

VMware ETICA FAQs

VMware Ethics Helpline

Frequently Asked Questions

1. What is the VMware Ethics Helpline?

The VMware Ethics Helpline is an ethics and compliance reporting service that permits employees to ask questions, report concerns or follow up on matters they have already reported. It helps our company address fraud, abuse, and misconduct in the workplace, all while cultivating a positive work environment.

2. Why do we have an Ethics Helpline?

Publicly traded companies in the United States are required by law to have an anonymous reporting vehicle to address accounting and auditing fraud directly to the audit committee. However, we also want to create open channels of communication to promote a safe, positive work environment and maximize productivity for all our employees. We believe that you are our most important asset in ensuring that compliance with all applicable laws and regulations. An effective reporting system supports our efforts to foster a culture of integrity and ethical decision-making. Violations of law, compliance requirements and company policies is unacceptable at any level of VMware. If you believe someone has violated our standards, we want you to tell us so that we can investigate and if necessary, correct any problems. The VMware Ethics Helpline provides an additional way to get assistance.

3. Who may report a concern?

Anyone may report a concern related to potential misconduct involving VMware including a VMware employee, contractor, channel partner or customer.

4. Who operates the VMware Ethics Helpline?

The VMware Ethics Helpline is operated by NAVEX Global Inc., a third party vendor.

5. Why is VMware using NAVEX Global for reporting of concerns?

NAVEX Global is an independent company that provides secure, confidential telephone and web-based systems for use by those who wish to report a concern regarding business conduct. We believe reporters will be more comfortable reporting a concern to a professional independent third-party. NAVEX Global will protect the identity of reporters who wish to remain anonymous and will provide translation services for those reporters who wish to report in languages other than English. NAVEX Global will transmit information about the concern to VMware so that VMware can conduct an appropriate investigation. It is not NAVEX Global's role to take action to address the concern, only to transmit the concern to VMware Ethics and Compliance Office.

6. How do I use the VMware Ethics Helpline?

The VMware Ethics Helpline has two intake methods.

Telephone: You can contact the VMware Ethics Helpline on a toll-free number at 877-310-0382. If you are calling from outside the United States, you can access this global number using an AT&T access code, which can be found by selecting your country from the dropdown (click on “Toll-Free Dialing Numbers” at left). We want you to be able to file a report in the manner most comfortable or convenient for you. The toll-free number is staffed 24 hours a day, seven days a week, every day of the year. When you call, a professionally trained NAVEX Global intake specialist will guide you through a series of questions designed to identify the relevant details for your question or concern. There are toll-free numbers in each country where VMware has employees. Multinational operators are available so that you can make reports or ask questions in your preferred language.

- 1) *Web-based system: The web-based system is available 24 hours a day, seven days a week anywhere that you have access to the internet. The web-based system will guide you through the process of asking a series of questions. It will ask for relevant details about your question or concern. This web-based report is available only in English.*

Where permitted by law, you may remain anonymous. If you choose to remain anonymous no attempts will be made to try and learn your identity.

7. When should I use the VMware Ethics Helpline?

The VMware Ethics Helpline is a communication tool. You can use it to seek guidance on VMware’s business conduct guidelines. You can ask general ethics questions or raise a concern about a suspected violation of law or regulatory requirements such as potential fraud, suspected bribery or accounting concerns. Some examples of incidents to report include harassment, discrimination, conflict of interest, employee relations violations, data privacy violations, workplace violence, policy violation, theft, securities violations or falsification of records. Certain countries are limited by local law to matters specifically relating to accounting, auditing, banking, bribery, internal financial controls or financial issues. If your concern relates to other types of non-compliance, we encourage you to report them to the Legal Department or the Ethics and Compliance Officer. If you are uncomfortable reporting your concern, if you do not know whom to contact, if you believe your concern has not been satisfactorily addressed or if you wish to remain anonymous please proceed with the filing of the report through the VMware Ethics Helpline.

8. Should I identify myself?

If you choose to identify yourself in reporting your concern, VMware will make every reasonable effort to hold your name in confidence during the investigation. Note, however, that in some countries, we may be required by law to disclose your information during the course of an investigation. Many investigations can be more quickly and effectively completed when the reporter is identified because it allows VMware’s investigators to follow up directly with the reporter.

9. May I report my concern anonymously?

In all countries except those which prohibit anonymous reporting, you may report your concern anonymously by using either the web-based form or the telephone hotline, both of which are operated by NAVEX Global. Employees from Europe are strongly encouraged to disclose their identity when they file a report.

10. What is the difference between reporting anonymously and confidentially?

When you report anonymously you do not inform NAVEX Global of your name or other identifying information about yourself. When you complete the report submission process, you will be provided with a report key and will be asked to create a password. You will need to retain these to return to the report you submitted. When you check back you can monitor the progress on your concern and add additional information if necessary. This will also allow VMware to ask follow up questions while protecting your anonymity. If you choose to report anonymously, please take care not to report information that may personally identify you, such as your reporting relationship to others within the organization or your physical work location.

When you report confidentially, you provide NAVEX Global with your name and contact information which will be passed along to VMware. Many investigations can be more quick and effectively completed when the reporter is identified because it allows VMware's investigators to follow up directly with the reporter to seek clarification and ask additional question that may be helpful. Employees from Europe are strongly encouraged to disclose their identity when they file a report.

