

Whistle Blowing Policy

Krungthai Asset Management Public Co., Ltd. has established a Whistle Blowing Policy to support and emphasize the importance of all stakeholders, whether internal staff member or external individuals, to be able to report on potential cases of corruption or unethical business conduct or regulatory breaches. This will help enable improvement and resolutions to rectify wrongdoing and enable business to operate in a proper, appropriate, transparent, and efficient manner.

1. Objectives

- 1.1 To enable all stakeholders the opportunity to promptly report potential misconduct or suspicious behavior of wrongdoing that violate laws or relevant regulations or involve corruption, dishonesty, or unethical business behavior.
- 1.2 To enable the company to operate in a proper, appropriate, transparent, and efficient manner that exudes good governance and to protect against risks and potential loss.
- 1.3 To emphasize the integrity of the reporting process from all stakeholders, and to protect a well-intentioned whistle blower, the information reported will be treated confidentially and not disclosed to others.

2. Glossary of Terms

- 2.1 "Whistle blowing" refer to the reporting of information to the company about the likelihood of a misconduct as described in item 1.1
- 2.2 "Whistle blower" refer to a director, employee, any stakeholder regardless of whether an internal staff or external person.
- 2.3 "Case handlers" refer to the Audit Committee and the Whistle Blowing Committee.
- 2.4 "Whistle Blowing Committee" shall consist of the head of the Internal Audit Office and the head of the Compliance Office

3. Reporting Channels

3.1 By email: whistleblowing@ktam.co.th

3.2 By correspondence addressed to:

Whistle Blowing Committee, Krungthai Asset Management or Audit Committee, Krungthai
Asset Management
Empire Tower, 32nd Fl.,
South Sathorn Rd., Yannawa, Sathorn,
Bangkok 10120, Thailand

3.3 By telephone: 02-686-6100

4. Evaluation Criteria

4.1 The concerns raised by the whistle blowing effort should be reported in good faith, not for personal gains.

4.2 Concerns raised by a whistle blower that is unidentified shall not receive consideration or action whatsoever.

4.3 Persons involved in the investigation of a corruption case must ensure confidentiality of information and outcome.

5. Operating Guidelines

5.1 The whistle blower may raise concerns for misconduct as described in item 1.1 through a signed document to be submitted to the Whistle Blowing Committee or Audit Committee, through the channels described by item 3.

5.2 Case handlers must ensure confidentiality of all information reported without disclosing any information to others. If information is leaked, the company shall take disciplinary action.

5.3 The Whistle Blowing Committee shall determine whether the concerns raised amount to the likelihood of misconduct or suspicious behavior of wrongdoing described in item 1.1

5.3.1 If the concerns raised do not amount to the likelihood of wrongdoing or corruption and do not suggest further investigation, the head of the Internal Audit Office shall report the case to the Audit Committee. If the Audit Committee also agrees there is no ground for suspicion, the head of the Internal Audit Office shall explain to the whistle blower the reason why no investigation took place.

5.3.2 If the concerns raised have sufficient likelihood of potential wrongdoing or corruption and requires further investigation, the head of the Internal Audit Office shall report to the Audit Committee. The Audit Committee may appoint an Investigating Committee to examine the case or advise on remedial action to take or impose disciplinary action as deemed appropriate.

5.4 The head of the Internal Audit Office shall complete a summary report of the facts of the case to be submitted to the company's Board of Directors via the Audit Committee.

5.5 Upon completion of the investigation process, the head of the Internal Audit Office shall report findings to the whistle blower.

5.6 The information raised by the whistle blower and all relevant documentation shall be kept confidential by the Whistle Blowing Committee and archived for a period of at least 3 years.

6. Witness Protection

A good-intentioned whistle blower shall receive appropriate protection by the company. Information provided and identity of the whistle blower shall be kept confidential by the company. If it is necessary for the company to disclose the information, the company shall only reveal information that is needed, with consideration for the safety or damages which could be inflicted on the whistle blower.

7. False Reporting

A whistle blower shall fully understand that whistle blowing must be well-intentioned, not purposely aimed to harm the organization or individuals, or conducted for malicious intent or unfairness. False reporting shall face disciplinary action by the company according to standard company procedures or regulatory requirements applicable to whistle blowing, as appropriate.

8. Policy Review

The company, through the Whistle Blowing Committee, shall undertake a review of the Whistle Blowing Policy and propose updates to the Audit Committee annually. This will ensure that the policy is compatible with current laws, effective, and aligned with company objectives.

9. Effective Date

The Whistle Blowing Policy shall be effective as of 1 June 2017 onwards until further notice.

"Important Notice: This document has been translated from Thai. If there is any inconsistency or ambiguity between the English version and the Thai version, the Thai version shall prevail."