharm can make a disclosure.

6. WHO IS A WHISTLEBLOWER

- 6.1 Under this Policy, any of the following persons can be a Whistleblower:
- Employees of the Group (this include full-time, part-time, or temporary employees, foreign or expatriate workers, interns, volunteers);
 - Any Third Party including but not limited to customers or associates providing services to the Group such as vendors, contractors, consultants and ex-employees.
- 6.2 The Whistleblower is not expected to prove the truth of the allegation but should, in making the report, have **reasonable belief that an Improper Conduct was committed**, is being committed or will be committed.

7. GOOD FAITH

- 7.1 Since allegations of Improper Conduct may result in serious personal repercussions for the alleged perpetrator, any Whistleblower who intends to lodge any report of Improper Conduct must ensure that the report is made in good faith.
- 7.2 The Whistleblower who intends to make a report must have reasonable grounds for believing in its existence and has reliable information before reporting such improper conduct; must undertake such reporting in good faith and in the best interest of the Group.

8. PROCEDURE IN MAKING A DISCLOSURE

8.1 Disclosures can be made via any of the following channels:

| | |
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| IN PERSON <i>(Only applicable to employees)</i> | <p>The Whistleblower may lodge the report in person to the following parties:</p> <ul style="list-style-type: none"> • Direct Supervisor • Division / Department Head • Compliance Manager • CEO • Chairman of Board of Directors. |
| E-MAIL | <p>The whistleblower may e-mail to the designated recipient at whistleblow@chemopharm.com</p> |
| IN WRITING AND MAIL / HAND-DELIEVER | <p>The whistleblower may write directly to:</p> <p>Chemopharm Compliance Manager Chemopharm Group office No: 20, SS2/66, 47300 Petaling Jaya, Selangor, Malaysia</p> <p><i>*must be sent in a sealed envelope marked “Private and Confidential”. Please also state on the top left-hand corner of the envelope: “To be opened by the Addressee only”. The use of the enclosed Whistleblowing Reporting Form is encouraged.</i></p> |

8.2 To facilitate any investigation required, the following information should be provided:

- name of individual who is lodging the report, telephone number, correspondence address or e-mail address;
- the identity and designation (if any) of the alleged wrongdoer(s) or affected;
- the details of the Improper Conduct;
- the date, time and location of the Improper Conduct;
- particulars of witnesses or other parties involved, if any;
- any supporting evidence or information from witnesses who can assist in the investigation, if any; and
- any other details that are useful to facilitate screening and investigation.

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Chemopharm's Whistleblowing Reporting Form annexed as **Appendix A** serves as a reference for the type of information to provide in the disclosure and Whistleblowers are encouraged to provide as much information as possible. Whistleblowers may also complete the form and submit that directly as their disclosure.

- 8.3 As a further guide, it is permissible for a Whistleblower to make an anonymous report.
- 8.4 Whistleblower who wishes to withdraw his/her disclosure is required to e-mail to whistleblow@chemopharm.com together with supporting reason(s) for the withdrawal.
- 8.5 If an employee receives a complaint relating to misconduct from a customer, colleague or any other party, you should encourage him / her to file a direct disclosure through the whistleblowing channels. If the informant does not wish to do so, you may file a disclosure on his / her behalf with his / her consent. If they do not wish to disclose their identity, you may file an anonymous disclosure on their behalf, however in the full knowledge that an anonymous disclosure may not be as impactful.
- 8.6 All disclosures received, regardless of the channel, should be forwarded or reported to the Compliance Manager immediately upon receipt. The Compliance Manager will follow the Chemopharm's Whistleblower and Investigation Procedure to ensure that all disclosures received are properly recorded, assess and followed-up in a fair and impartial manner. The Whistleblower may be required to provide additional information and clarifications if the need arises.
- 8.7 In the event that the Whistleblower's concerns involve certain Chemopharm employee(s) or Management, the implicated person(s) shall be excluded from the processes of determining the appropriate course of action, including screening and any subsequent investigation. The screening process should not take more than one (1) month from the day the report is received.
- 8.8 The Compliance Manager shall conduct an initial investigation to determine the appropriate course of action, including whether a full investigation is warranted. Employees contacted by the Compliance Manager in relation to such investigations shall cooperate with the Compliance Manager and shall not interfere in any investigations conducted.
- 8.9 The Compliance Manager has the discretion to determine the appropriate course of action, including but not limited to the following:
- (a) recommend that the matter be closed without conducting an initial investigation if there is insufficient or inaccurate information provided;
 - (b) recommend that the matter be closed after findings indicate that there is no reasonable basis for further investigation;
 - (c) commission a full investigation after findings indicate that there exists a reasonable basis for further investigation;
 - (d) referral of the Whistleblower's report and/or the findings to the appropriate department, such as Group Human Resources, for follow-up action;