11. How does NAVEX Global maintain confidentiality?

NAVEX Global does not trace phone calls or use functionality such as Caller ID. In addition, NAVEX Global does not generate or maintain internet connection logs containing Internet Protocol (IP) addresses so no information linking your computer to NAVEX Global would be available if you choose to make a report online. Reports from a computer would come through a secure internet portal that does not trace or pass along any other information, such as user screen names or the like. Employees from Europe are strongly encouraged to disclose their identity when they file a report.

12. How can I monitor progress on my concern?

At the end of the telephone call or web-based report, NAVEX Global will provide you with a report key and you will need to create a password. After you have made your initial report, we encourage you to check back within three to five days in order to monitor the progress on your concern and add additional information, if necessary. This will also allow VMware to ask follow-up questions while protecting your anonymity where applicable.

13. What if I remember something important about the incident after I filed the report?

You can return to the VMware Ethics Helpline again either by internet or telephone and get access to your original report. There will be an initial response to your report or question within three to five days. If you give your name when making your report, you may be contacted directly by a VMware representative to report the outcome of your call or to seek information. If you chose to remain anonymous, there may be a request for you to answer questions posed by a VMware representative. This is your opportunity to add any further information that will help resolve open issues.

14. What if I lose my report key or password?

Due to the high level of confidentiality that is maintained for reports, if you lose your report key or password, you will be required to file a new report. You should mention in the new report that this matter relates to another report you submitted earlier.

15. Are these follow-ups on reports as secure as the first one?

All VMware Ethics Helpline correspondences are held in the same strict confidence as the initial report, continuing under the umbrella of anonymity and confidentiality.

16. Where do these reports go? Who can get access to them?

Reports are entered directly onto the NAVEX Global's secure server to prevent any possible breach in security. NAVEX Global makes these reports available only to specific individuals within VMware who are responsible for evaluating the incident. Each of these report recipients has had training in keeping these reports absolutely confidential.

17. What if I face retaliation?

VMware strictly forbids any retaliation against any person who reports a concern. Complaints made in good faith will not expose you to any sanctions, regardless of whether the underlying facts prove to be correct or result in any corrective action. If you believe you have faced retaliation of any kind, please report it so that VMware can investigate.

18. Does management really want me to report?

We certainly do. In fact, we need you to report. You may have initial knowledge of an activity that may be cause for concern. Reporting a concern can minimize the potential negative impact on VMware, your colleagues and our customers, and most importantly, help alleviate the difficulty that you are facing. Also, offering input may help identify issues that can improve our corporate culture and VMware's overall performance. Please do not assume that someone else will raise the concern. Unless you speak up, VMware may not have a chance to investigate and address the situation.

19. Why are employees asked to report concerns or violations? Isn't this a management responsibility?

It is everyone's responsibility. We all have the right to work in a safe and positive environment. With that comes the responsibility of acting ethically and letting VMware know if someone is not acting appropriately. By working together, managers and employees can maintain a healthy and productive environment. Corporate misconduct can threaten the livelihood of our company.

20. If I see a violation, shouldn't I just report it to my manager or Human Resources and let them deal with it?

You certainly can but there are several good reasons why you should use the VMware Ethics Helpline as well. The VMware Ethics Helpline ensures that your report gets to the appropriate people. That may or may not happen if you simply report something to your manager, especially when dealing with issues not under his/her control. There may also be circumstances when you are not comfortable reporting the issue to local management so alternative resources, including the VMware Ethics Helpline are available. All reported information is secure and held in the strictest confidence.

21. Isn't this system just an example of someone watching over me?

The VMware Ethics Helpline concentrates on being a positive resource for VMware, helping us to maintain a safe, secure, and ethical workplace. You can use the VMware Ethics Helpline to get guidance on ethical dilemmas, provide positive suggestions, or communicate a concern. Effective communication is critical in today's workplace and this is a great tool to enhance that communication.

22. I am aware of some individuals involved with unethical conduct, but it doesn't affect me. Why should I report it?

VMware is making a conscious choice to promote ethical behavior. All unethical conduct, at any level, ultimately hurts the company and all employees. You only have to consider what happened in recent corporate scandals to see disastrous effects that a lapse in ethics can have on an otherwise healthy company. So if you know of any incidents of misconduct or ethical violations, consider it your duty to yourself and your co-workers to report it.

23. I'm not sure what I've observed or heard is a violation of company policy, or involves unethical conduct, but it just doesn't look right to me. Should I report it?

Yes. The VMware Ethics Helpline can help you prepare and file your report so it can be properly understood. We'd rather you report a situation that turns out to be harmless than let possible unethical behavior go unchecked because you weren't sure.

24. Can I still file a report if I don't have access to the Internet?

You can file a report from any computer that can access the internet. You can file from home. Many public locations, including the public library, have internet-enabled computers. If you don't have access or are uncomfortable using a computer, you can call the VMware Ethics Helpline toll-free hotline at 877-310-0382. If you are calling from outside the United States, you can access this global number using an AT&T access code, which can be found by selecting your country from the dropdown (click on "Toll-Free Dialing Numbers" at left). The hotline is staffed 24 hours a day, 365 days a year.

25. Is the telephone toll-free hot line confidential and anonymous too?

Yes. You will be asked to provide the same information that you would provide in an internet-based report and an interviewer will type your responses into the VMware Ethics Helpline website. These reports have the same security and confidentiality measures applied to them during delivery. You may choose to remain anonymous or provide your name with your report. Employees from Europe are strongly encouraged to disclose their identity when calling in to submit a report.