

***Got a concern?* Frequently Asked Questions**

What is *Got a concern?*

Got a concern? is an independent, third-party channel for Firm colleagues to raise concerns or seek advice concerning behaviors that are not consistent with our values, or potentially violate our policies, professional standards or the law. *Got a concern?* is an addition to the Firm's existing suite of channels that include managers, HR/PD colleagues, Legal, and People Function leaders. You can engage with *Got a concern?* either online or by phone. We encourage you to identify yourself when raising a concern, as it enhances our ability to gather necessary information, and we keep your information and identity as confidential as possible. However, wherever permitted by law, concerns may be raised anonymously.

Why are we implementing *Got a concern?*

We want everyone to work in a supportive and inclusive environment. As such, colleagues should feel free to raise any concern or ask questions about behavior that may go against our values or violate policy, professional standards or law. The purpose of *Got a concern?* is to provide an additional way for colleagues to surface and address such concerns. Where possible, *Got a concern?* provides the option to remain anonymous, which may make it easier for some colleagues to raise their concerns or questions. Ideally, colleagues will have someone at the Firm such as a manager, HR or PD professional, or Firm leader who they feel able to approach directly, but if not, *Got a concern?* will now be available.

How can you ensure *Got a concern?* is anonymous?

Got a concern? is hosted by an independent third party, Navex Global's *EthicsPoint*. *Got a concern?* is designed to protect your confidentiality and your anonymity, if requested. *Got a concern?* allows anonymous correspondence between a colleague raising a concern or asking a question and the relevant Firm resource able to answer the question or investigate the concern. This enables additional information to be provided if needed and enables you to receive notice upon the conclusion of an investigation. Navex does not log or identify callers or generate internal connection logs of computer IP addresses.

If you raise a concern or seek advice anonymously, it is important to provide as much information as possible so that the Firm can investigate your concern or provide a thorough response. You can respond to requests for more information if necessary using your "report key" and password. Although we make every effort to thoroughly investigate and address all questions and concerns, there are cases where there is not enough information to allow us to respond. In that situation, we will ask for more information via the online correspondence feature. Colleagues can continue to remain anonymous and can choose whether to provide more information.

What happens if I choose to identify myself?

When raising a concern or asking a question through *Got a concern?*, you may choose to identify yourself, which may help the Firm address your report. The Firm will treat the matter confidentially and will protect your identity as best possible. We do not share the identity of colleagues who raise concerns with anyone who does not need to know the person's identity.

What does the Firm do to protect me from retaliation if I raise a concern?

The Firm prohibits retaliation against anyone who, in good faith, seeks advice, raises a concern or participates in an investigation, even if the allegation is ultimately not substantiated. You are encouraged to seek advice or raise concerns without fear of retaliation. If necessary, we will take steps to ensure that an individual is shielded from retaliation.

If you feel you have been subjected to retaliation, you may use *Got a concern?* or raise this with a manager, HR or PD professional, or a People Function Leader. Firm members found to have engaged in retaliatory conduct will be subject to discipline.

Who may use *Got a concern?*

Got a concern? will only be available to Firm members and implemented in compliance with the relevant laws of each country.

How is *Got a concern?* staffed and managed?

Our third-party partner, Navex Global's *EthicsPoint*, will provide telephone and web-based services to operate *Got a concern?*. Using an external provider helps to provide confidentiality for anyone filing a report, and anonymity for those who choose to remain anonymous. Navex is the global industry leader for hotlines and has a robust system, including a dedicated trained team. Navex will not investigate cases; rather they will transmit any concerns and questions – but not the identity of the person raising them unless the reporter identifies himself or herself - directly to the Firm, so that we can take the necessary steps. Navex also provides access to *Got a concern?* 24 hours a day, seven days a week.

May I use *Got a concern?* either over the Internet or the telephone?

Yes, you may. By giving you choices, the Firm helps ensure that colleagues can ask a question or raise a concern in the manner most comfortable or convenient to them. Country-specific guidance on how to make a toll-free call to *Got a concern?* is available [here](#).

What is the difference between *Got a concern?* and the Ombuds?

Got a concern? and our Ombuds serve distinct purposes for our Firm Members. The Ombuds are a confidential resource available to colleagues who are seeking guidance on a variety of topics, whether that is career advice, a difficult situation, or a workplace concern. Our Ombuds help you explore your options on how and through which channel to raise or resolve your concern and, therefore, are a good sounding board and a thought partner. As an informal resource, the Ombuds do not receive or review complaints or grievances as a representative of the Firm. Instead, discussions with the Ombuds stay confidential and do not result in internal reviews (unless there is an imminent risk of serious harm to the colleague or the Firm). *Got a concern?* is a channel to raise any questions or concerns (including anonymously where possible) so that they may be reviewed and addressed by the Firm. Information is kept as confidential as possible to ensure a thorough review by the Firm.

May I raise a concern or ask a question in a language other than English?

Yes, you may use any language; however, the web-based questions appear in English. Telephone input may require the use of a third-party translator, who will assist you and the *Got a concern?* operator during your call.

What concerns can be raised and what questions can be asked via *Got a concern?*

Got a Concern is intended to help colleagues work through serious issues relating to our values, policies and professional conduct. Certain countries have legal restrictions on the type of concerns that may be raised through this type of channel. If such a concern is raised, the Firm will respond through the portal to identify other channels that can be utilized to ensure the concern is reviewed and addressed.

When can I expect a response to my *Got a concern?* question or concern?

Usually, the Firm will post an initial response within 3-5 business days. It is important to check regularly, using your report key and password, for information requests from the investigation team. Some questions and concerns may be more complicated to address than others – we will work as fast as we can to thoroughly address all concerns raised and questions asked via *Got a concern?*. Once we have concluded any investigation work needed we will post that, so you can access it using your report key and password. We recommend you check back frequently. If you have chosen to remain anonymous, we have no other way of getting back to you to inform you of the outcome.