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- (e) referral of the Whistleblower's report and/or the findings to the Board to determine the next course of action which may include amongst others the scope of the investigation, specific terms of reference, formation of the investigation team (if any) and involvement of external party to assist in the investigation (if necessary); and/or
- (f) in cases where the findings suggest a possible criminal offence, the Compliance Manager may refer the disclosure to the appropriate authorities such as police or other enforcement agencies (where applicable) for further action.

8.10 Where the Whistleblower's report involves the Compliance Manager, the matter will be referred to the Disciplinary Committee Chairman to determine the next course of action. The Board would have similar discretion to determine the course of action in respect of the report.

9. INVESTIGATION

9.1 The full investigation process aims to achieve the following objectives:

- to gather relevant information in the most appropriate manner and to protect the information / document from sabotage / compromise;
- to ensure that the proper procedures are carried out in the process of the investigation;
- to arrive at a fair decision and recommendation on the next course of action.

9.2 The Compliance Manager shall conduct any initial or full investigation on its own accord or otherwise may instruct external advisors with the requisite expertise to do so. The Compliance Manager may also suggest for the formation of a special team of internal expert to conduct the investigation. The involvement of external parties and the formation of a special investigation team must be endorsed by the Disciplinary Committee Chairman. Employees contacted by the Compliance Manager in relation to such investigations shall cooperate with the Compliance Manager and shall not interfere in any investigations conducted.

9.3 Concerns will be investigated as quickly as possible. It should also be considered that it may be necessary to refer a matter to an external agency and this may result in an extension of the investigative process. It should also be kept in mind that the seriousness and complexity of any complaint may have an impact upon the time taken to investigate a matter.

9.3 A report with the Compliance Manager's recommendation(s) will be presented to Chemopharm Board, who will review the report and decide on any appropriate action to be taken. Chemopharm Board shall decide on a case-by-case basis on actions to be taken upon completion of the investigation.

9.4 All information, documents, records and reports relating to the investigation of the alleged Improper Conduct shall be maintained and kept securely by Compliance Manager to ensure confidentiality.

9.5 Subject to legal constraints, the Whistleblower and the alleged wrongdoer will be notified of the outcome of the investigation.

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- 9.6 The Compliance Manager will furnish a quarterly, half-yearly and year-end report to Chemopharm Board on the number and nature of cases reported by whistleblower(s). Chemopharm Board will review the report and submit a summary report to the relevant local authority (if any) for their information and/or action in compliance with the requirement outlined by the authority.

