

上海商業銀行

SHANGHAI COMMERCIAL BANK

Whistleblowing Report Form 舉報表格

Shanghai Commercial Bank Limited (the "Bank") is committed to promoting sound corporate culture and has established Whistleblowing Policy to provide clear channels for external parties that deal with the Bank to report any illegal activities or misconduct by the Bank staff. The Bank should handle the reported case in accordance with the Whistleblowing Policy, including but not limited to confidential investigation procedures, investigation time limit, escalation protocol and prohibition of retaliation against the whistleblower.

上海商業銀行有限公司（「本行」）致力促進良好的企業文化並設有舉報政策，為與本行有往來的外部單位提供清晰的渠道舉報其發現的任何本行員工非法活動或失當行為。本行須根據舉報政策處理個案，包括但不限於保密調查程序、調查時限、匯報機制及嚴禁針對舉報者的報復。

CONFIDENTIAL 機密資料

By email 電郵:	whistleblowing@shacombank.com.hk
By post 郵寄:	Chief of Legal & Compliance ^{Note 3} Shanghai Commercial Bank Limited, 12 Queen's Road Central, Hong Kong (Please mark "Confidential – To be opened by addressee only" on the sealed envelope) 香港皇后大道中 12 號 上海商業銀行大廈 法律及合規處總監 收啓 ^{註 3} (請於密封的信封上註明「機密 - 限收件人開啓」)
Your contact information 舉報者聯絡資料 ^{Note 註 2} (You are encouraged to provide your name and contact information to facilitate our follow-up. 建議舉報者提供姓名及聯絡資料以助本行跟進。)	Name 姓名: Tel. No. 電話: Email 電郵: Report Date 日期:
The names of persons involved (if known) 涉及人士的姓名 (如知道):	
Details of concerns 舉報詳情: [Including names, dates, places and the reasons for the concerns together with any supporting evidence (attach supplementary sheet if necessary) 包括姓名、日期、地點及關注的原因，並附上任何相關證據 (如有需要，請另紙填寫)。]	

Important Notes 注意事項:

- All concerns raised shall be treated in strict confidence by the reporting person. 舉報人必須將有關舉報保密。
- Personal data collected will only be used for purposes which are directly related to the whistleblowing case reported and will be handled in accordance with the Personal Data (Privacy) Ordinance. 所收集的個人資料只會用於與所舉報事件直接有關的用途及依據個人資料(私隱)條例處理。
- If the report involves the following persons of the Bank, please mail the report directly to the designated parties: 假如舉報內容牽涉以下本行人員，請直接郵寄舉報至指定人員：
 - If the concern relates to the Chief of Legal & Compliance or the Chief Risk Officer of the Bank, please raise the concern and address it directly to the Chief Executive of the Bank by post. 如舉報內容牽涉本行風險管理總監或法律及合規總監，請直接郵寄舉報至本行行政總裁。
 - If the concern relates to the Chief Executive or a Director of the Bank, please raise the concern and address it directly to the Chairman of the Audit Committee of the Bank by post. 如舉報內容牽涉行政總裁或董事，請直接郵寄舉報至本行審計委員會主席。
 - If the concern relates to the Chairman of the Audit Committee of the Bank, please raise the concern and address it directly to other members of the Audit Committee of the Bank by post. 如舉報內容牽涉本行審計委員會主席，請直接郵寄舉報至本行審計委員會其他成員。