



## Group Framework Policies

ASTON MARTIN LAGONDA GLOBAL HOLDINGS PLC

# CONFIDENTIAL REPORTING POLICY

POLICY TITLE:	CONFIDENTIAL REPORTING POLICY
EFFECTIVE DATE:	22 July 2024
LAST REVIEWED:	July 2024
POLICY OWNER	Head of Compliance
EC POLICY SPONSOR	General Counsel

### 1. INTRODUCTION

Aston Martin Lagonda Global Holdings plc together with its affiliates and subsidiaries (“**the Company**”) is committed to conducting business with honesty and integrity. The Company expects all employees – and anyone carrying out work on behalf of the Company – to not only comply with the law but also to maintain the highest standards of ethical business conduct and personal behaviour at all times. However, all organisations face the risk of things going wrong from time to time.

The aim of this Confidential Reporting Policy (“**Policy**”) is to help employees and others who work for or with the Company to raise concerns about suspected wrongdoing, misconduct, and improper or unethical behaviour, without fear of suffering detriment or retaliation. Indeed, we encourage everyone working for the Company to report concerns about behaviour, acts or failings which could cause harm to the company, its people or third parties. Speaking up – sometimes referred to as whistleblowing – is viewed by the Company as a positive act that can make a valuable contribution to the performance and long-term success of the Company.

Staff are encouraged to report concerns in a timely manner to their line manager or a senior manager. However, this Policy provides for more formal mechanisms to report concerns about potential improper conduct - in particular the third party SpeakUp (confidential reporting) service - for more serious matters, where previously reported issues have not been addressed or where individuals do not feel able to speak to anyone else.

The reporting mechanisms described in this Policy should not be used where there is an immediate

danger to life or property. Security or the relevant external body (such as the fire service) should be contacted in such cases.

## 2. PURPOSE AND SCOPE

The purpose of this Policy is:

- (a) To encourage Staff to report suspected improper conduct as soon as possible, in the knowledge that their concerns will be taken seriously and investigated as appropriate, and that their confidentiality will be respected.
- (b) To provide Staff with guidance as to how to raise such concerns.
- (c) To reassure Staff that they are be able to raise genuine concerns without fear of reprisals, even if they turn out to be mistaken or the concerns cannot be substantiated.

This policy does not form part of any contract of employment or other contract to provide services, and it may be amended by the Company from time to time.

## 3. WHO NEEDS TO COMPLY WITH THIS POLICY?

This Policy applies to all officers and employees of the Company (whether permanent or fixed term) based in any country and extends to consultants, contractors, agency staff, casual workers , agents or any other person working for the Company, or any of its subsidiaries, wherever located ("Staff").

## 4. GENERAL PRINCIPLES

This Policy relates to the formal disclosure by Staff of suspected wrongdoing, misconduct, and improper or unethical behaviour within, by or against the Company (shortened to "**Improper Conduct**" in this Policy).

Improper Conduct is a broad concept but would include, for example:

- (a) criminal activity, such as theft;
- (b) failure to comply with any legal or professional obligation or regulatory requirements;
- (c) actions or failings causing danger to health and safety, or damage to the environment;
- (d) unauthorised disclosure of confidential information, or unauthorised use or misuse of the Company's Intellectual Property Rights or other assets;
- (e) bribery, fraud or other forms of corruption;
- (f) facilitating tax evasion;
- (g) other breaches of the Company's Framework Policies;
- (h) other unethical conduct including non-compliance with the Company's Code of Conduct;

- (i) other conduct likely to damage the Company's reputation or cause harm to the Company;
- (j) the deliberate concealment of any of the above matters.

Staff who have genuine concerns related to suspected Improper Conduct affecting any of our activities are asked to report their concerns.

Concerns about Improper Conduct raised formally in accordance with any of the mechanisms set out here will be treated in accordance with the principles set out in this Policy. The Company will take all reports seriously and will endeavour to deal with all concerns fairly and appropriately. Investigations will be conducted in compliance with applicable laws (including data privacy laws) and respecting the rights of any person against whom an allegation has been made as well as the rights of the individual making the report.