10. CONFIDENTIALITY AND PROTECTION OF WHISTLEBLOWER

- 10.1 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. For the purpose of conducting a competent investigation, the disclosure of the identity would be subject to the consent of the Whistleblower. All information disclosed during the investigation will remain confidential, except as necessary to conduct the investigation and take any remedial action.
- 10.2 The Whistleblower will be protected from “**Detrimental Treatment**” within the Group as a consequence of his / her disclosure. Chemopharm will not tolerate such detrimental treatment when concerns are raised in good faith. Such protection is accorded even if the investigation later reveals that the Whistleblower is mistaken as to the facts.
- 10.3 It is to be noted that any person who has not acted in good faith shall not be entitled to any protection under this Policy. If allegations are proven to be malicious or founded on bad faith, any protection provided may be revoked and parties responsible may be subject to appropriate action, including but not limited to legal action, where applicable.
- 10.4 Where such “Detrimental Treatment” takes place, the Whistleblower may report it to the Compliance Manager, and the appropriate actions may be taken against the relevant individuals. The right of a Whistleblower for protection against retaliation does not include immunity for any personal wrongdoing that is alleged, investigated and proven.
- 10.5 For purposes of this Policy, “Detrimental Treatment” includes but is not limited to:
- any action causing injury, loss or damage to the Whistleblower;
 - any action of intimidation and harassment against the Whistleblower;
 - any direct or indirect retaliation or attempted retaliation, discrimination or victimization;
 - interference with the lawful employment or livelihood of the Whistleblower, including discrimination, discharge, demotion, suspension, disadvantage, termination or adverse treatment in relation to the Whistleblower’s employment, career, profession, trade or business or the taking of disciplinary action; and
 - a threat to take any of the actions stated above.

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11. UPDATING THE WHISTLEBLOWER

- 11.1 The Whistleblower will be accorded the privilege to be notified of the outcome of the investigation into his/her concern raised. If the Whistleblower is not happy with the investigation by internal personnel, he/she has a right to report the event to the appropriate regulatory, legal or investigative agencies.

12. SAFEKEEPING OF RECORDS

- 12.1 All reports, its supporting evidence, findings of investigations and monitoring of corrective actions shall be centralized, logged and monitored by the Compliance Manager.
- 12.2 Disclosure of reports to individuals who are not involved in the investigation will be viewed as a serious disciplinary offence which may result in disciplinary action, including termination of employment or dismissal.

13. ADMINISTRATION OF THIS POLICY

The document owner shall be responsible for the administration, interpretation and revision of this Policy.

This Policy will be reviewed at least once in two (2) years and may be amended from time to time by the document owner to ensure that it is in line with the industry leading practices and caters for other applicable changes/guidelines introduced by the regulatory authorities.

Any significant modification and changes arising out of the review shall be tabled for Chemopharm Management's recommendation and approval.

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APPENDIX A – WHISTLEBLOWER REPORTING FORM

| WHISTLEBLOWER REPORTING FORM | |
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| <p><i>This form is strictly for reporting of wrongful practices by Chemopharm employees, or vendor staff working in/for Chemopharm.</i></p> <p><i>Please provide the following details for any suspected Improper Conduct and submit directly to Chemopharm Compliance Manager. In the event the information is not available at the time the case is lodged, please type 'Not Available' in the field.</i></p> <p><i>Please note that you may be called upon to assist in the investigation, if required. In order for us to conduct a thorough investigation, please provide information as accurate as possible.</i></p> <p><i>Your identity and all information provided will be kept confidential.</i></p> | |
| WHISTLEBLOWER'S PARTICULARS | |
| Name: | |
| Designation (if you are Chemopharm employee) / Occupation: | |
| Department (if you are Chemopharm employee): | |
| Date: | |
| How can we contact you for additional information, if required? (Please provide us your contact number or email address) | |
| CONSENT TO DISCLOSE YOUR NAME | |
| <p>Would you like to disclose your identity in the report? (Please tick the box for name disclosure consent)</p> <p><input type="checkbox"/> I consent to my name being disclosed if so, required under the provision of the law or for the purpose of conducting a competent investigation.</p> | |
| INFORMATION OF CHEMOPHARM EMPLOYEE(S) INVOLVED IN IMPROPER CONDUCT | |
| Name of employee(s) involved in Improper Conduct: | |
| Designation & Department (where applicable): | |

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Contact Number and/or E-mail address (*where applicable*):

DETAILS OF IMPROPER CONDUCT

What is the incident you wish to report?

