

**REGULATION ON RECEIVING AND CONSIDERING
REPORTS ABOUT VIOLATIONS RECEIVED BY REPORTING CHANNELS
OF UZAVTOSANOAT JSC**

**Chapter 1.
General Provisions**

1. The goals of this Regulation are as follows:
 - to increase the effectiveness of measures aimed at combating corruption, identifying conflicts of interest and taking appropriate measures at Uzavtosanoat JSC (hereinafter referred to as the Company);
 - to make a clear statement about the need to promptly report misconduct or potential violations involving the Company, entities under its control, or employees with regard to the Code of Conduct (hereinafter referred to as the Code), Anti-bribery and anti-corruption policies and procedures, violations of applicable laws and regulations;
 - to provide information on appropriate reporting methods of potential violations or misconduct, concerns and issues;
 - to provide opportunity for the employees to report about concerns and issues without fear of reprisal.
2. This Regulation is aimed at:
 - determining basic principles of working with reports of corrupt behavior through reporting channels as well as the procedure for receiving reports/messages, registering and reviewing/considering them, as well as submitting a report to the Chairman of the Board (Director of the Company);
 - supporting all employees, business partners or third parties in confidential applying and reporting about potential problems such as involvement in illegal, immoral, unlawful or improper conduct;
 - develop specific criteria for providing or working with such messages/reports;
 - provide assurance that such disclosures will be treated seriously and confidentially, so that the reporter will not be at risk of any retaliation;
 - help promote and develop a compliance culture of openness, honesty and integrity.
3. The Regulation applies to the Company, employees, business partners / counterparties and subsidiary entities.
4. Employees, officers and directors of enterprises in which the Company does not have a share are also expected to comply with this Regulation or similar standards.
5. The Regulation complements other reporting mechanisms, including the procedure for applying by individuals and legal entities in accordance with the legislation of the Republic of Uzbekistan, but does not replace them.
6. The Regulation and other applicable policies and procedures sets a minimum standard to be followed. If higher requirements are set by local laws, regulations or by-laws, then the Company will comply with more stringent requirements. If the subsidiary entity wants to adopt lighter requirements than those specified in this Regulation, it must obtain written approval from the Compliance Department.
7. The Regulation does not apply to general customer complaints (eg, quality of service, pricing) that are not related to potential violations of the Code and other compliance policies and procedures, and does not apply to employee complaints related to employment relationships (bonuses, performance appraisals, management decisions, etc.).
8. For the purposes of this Regulation, the following basic concepts are used:

Hotline – a system that allows the Company to centrally receive, classify and systematize appeals received by telephone, as well as monitor their timely and quality consideration;

Applicant (reporter/whistleblower) – any individual and (or) legal entity, employee who reported to provide information about corrupt behavior in the Society through reporting channels;

Conflict of interest – a situation in which the personal interest (direct or indirect) of a justice employee affects or can affect the proper performance of his duties and in which a conflict arises or may arise between the personal interest of employee and the interests of the justice authorities;

Corruption – illegal use by a person of his official or official position in order to obtain tangible or intangible benefits in personal interests or in the interests of other persons, as well as the illegal provision of such benefits;

Corruption actions – direct or indirect, personally or through third parties, receiving, demanding, soliciting, offering, promising and giving a bribe, that is, money, securities, other property, property services, other property rights for an employee's action or inaction in the interests of the bribe giver, mediation in giving and / or receiving a bribe, receiving payments to simplify formalities, illegal use by a person of his official position for the purpose of receiving a bribe and for other illegal purposes;

Corruption offense – an act having signs of corruption, for the commission of which the legislation of the Republic of Uzbekistan provides for liability;

Anti-corruption system – a set of measures to prevent corruption offenses, violations of the legislation of the Republic of Uzbekistan in the field of anti-corruption and internal documents of the Company on anti-corruption, a high level of professional and ethical conduct of activities by the Company employees;

Corruption risk – the risk of corruption by the Company's employees or third parties on behalf of the Company or in their interests;

Relevant message - a message containing information about corrupt actions, violations and (or) conflicts of interest in the company;

Employee – a natural person who entered into labor relations with the Company (Chairman of the Company's management and his deputies, heads of structural units and other workers)

Employee's personal interest – the opportunity to receive personal benefits in the form of money, tangible or intangible values, other property, wealth and privileges by the employee within the scope of the performance of his official duties from his close relatives or persons related to the employee, which may affect the employee's proper performance of his position or service obligations (personal, social, property, financial, political and other interests);

Subsidiary (controlled entity) – dependent and (or) subsidiary company, joint venture and other organization in which the Company has, directly or indirectly, fifty or more percent of shares (shares) in the authorized capital;

Business partner / counterparty – any legal entity or individual entering into contractual relations with the Company (other than labor relations) (a business owner may be a counterparty, supplier, distributor, dealer or other third party authorized to act on behalf of the Company and in its interests);

Third party – a natural or legal person who has received an offer to conclude a contract from the Company or its subsidiary, or who has proposed to establish business or other relations with the Company or its subsidiary.

