

## FAQ's

### 1) What is the purpose of the Whistleblower Hotline?

*Having a Whistleblower Hotline protects Pembina and its people. It provides an accessible means for both the public and Pembina Personnel to report a concern, or ask a question, with the option to do so anonymously.*

*Having an open channel of communication is simply good business. It promotes a workplace of reporting, compliance and accountability. We believe the Whistleblower Hotline will increase the effectiveness of our reporting and monitoring systems while supporting a culture of integrity and ethical decision-making.*

### 2) When should I report a violation or suspected violation? What if I am unsure?

*You should report a violation or suspected violation as soon as you are aware of it. Any matter that has the potential to harm people, property or Pembina's reputation must be reported, specifically:*

- *Suspected violations of the law, whether civil or criminal;*
- *Suspected violations of corporate policies or Pembina's Code of Ethics Policy;*
- *Breaches of occupational health and safety legislation;*
- *Questionable accounting, internal accounting controls or auditing practices or irregularities;*
- *Risk to Pembina's assets, property or resources;*
- *Risk to the environment;*
- *Danger to health, safety or security of a worker or the public; or*
- *Concerns about other Pembina business practices.*

*If you work for Pembina and are unsure about what to report, you are encouraged to discuss the situation with your leader. If you are not comfortable doing so, you may contact any Executive Officer, Internal Audit Manager or General Counsel. Anyone may also ask a question through the Whistleblower Hotline.*

### 3) Can I remain anonymous?

*Yes. Pembina will respect the anonymity of anyone who raises a legitimate concern whenever it is requested. However, if you choose to remain anonymous and do not provide sufficient detail, we may not be able to initiate or conduct an effective investigation. Note that your anonymity will be protected but it cannot be guaranteed. Your identity may be disclosed to those who need or are required to know by law. It may also be disclosed should it overtly impede the progress of the investigation.*

### 4) What will happen to me if I file a report?

*A Pembina representative will review your report and determine the next steps. Further investigation may be required, and you may be contacted to provide more information.*

*If you filed a report through EthicsPoint, you will be assigned a system generated report key and will be prompted to create a password. Keep this information so you may follow-up on the status of your report.*

*The participation of all Personnel to openly raise concerns without fear of retribution, retaliation, or inaction is vital to the success of the Code of Ethics. Pembina strictly prohibits any form of retaliation against anyone who would make a report in good faith. These individuals shall be protected from retaliation and those attempting to retaliate against them shall be subject to disciplinary measures.*

#### 5) How do I file a report?

*You are encouraged to report your concern to your immediate leader. If you are not comfortable doing so, you may contact any Executive Officer, Internal Audit Manager or General Counsel. The Whistleblower Hotline is an external reporting system that is confidential, easy to use, and always available to you:*

*Online: <https://pembina.ethicspoint.com>*

*Toll Free: 1-855-375-6799 to reach a call centre that is available 24 hours a day, 7 days a week.*

*Alternatively, you may contact any board member who will direct your concerns to the Audit Committee Chair. The Audit Committee Chair may also be contacted directly via Pembina's external legal counsel; Blake, Cassels & Graydon LLP, refer to the Whistleblower Policy on how to do this. This provides a means to address concerns independent of the entire Pembina organization.*

#### 6) What is EthicsPoint?

*EthicsPoint is a confidential reporting tool created by an independent third-party service provider, NAVEX. The tool serves as Pembina's Whistleblower Hotline and allows anyone to file a report anytime, either by phone or online. EthicsPoint does not trace phone calls and does not maintain any electronic information that would identify you. The online tool will ask you to complete a form which will capture the details of your report. By phone, an EthicsPoint representative will ask for the same information and will transcribe your responses on your behalf. A Pembina representative will then be electronically notified once your report has been submitted.*

#### 7) Who investigates reports?

*The investigation of reports are generally coordinated through Internal Audit who may engage subject matter experts depending on the nature of the complaint. These experts may be individuals from Pembina Legal, HR, Security, SSER, Supply Chain, and/or Operations. External expertise may be retained when required. All reports are confidential and will only be discussed with those who need or are required to know.*

#### 8) How can I follow-up on my report?

*You may follow-up on your report through the EthicsPoint system using the report key and password information that was provided to you. Neither Pembina or EthicsPoint retains this information, so it is important that you write it down and keep it safe, as it may be your only means of communication with*

*the investigation team. You are encouraged to check the status of your report in EthicsPoint and submit more information through the system.*

*If you submitted a report by some other means you may simply ask the person you reported to and they will provide you with as much information as is appropriate. Note that the details of an active investigation cannot be discussed, and any outcomes or potential outcomes are confidential.*

9) How long will it take for a case to be closed?

*The length of the investigation will vary depending on the nature and complexity of the report. All reports will be taken seriously and will be thoroughly investigated. The investigation team will always try to advance the investigation in a timely manner.*

10) Will I be informed of the results of the investigation and any action taken?

*No. You will be informed when the investigation has been concluded. Due to the confidential nature of any investigation, as well as legal and privacy concerns, all findings must remain confidential and will not be disclosed. If legal action is required, details of the case may become public knowledge through court proceedings and legal processes as per normal course.*

11) What happens if a report is made in “bad faith”?

*A report made in “bad faith” is a report that is not true or misleading, often motivated by malicious intent for false pretenses. Making a deliberate false report is a serious offence that may result in legal, and disciplinary action, up to and including dismissal.*

*Reports made in “good faith” are when someone has an honest belief that a violation of Pembina’s Policies or Procedures, or an illegal act, has occurred. No action will be taken against anyone who makes a report in good faith. Pembina prohibits any retaliatory action against anyone who makes a report in good faith. These individuals shall be protected from retaliation and those attempting to retaliate against someone for making a report shall be subject to disciplinary measures. However, disciplinary measures may be taken against Personnel who participated in the prohibited activity, even if they reported it.*

12) What are the consequences of a violation or breach of the Code?

*Consequences and disciplinary measures will vary depending on the nature and severity of the offense. Each situation will be assessed on a case-by-case basis, considering the weight of the evidence reviewed and the risk to the organization.*

13) Will reports be accepted through means other than the Whistleblower Hotline?

*Yes. Pembina will investigate any reportable matter raised through the appropriate channels, whether by letter, email, phone, in person or other means. The appropriate channels include your immediate supervisor or executive officer, Legal, Internal Audit or the Board of Directors. For more information, refer to Pembina’s Whistleblower Policy.*