On a best effort basis, please briefly describe the Improper Conduct and include the following details:

- (i) *What was the Improper Conduct which had occurred?*
- (ii) *Who had committed the Improper Conduct?*
- (iii) *When did it happen (date(s) and time(s))?*
- (iv) *Where did it happen?*
- (v) *Details of the Improper Conduct*
- (vi) *Who has been involved?*
- (vii) *Is there any evidence that you could provide?*
- (viii) *Are there any other parties involved other than the suspect stated above?*
- (ix) *Do you have any details or information which would assist us in the investigation?*

You may attach additional pages if there is not enough space here:

Please tick the appropriate box

Has this incident occurred before?

Yes

No

If yes, when was it first observed (*please include information such as the period and frequency if applicable*):

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Please tick the appropriate box

Were there witness(es) or other people involved?

Yes

No

If yes, who were they? *(please provide us the name, position and contact details):*

What is the estimated monetary value involved? *(optional)*

Please tick the appropriate box

Have you lodged a complaint on this matter to other parties through any other channels / procedures? (another person / department / authority)?

Yes

No

If yes, please provide details of the complaint lodged below:

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DECLARATION

Please read the following statements carefully and tick all the boxes before submitting.

I declare that all information provided in this Form is correct and complete to the best of my knowledge, information and belief.

I hereby acknowledged above report been done in good faith and not for my personal gain.

I hereby agree that the information provided herein to be used and processed for investigation purpose and further agree that the information provided herein may be forwarded to another department / authority / enforcement agency for purpose of investigation.

Form completed by:

Signature:

For completion by Chemopharm Compliance:

Date form is received:

Name of recipient and designation:

Signature:

[End of Appendix A]

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APPENDIX B – DETRIMENTAL ACTION COMPLAINT FORM

| DETRIMENTAL ACTION COMPLAINT FORM | |
|--|--|
| <p><i>Any employee that makes a report of Improper Conduct in good faith and who has been subject to Detrimental Action may lodge a complaint using this Form. The same procedures for investigation in for reports of Improper Conduct shall apply for any complaints of Detrimental Action.</i></p> <p>“Detrimental Action” includes:</p> <ul style="list-style-type: none"> a) <i>causing injury, loss or damage;</i> b) <i>intimidation or harassment;</i> c) <i>interference with lawful employment or livelihood of any person, including discrimination, discharge, demotion, suspension, disadvantage, termination or adverse treatment in relation to a person’s employment, career, profession, trade or business or the taking of disciplinary action; and</i> d) <i>a threat to take any of the actions referred to in (a) to (c) above.</i> <p><i>Please provide the following details and submit directly to Chemopharm Compliance Manager. In the event the information is not available at the time the case is lodged, please type ‘Not Available’ in the field.</i></p> <p><i>Please note that you may be called upon to assist in the investigation, if required. In order for us to conduct a thorough investigation, please provide information as accurate as possible.</i></p> <p><i>Your identity and all information provided will be kept confidential.</i></p> | |
| WHISTLEBLOWER’S PARTICULARS | |
| Name: | |
| Designation (if you are Chemopharm employee) / Occupation: | |
| Department (if you are Chemopharm employee): | |
| Date: | |
| How can we contact you for additional information, if required? <i>(Please provide us your contact number or email address)</i> | |
| INFORMATION AND PARTICULARS OF DETRIMENTAL ACTION | |
| Name of employee(s) committing the Detrimental Action: | |

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DETRIMENTAL ACTION COMPLAINT FORM

Designation & Department (*where applicable*):

Contact Number and/or E-mail address (*where applicable*):

Detrimental Action complained of:

* Please submit supporting documents if available.

* Please attach additional sheets if necessary.

DECLARATION

Please read the following statements carefully and tick all the boxes before submitting.

I declare that all information provided in this Form is true, correct and complete to the best of my knowledge, information and belief.

I hereby agree that the information provided herein to be used and processed for investigation purpose and further agree that the information provided herein may be forwarded to another department / authority / enforcement agency for purpose of investigation.

Form completed by:

Signature:

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| DETRIMENTAL ACTION COMPLAINT FORM | |
|---|--|
| <i>For completion by Chemopharm Compliance:</i> | |
| Date form is received: | |
| Name of recipient and designation: | |
| Signature: | |

[End of Appendix B]