The formal reporting mechanisms in this Policy should not ordinarily be used for complaints relating to an individual's own personal circumstances, such as the way they have been treated at work. In such cases the Grievance Procedure should be used, as the issues can be better dealt with through that process. If a matter relates to an individual's own personal circumstances but also raises wider concerns (for example, a breach of internal policies), then the Confidential Reporting approach may be appropriate. The Company reserves the right to refer complaints received as a Confidential Report to the Grievance Procedure, or other existing mechanism, if more appropriate.

Reports may be made under this Policy relating to the actions of a third party, such as a customer, supplier, dealer, licensee, agent or partner in so far as the concern relates to their activities with or for the Company, or where their actions may harm the reputation of the Company.

Under the law in most countries, individuals will be protected against detrimental treatment and retaliation where the principal reason for such treatment is that they blew the whistle on certain matters in the public interest – a 'protected disclosure'. Detrimental treatment includes dismissal, victimisation, disciplinary action, threats or other unfavourable treatment connected with making such a disclosure. The nature of the matters considered 'in the public interest' and the protection offered differs depending on the law of the country in which the individual is based.

Furthermore, even where the applicable law does not treat the matter reported as a 'protected disclosure', the Company will not impose, authorise or permit detrimental treatment or retaliation against Staff where the principal reason for such treatment is that they reported their concerns about potential Improper Conduct in or against the Company by another person or entity in accordance with this Policy. The broader protection outlined in this section 3.8 will not apply if a Staff member deliberately makes a false or malicious report or otherwise acts in bad faith in relation to the report or the matter being reported.

Anyone in the Company who applies detrimental treatment, retaliates or threatens to retaliate or apply detrimental treatment against a Staff member raising their genuine concerns in accordance with this Policy will be subject to investigation and potential disciplinary action by the Company.

If a Staff member who has reported potential Improper Conduct in accordance with this Policy believes that they have suffered any such treatment as a result of their reporting the Improper Conduct, they should inform the General Counsel or the Chief People Officer as soon as possible.

## 5. PROCEDURE

### Raising a concern

Where a Staff member has concerns about potential Improper Conduct and does not feel able to raise their concern with their line manager or another senior manager, or the matter is more serious, or the individual feels that a manager has not addressed their concerns, the following formal mechanisms are in place for Staff to make reports:

- (a) The confidential reporting system – SpeakUp – which enables Staff to report concerns confidentially (or even anonymously) to an independent third party via a web-based portal, mobile application or a telephone hotline. Details of how to use the SpeakUp service are set out in Appendix 1.
- (b) By email, in writing or verbally formally to the General Counsel, the Director Internal Audit & Risk Management, or the Head of Compliance.
- (c) When the issue concerns a Company director or executive or any of the persons listed in (b) above and Staff do not feel comfortable using other mechanisms, they may raise their concern by email or in writing formally to the Chair of the Company's Audit Committee.

Contact details are set out in the Appendix 1.

These reporting mechanisms must not be used to make malicious or knowingly false reports.

When making a report, Staff are asked to provide as much information as they can, such as: a description of the nature of the suspected Improper Conduct, those involved, why they believe there is Improper Conduct, and (where possible) any relevant history and background that they are aware of. It is very difficult, often impossible, to investigate vague allegations lacking any detail, so the more information that can be provided the better.

### Confidentiality and Anonymity

Concerns raised using any of the mechanisms set out under 4.1 above, will be treated as confidential during the course of and following the confidential reporting process and any investigation. Only those people who need to know the identity of the person making the report in order to properly investigate the concern will be informed, unless the individual agrees otherwise. Disclosure of the reporter may be necessary in exceptional circumstances where it is required by law or court order (in which case the Company will use reasonable endeavours to inform the individual) or where it is necessary to report a criminal offence. The Company will use all reasonable endeavours to conduct investigations in a manner which shields the identity of the person making the report. This can be difficult in some circumstances where it might be possible for others to guess, such as in a small team, or where the person making the report talks openly about it. If Staff have any concerns about this, they should discuss this with the person to whom they have made the report or the investigator.

