



SPEAK UP QUICK REFERENCE GUIDE

Effective December 1, 2022

The Speak Up line is a channel designed to allow employees and other external stakeholders to communicate to the HQ levels of the Carrier Global Ethics & Compliance organization.

A. BASIC INFORMATION ABOUT SPEAK UP PROGRAM

- The Speak Up program is a platform to connect you and to interact with senior levels of Carrier Global Ethics & Compliance (GEC) and is an alternate communications channel and works in addition to the traditional connects such as supervisors, Human Resources, I&D Champion and local Ethics & Compliance.
- The channel relays your concern to the right internal level of the company where it is investigated with care.
- The channel is designed for violations or suspected violations of our Code of Ethics, Internal Policies and the Law.
- Concerns which are not violations or suspected violations, are encouraged to be directed to the appropriate local management levels and HR.
- The Program does not process any concerns wherever it is restricted by Law. It also does not process concerns related to any Collective Bargaining Agreement (CBA).
- You can choose to remain anonymous, although certain countries do not allow anonymous reporting related to specified issues.
- Responses in the channel (both routes) are primarily from the Ethics & Compliance Organization.
- The Program does not provide any counseling or advice to a reporting party.
- The Program includes two basic routes –A centralized web page works



through written inquiries and written replies posted entirely on the same web page. A centralized telephone line is provided where persons can connect to a communication specialist (translators are available in limited Countries)

B. HOW DOES THE PROGRAM WORK?

- The information either through the webpage or the telephone is accessed by GEC and evaluated for the right investigative steps. In case the matter concerns a violation or a potential violation of the Code of Ethics, Carrier Internal Policies or the Law, an investigation into the matter will be led by ECO's.
- In case the above information does not relate to a violation or potential violation of the Code of Ethics, Carrier Internal Policies or the Law, the concern may be relayed to a suitable human resource or other professional or returned to the reporter.
- Both the webpage and telephone line allow anonymous reporting. A reporter is provided a reference and a password to re-access the respective site content either for an update by the company or to provide new information related to the earlier reported matter.
- In some countries anonymous reporting is not allowed for all issues. For example: Under French law anonymous reporting is only allowed for (a) accounting, financial, banking and auditing matters; (b) bribery and corruption matters; (c) anti-competitive matters; (d) harassment and discrimination; (e) health, hygiene and security in the workplace; (f) protection of the environment; and (g) internal processes and controls related to (a), (b), (c), (d), (e) and (f) above. Any other anonymous reporting is not permitted by law.
- Although reasonable attempts are made not to disclose the identity of a reporter within Carrier, there may be specific situations where the identity (if made at the time of reporting) may be shared internally.
- Per the Carrier Code of Ethics, no retaliation against any reported is permitted for any issue raised in good faith.
- When an update is available from the company, it will be logged and the update can be assessed by the reporter using the reference and password.



C. FREQUENTLY ASKED QUESTIONS

Q. Will I be able to communicate in my local language?

A. The telephone line is available in English and in limited Countries where translators are available. If a telephone line/translator is not available in your Country please log an issue via the online option (in local language if you prefer)

Q. How much time does it take to receive an update?

A. The time taken is dependent on upon the complexity of the issue and the investigation time. You should have regular brief updates from the company. Keeping your reference number and password available so you can authenticate your relation to the case, access the hotline or website as originally reported and receive an update.

Q. How secure is the Program?

A. Both the telephone line and the website are secure and encrypted. They are managed by professional third-party specialists to ensure that access and data records are secure