

Whistleblowing Policy

The Company realize for good corporate governance, transparency and accountability. Therefore, the Whistleblowing Policy has been prepared to helps company know about complaints in illegal activities and code of conduct. In case of an incident that may be a problem or may cause damage to the company or when there is a behavior that is inappropriate or contrary to the ethics of the company, all interested parties can contact the complaint or report any matter. The Company will listen to all complaints in an equitable, transparent manner as well as fairness to all parties. The implementation and investigation period will carefully and appropriately.

Scope of notification of clues or complaints

Complainant can provide clues or complaints about important issues that may have a negative impact for the Company as follows :

1. Illegal acts or failure to comply with corporate governance policy, Anti-corruption Policy and Code of Conduct.
2. Violation of regulations and regulations of the Company.
3. Invalid financial report, insufficient internal control system and false financial document.
4. Conflicts of Interest.

Conditions for notification of clues or complaints

1. Complainant must specify name, address and contact number include the name of the offender and the offense. However, the complainant can choose not to disclose themselves if the disclosure will cause unsecure or any damage, but self-disclosure will allow the company to report progress, clarify the facts or to relieve the damage quickly.
2. Complainant must provide information or evidence related to the subject to report clues or complaints clearly enough and not false.

Channels for reporting clues or complaints

1. By mail :
To : Audit Committee or Company Secretary
Address : BT Wealth Industries Public Company Limited
593/3 Soi Ramkhamhaeng 39 (Thepleela 1) Ramkhamhaenh Rd.,
Kwaeng Wangthonglang Khet Wangthonglang Bangkok 10310
2. By E-mail : info@btw.co.th
3. Website : <http://www.btwealthindustries.com/en/sustainability/cg>

Action on complaints

1. Company Secretary will collect, filing and submitting complaints to the management.
2. Management will investigate of preliminary facts. If found to be true, the Audit Committee and the Board of Directors will be informed to set guidelines for conducting the audit, investigate the facts, including timeline to find solutions to terminate the matter and the penalty.
3. Send audit report to the complainant in case of the complainant reveals himself.

Protective measures for complainers, complainants or related persons

1. Information of the complainant or related parties will be closed confidential and not disclosed to non-related persons except as required by law. The person concerned with the complaint must keep the information confidential and not disclose it to any other person except as required by law. If the information is deliberately violated, the Company will punish according to the Company's regulations and / or legal proceedings, as the case may be.
2. Recipient must be kept informations confidential and disclosed as necessary by taking into account of the safety or suffering of the complainant, or related parties
3. The complainant will be protected from all kinds of harassment or bullying during the investigation and after the investigation. The complainant will be mitigated by proper and fair procedures.

Clues or false complaints

If the company found that clues or complaint or any other information has an evidence to proof that an act of intentional dishonesty , false and is intended to cause damage, the company will action as follows:

- In case of employees of the company, he will be subject to disciplinary action in accordance with the Company's regulations.
- In case of other person, the Company will consider legal action against such person if the action causes the damage to the Company.

This policy is effective from 13 November 2018 onwards.