Concerns may be reported anonymously using the SpeakUp confidential reporting system. Further information may be sought from the reporter through the SpeakUp system. Anonymous reports can sometimes be very difficult or even impossible to properly investigate. The Company will endeavour to investigate as best it is able to do with the information available. Staff who provide their contact details will be treated with respect and the matter handled confidentially and

as discretely as possible.

### **Investigation and Outcome**

A Confidential Reporting Procedure detailing how the Company manages confidential reporting and investigations is available on the intranet. The following paragraphs give a summary of the key steps.

Acknowledgement of a report will be made within seven days of receipt in to the SpeakUp system or by one of the recipients named in this Policy.

Reports made through the SpeakUp confidential reporting system are held on a third-party system, through which no tracing of origins of calls or IP addresses is possible. Only the Director Internal Audit & Risk Management and the Head of Compliance have access to the SpeakUp case management tool and receive notifications as and when concerns are reported. No one else in the Company can access this tool. The General Counsel and Chief People Officer will however be informed of a report, unless that is inappropriate in the circumstances.

The Director Internal Audit & Risk Management and his team will ordinarily conduct any investigation (after an initial assessment) but they may ask another function to do so, where appropriate. The General Counsel may nominate someone with specialist knowledge or experience to investigate, including an external party, if appropriate. Investigations will be conducted in compliance with the law, including respecting the rights of any person against whom an allegation has been made.

The reporter will only be contacted through the SpeakUp system, where they made a report through that channel, unless they have agreed that they can be contacted by other means. The reporter may be asked to provide further information.

The Company will aim to give the Staff member making the report feedback on the investigation within 30 working days of receipt of the report. The need for confidentiality may prevent specific details of the investigation, an outcome or any action taken as a result from being given. The reporter should treat any information about the investigation or the outcome as confidential.

Summaries of reports received under this Policy will be provided on a quarterly basis to the Executive Committee and the Audit and Risk Committee, with confidential information redacted so that the person make the report is not identifiable and (where possible) the identity of anyone accused of wrongdoing.

If the Company concludes that a Staff member has made malicious or knowingly false reports, he / she will be subject to potential disciplinary action.

## **External disclosures**

The aim of this Policy is to provide an internal mechanism for reporting, investigating and remedying any Improper Conduct in the workplace. In most cases Staff should not find it necessary to alert anyone externally.

The law recognises that in some circumstances it may be appropriate for individuals to report concerns to an external body such as a regulator. It will very rarely if ever be appropriate to alert the media. Staff are strongly encouraged to seek advice before reporting a concern to anyone outside the Company.

## **6. RESPONSIBILITIES**

The Audit and Risk Committee has overall responsibility for reviewing the effective operation of this Policy, and for reviewing the effectiveness of actions taken in response to concerns raised under this Policy.

The General Counsel has overall responsibility for the effective operation of this Policy, and for the effectiveness of actions taken in response to concerns raised under this Policy.

The Head of Compliance has day-to-day operational responsibility for this Policy and any questions about this Policy should be referred to them in the first instance. The Head of Compliance must ensure that regular and appropriate training is provided to managers and other Staff who may deal with concerns or investigations under this Policy.

The Director Internal Audit & Risk Management has operational responsibility for conducting investigations under this Policy, except where it is determined by them or the General Counsel or by the Chair of the Audit and Risk Committee that the investigation should be conducted by another person or party.

Line managers and senior managers are responsible for supporting and promoting speaking up in the organisation and compliance with this Policy.

All Staff are responsible for the success of this Policy and should ensure that they are aware of the channels available to report their concerns about Improper Conduct.

## **7. REVIEW**

This Policy may be amended from time to time. The Policy Owner, with the approval of the Policy Sponsor, may make minor changes to the Policy. Appendix 1 may be amended and updated from time to time by the Policy Owner. All material changes require the approval of the Company's Audit and Risk Committee.

**Approved by the Audit & Risk Committee on behalf of the Board on 22nd July 2024**