

# CONFIDENTIAL REPORTING POLICY AND COMPLAINT PROCEDURES

#### **Contents**

| Purpose                        | 1 |
|--------------------------------|---|
| Reporting a Concern            | 1 |
| Assessment and Follow-Up       | 2 |
| Investigations and Remediation | 2 |
| Non-Retaliation                | 3 |
| Disciplinary Actions           | 3 |

#### <u>Purpose</u>

MaxLinear, Inc. ("MaxLinear" or, the "Company") is committed to conducting business fairly and honesty and to maintaining the highest standards of financial integrity. The Audit Committee of the Board of Directors of MaxLinear has adopted this policy for the submission of complaints or concerns regarding the Company's accounting, internal controls, disclosure controls, procedures, auditing matters, or violations of the *MaxLinear Code of Ethics and Business Conduct* and supporting policies.

MaxLinear strives to foster open communication and encourages employees to voice any concerns they may have about known or suspected misconduct or wrongdoing without fear of retaliation or reprisal. This applies to all MaxLinear employees worldwide, including part-time, temporary, and contract employees.

# Reporting a Concern

This Confidential Reporting Policy and Complaints Procedure has been established to ensure that concerns about conduct within the Company can be reported and resolved without fear of retaliation or reprisal. In most instances, areas of concern are best addressed in the first instance with a supervisor or a member of the management team. Other general, employment-related concerns should also be reported to a supervisor or a Human Resources representative. Concerns can also be raised directly to the MaxLinear Legal Department (<a href="legaldepartment@maxlinear.com">legaldepartment@maxlinear.com</a>) or to MaxLinear's Chief Compliance Officer (<a href="compliance@maxlinear.com">compliance@maxlinear.com</a>).

MaxLinear also maintains other channels for reporting concerns. Specifically, the Company maintains a confidential process for reporting concerns related to the Company's accounting, internal controls, disclosure controls, procedures, auditing matters, or violations of the *MaxLinear Code of Ethics and Business Conduct* and supporting policies.

The Company's confidential hotline and messaging system is managed by an independent third party provider of corporate compliance services. Reports can be made online at http://maxlinear.ethicspoint.com/ or by phone (toll-free in the United States at {+1-844-539-2186}; local phone numbers for other countries available on the website).

#### Assessment and Follow-Up

All matters reported through the confidential hotline will be considered by the MaxLinear Chief Compliance Officer, who shall conduct an initial assessment to determine whether an investigation or some other follow-up action is required. Except as described below, the Audit Committee has directed that the General Counsel oversee and direct any investigation or other follow-up and involve other individuals and departments as appropriate. The Chief Compliance Officer than will periodically report to the Audit Committee on such matters as appropriate and as requested.

The MaxLinear Global Compliance and Risk Committee, which also has responsibility for overseeing and supervising the Company's Global Ethics and Compliance Program, will report immediately to the Audit Committee any reported matters deemed significant (e.g., allegations of fraud or allegations made against senior executives). The Audit Committee shall direct and oversee investigation of such complaints, as appropriate.

All investigations will be carried out confidentially in a sensitive manner and reports will only be shared with those who have a "need to know" – meaning those persons required to determine the suitable course of action, including any investigation. Note that MaxLinear may, in some instances, share reports or information with third parties including the Company's external auditors, outside legal counsel, government officials, or law enforcement, as appropriate.

Employees who report concerns will be informed of the outcome of the initial assessment and follow-up as appropriate and similarly, the Company will endeavor to keep the individual informed of the investigation's progress and expected timeline for completion. However, the need for confidentiality and applicable laws may limit the specific details of an investigation that can be shared, including factual findings and any disciplinary action or remediation undertaken as a result of the investigation.

# **Investigations and Remediation**

The specific facts and circumstances of each report to the hotline will determine the specific investigative steps or follow-up needed, all investigations will be conducted fairly by an investigator independent of the subject of the complaint. Investigations will be carried out as quickly and efficiently a manner as circumstances allow, but the goals are always the same: to determine whether there is enough evidence to substantiate the matter reported and to assess the Company's legal rights and liabilities that may arise from the report.

MaxLinear expects that all employees will cooperate with investigators fully and in good faith, including by meeting with the investigator and providing any information the investigator requests. Failure to cooperate with an investigation, or providing false or misleading information to investigators, may subject employees to discipline, up to and including termination.

#### **CONFIDENTIAL REPORTING POLICY**

If an investigation reveals, identifies, or substantiates alleged misconduct, MaxLinear will respond as appropriate. Remediation may include revisions to policies and procedures but can also include discipline up to and including termination.

#### Non-Retaliation

MaxLinear does not tolerate retaliation or harassment of anyone who in good faith makes a complaint or reports a potential violation of this *Policy*, the *MaxLinear Code of Ethics and Business Conduct*, or other illegal, unethical, or inappropriate conduct has occurred.

### **Disciplinary Actions**

Subject to applicable laws, MaxLinear reserves the right to take whatever disciplinary actions or other measures it determines in its sole discretion to be appropriate for a given situation, up to and including termination of employment for a MaxLinear Employee or termination of business relations in the case of a MaxLinear Third Party. Where appropriate, MaxLinear may refer the matter to relevant authorities.