



CNA Compliance Hotline

Frequently Asked Questions

About Reporting

May I report using either the Internet or by Phone?

Yes. With NAVEX Global, our third party hotline vendor, you have the ability to file a report via either the Internet or by Phone.

If I see a violation, shouldn't I just report it to my manager, security, or human resources and let them deal with it?

When you observe some behavior you believe violates our CNA Code of Conduct, we expect you to report it. Ideally, you should bring any concerns forward to your direct manager or other member of our management team. We recognize, however, that there may be circumstances when you are not comfortable reporting the issue in this manner. It is for such circumstances we have partnered with NAVEX Global. We would rather you report anonymously (where permitted by local laws) than keep the information to yourself.

Why should I report what I know? What's in it for me?

We all have the right to work in a positive environment. With that right comes the responsibility of acting in an ethical manner and letting the appropriate people know if someone is not acting appropriately. By working together, we maintain a healthy and productive environment. Corporate misconduct can threaten the livelihood of an entire company.

Does management really want me to report?

We certainly do. In fact, we need you to report. You know what is going on in our company - both good and bad. You may have initial knowledge of an activity that may be cause for concern. Your reporting can minimize the potential negative impact on the company and our people. Also, offering positive input may help identify issues that can improve corporate culture and performance.

When should I use the Hotline?

You should raise a question whenever you think something is not right. For example, say something when:

- You believe there may be ethical or legal issues that conflict with our values.

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- You believe there are business, operational, financial or other issues of which management is unaware.
 - If you believe that ethics and compliance issues are not being resolved, either through the existing managerial chain of command or other reporting options.
 - If you'd like confidential assistance on ethics and compliance issues.
 - If you wish to remain anonymous when filing a report.
 - If you don't feel comfortable reporting through normal channels.

Who answers the phone?

The phone lines are answered in a call center by a third party vendor that CNA has contracted with. The call center operators have been trained specifically to handle these types of calls and concerns.

Can I get real time advice if I have a question?

The Hotline is not designed for real time advice. If you make a report, a representative from Corporate Investigations, Corporate Compliance, or Employee Relations will respond to your inquiry as quickly as possible. If you are an employee looking for real time advice, we suggest you ask a manager or contact HRConnect.

What happens after I make my call or submit my report?

The details of your report are sent to Corporate Compliance and an extended team responsible for review. This extended team may include representatives from Employee Relations, Corporate Investigations and others depending on the nature of your report.

What about retaliation?

CNA is committed to protecting everyone who makes a report or participates in an investigation in good faith. Retaliation, harassment, and reprisals of any kind are not tolerated at CNA.

Will I find out the results of my report?

It may not always be possible to share the results of a report due to confidentiality requirements but the team responsible for reviewing your concern will make every effort to let you know that your concern has been resolved.

Security & Confidentiality

Does the call center use caller ID? Can my call or report be traced?

No. No identifying information is collected about the calls or reports received by the call center. Calls and internet reports cannot be tracked or traced in any way.

Can I remain anonymous?

You may choose to remain anonymous (except where the law provides otherwise).

Is my call or report really confidential?

Your identity will be treated in the strictest confidence and will be used only to assist CNA in investigating your concerns quickly and efficiently.

What if I want to be identified with my report?

There is a section in the report where you may identify yourself, if you wish.

EU Member State Reporting

The below questions and answers apply to persons residing in an EU member state, and who may report suspected violations or concerns through the CNA Compliance Hotline pursuant to local laws.

Who can use the CNA Compliance Hotline?

The Hotline is open to persons who wish to inform the company of matters in applicable categories as described for employees in the [CNA Hardy Whistleblowing Policy](#). It is a way of reporting genuine concerns which would not be adequately dealt with by other existing reporting channels such as direct management.

Can I report anonymously?

We encourage employees to provide as much information as possible to the Hotline because:

- It is harder to investigate the concern if we cannot ask follow-up questions.
- The employees who are entitled to have access to reports made through the CNA Compliance Hotline are subjected to a reinforced duty of confidentiality and will take all the necessary steps to protect any individual who makes a report through the Hotline in good faith.
- In some countries, local laws and/or regulations are more restrictive and do not allow anonymous reporting. When submitting a report, local laws will be taken into account.

How will a report made through the CNA Compliance Hotline be dealt with?

If a report falls outside the scope of the CNA Compliance Hotline pursuant to local laws, it may promptly be deleted or archived. The person who made the report will be informed of this and, if appropriate, advised to report the issue through another appropriate channel.

If a report falls within the scope of the Hotline, the matters raised in the report will be investigated. Findings and any necessary supporting information will be timely provided upon completion of the investigation to the appropriate individuals within CNA. At the end of the investigation *either*:

- CNA will decide to initiate a disciplinary or legal procedure, in which case the report and related information will be kept until the completion of that procedure and in accordance with CNA's records retention schedule;
- or*
- CNA will decide not to take any further action in relation to the report, in which case the report and related information may promptly be destroyed or archived in accordance with CNA's records retention schedule.

How and when will a person identified in a report to the CNA Compliance Hotline be informed?

If a report falls outside the scope of the CNA Compliance Hotline and is promptly deleted, there is no need to inform any person identified in the report that he or she has been reported.

If a report is received, any person identified in the report may be informed so that they can exercise their rights of access and rectification of information relating to them in the report and the related information. The identity of the person making the report will always remain inaccessible through the exercise of the right of access, although it may be accessible in the framework of legal proceedings.

If and when a decision is taken to initiate disciplinary action or legal proceedings on the basis of a report, the documents on the basis of which this decision is taken may become accessible to the person against whom that action or those proceedings are taken, once the decision has been made. There may, however, be a delay in any response to a request for access to those documents to the extent strictly necessary to protect evidence collected for the purposes of the action or proceedings.