



**HANA Microelectronics Public Co., Ltd.**

## **WHISTLEBLOWING POLICY**

**By Board of Directors**  
Revision: 23 February 2017

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## I. POLICY OVERVIEW

It is the policy of the Board of Directors to have a process in place for the receipt, treatment of complaints regarding any non-compliance with related laws and regulations, employees' right violation, incorrect financial report, internal control deficiencies, fraud or violation of the business code of conduct that could damage to the Company's reputation. Both internal employees and external parties can notify to the Chairman of the Audit Committee, or through available channels set by the Company with the measures to protect the whistleblower from being violated their rights.

## II. POLICY OBJECTIVE

The objective of this policy is to:

- Encourage directors, executives, and employees to conduct the Company's business with highest ethical standard, transparent, fair and verifiable manner in line with the good corporate principles, business code of conduct as well as related laws and regulations strictly.
- Encourage directors, executives, employees and other stakeholders to make the complaints, suspected violation or concerns about the aforesaid matters thought the given channels in order to promote the image and integrity of Hana group.

## III. PROCEDURES

### 1. Submission of Complaints:

1.1 Any stakeholder who has any complaint or concern regarding activities or conduct of the Company, directors, executives, its staff, business partners, or other stakeholders relating to the Company may report such complaint or concern in good faith with the necessary information to either below contacted detail:

- 1) Chairman of the Board of Directors and Chairman of Audit Committee

Mr. John Thompson  
Hana Microelectronics Public Co., Ltd.  
65/98, Soi Vibhavadi-Rangsit 64, Junction 2,  
Kwaeng Talad Bangkhen, Khet Laksi, Bangkok 10210, Thailand  
E-mail: [john@ntasset.com](mailto:john@ntasset.com)

- 2) Chairman of Corporate Governance Committee and Risk Management Committee

Mr. Terrence Philip Weir  
Hana Microelectronics Public Co., Ltd.  
65/98, Soi Vibhavadi-Rangsit 64, Junction 2,  
Kwaeng Talad Bangkhen, Khet Laksi, Bangkok 10210, Thailand  
E-mail: [terry@hanabk.th.com](mailto:terry@hanabk.th.com)

3) Chief Executive Officer

Mr. Richard David Han  
Hana Microelectronics Public Co., Ltd.  
65/98, Soi Vibhavadi-Rangsit 64, Junction 2,  
Kwaeng Talad Bangkhen, Khet Laksi, Bangkok 10210, Thailand  
E-mail: [richardh@hanabk.th.com](mailto:richardh@hanabk.th.com)

4) Corporate Human Resource Sr. Director

Mrs. Puntipa Tanthana  
Hana Microelectronics Public Co., Ltd.  
65/98, Soi Vibhavadi-Rangsit 64, Junction 2,  
Kwaeng Talad Bangkhen, Khet Laksi, Bangkok 10210, Thailand  
Email: [puntipat@hanabk.th.com](mailto:puntipat@hanabk.th.com)

5) The Company's Secretary or the Head of Internal Audit

Ms. Jirapa Kongmanee  
Hana Microelectronics Public Co., Ltd.  
65/98, Soi Vibhavadi-Rangsit 64, Junction 2,  
Kwaeng Talad Bangkhen, Khet Laksi, Bangkok 10210, Thailand  
E-mail: [jirapak@hanabk.th.com](mailto:jirapak@hanabk.th.com)

1.2 Any whistleblower of the companies in Hana group should initially make a complaint or report any act of misconduct or suspicions through the respective channels such as through an employee's direct supervisor (manager level and above); the head of Human Resource Department of each Hana location or suggestion/red box available at each Hana location. However, if the person making the report considers uncomfortable or inappropriate, he or she can report the matter directly to the channels provided in 1.1.

1.3 The whistleblower should file a complaint in official language, based on the fact clearly identified and sufficiently for further investigation such as inform the person involved, the nature and details of the event, the dates and relevant information. In addition, the whistle-blower should disclose his/her name, address or any other contact channel for further information and clarification that may require.

## 2. Handling of Complaints:

The Company will decide how to respond in a responsible, transparent and appropriate manner. An investigation will be conducted as speedily and sensitively as possible in accordance with all relevant laws and regulations. Any person found to be involved in any wrongdoing will be subject to investigation using the local disciplinary procedure and/or appropriate legal action taken.

A supervisor who receives the complaint regarding allegation of misconduct or fraud shall inform the Internal Audit and Human Resources Departments for further investigation.

If any officer involved in receiving and investigating a complaint found that a complaint could have a significant impact on the Company's reputation, the company's business or the financial position, they must report the matter to the Executive Committee immediately to consider further actions.

**3. Protection of Reporting Individual:**

- The Company will not disclose who makes a complaint or report of misconduct in good faith, or assist in an investigation.
- The Company will keep such reports confidentially and will disclose on a need to know basis by securing the whistle-blower or concerned personnel.
- The Company will not discharge, demote, suspend, threaten, harass or in any other actions against any person reporting any such complaint that made in good faith pursuant to and in accordance with this procedure.

**4. Confidentially:**

Every officer involved in receiving and investigating a complaint or report of misconducts must treat all information as confidential and shall only disclose such information on the need to know basis.

**5. Submit false information:**

If it can be shown that an executive or employee made false information intended to harm the Company or any of its employee, he or she will be subject to disciplinary action or even legal proceedings.

**6. Reporting:**

The Internal Audit Department is responsible for preparing the summary result of formal cases after the investigation to the Executive Committee or the Audit Committee and the Board of Directors at least on a quarterly basis.

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