9. The Company organizes the work of reporting channels intended to provide information about corrupt activities based on the following principles:

Confidentiality and security – all authorized persons at the Company, who are allowed to work with the reports received through reporting channels, do not have the right to disclose these messages to unauthorized persons. If the applicant/reporter disclosed his message to other employees

or third parties at his own will, including as a result of carelessness, the Company shall not be responsible for its disclosure. The Company keeps confidentiality of allegations of misconduct or misconduct and handles them in accordance with applicable laws and regulations. Regardless of the chosen method of communication, if a request for confidentiality is received, the Company will maintain confidentiality to the extent permitted by national law;

Legality – reception, registration, processing and review of messages received through reporting channels is carried out strictly in accordance with the requirements of the legislation of the Republic of Uzbekistan and this Regulation;

Violation – violation of applicable laws and regulations, misconduct or potential misconduct or criminal activity connected with the Company, its subsidiary entities or employees;

Non-prosecution of the applicant/whistleblower – a natural and legal person, in particular, an employee of the Company, who voluntarily reports on corrupt activities through communication channels, shall not be held liable regardless of the content of the report. The Company workers should not be inconvenienced by reporting concerns and potential misconduct. The Company will not tolerate retaliation, harassment, or subsequent discrimination against anyone who raises concerns and reports potential misconduct in good faith. Employees who engage in any hostile behavior, harass or attempt to harass those who use reporting channels in good faith will be subject to disciplinary action up to and including termination of employment;

Mandatory feedback to the applicant/whistleblower – if the message/report is not anonymous, the results of its review should be communicated by the Company to the applicant/whistleblower;

Mandatory application of measures of influence – in the case of confirmation of the fact of corruption, the Company will act in accordance with the legislation of the Republic of Uzbekistan to bring the guilty persons to justice;

Serious attention to appeals – the Company takes seriously all reports of potential violations of the Regulation or misconduct and undertakes to investigate and investigate all credible allegations. All persons who receive the message in the manner provided for in this Regulation consider the information in it as confidential and must treat the whistleblower with respect;

Communicating messages in good faith – ensuring transparency and openness and encouraging reporting channels are essential. In addition, message/report must be provided honestly and in good faith, and based on awareness. It is against the Code and a violation of this Regulation to intentionally send a false message or to report a problem or concern with malicious intent.

Chapter 2.

Reporting Channels for Reporting Corruption-Related Actions or Violations

10. Reports of concerns and information including allegations of violations or misconduct (that may arise under this Regulation) may be provided through several reporting channels at the discretion of the reporting person. As mentioned below, some of these channels provide privacy/confidentiality.

11. The relevant message/report can be sent through the following reporting channels:
virtual reception of the President of the Republic of Uzbekistan (<https://pm.gov.uz/>)

Direct reporting: employees may report directly to their supervisor/line manager, local Compliance Department representatives, Legal Department or HR Department.

Online reporting: through the official website of the Company or by e-mail;

Through the official channels and pages of the Company on social networks (the official page on Facebook (<https://www.facebook.com/UzAuto>));

Through the telephone numbers of the Company (through the reporting and other business telephone numbers);

Telegram bot @UzAutoSanoat_compliance_bot

verbally (in person);

through law enforcement agencies;
other reporting channels not specified in this Regulation.

12. The Company posts information about reporting channels on its official website and social network pages and channels. In addition, included electronic distributions and training materials sent periodically to employees, thematic posters placed in the Company building, etc.

Chapter 3. Receiving Reports Through Reporting Channels

13. The Department for Compliance, Monitoring of Production and Financial Risks (hereinafter referred to as the Compliance Department) is responsible for considering the messages/reports received from the Company's reporting channels.

14. The reply message/report (or feedback) should include the followings:

- the name, position and/or the department (where he/she works) of the person involved in the violation specified in the message/report;
- the date of the violation (month, year and date, if known);
- has anyone in the Company or its subsidiary previously raised concerns about this issue, and if so, what steps have been taken since then;
- whether the whistleblower wants to keep the information source confidential;
- Contact information of the whistleblower (so that the whistleblowers can be informed of the results of the application in the prescribed manner).

15. The relevant messages received from the following reporting channels shall be registered in accordance with the requirements "Model regulation on the procedure for working with appeals of individuals and legal entities in state bodies, state institutions and societies with state participation" (approved by the Resolution No. 341 of the Cabinet of Ministers dated May 7, 2018) and "Regulation on the procedure for handling appeals of individuals and legal entities" of the Company and submitted to the Director of the Company:

virtual reception of the President of the Republic of Uzbekistan (<https://pm.gov.uz/>)

official website of the Company or by e-mail;

telephone numbers of the Company (through the contact numbers and other business telephone numbers);

verbally (in person);

law enforcement agencies;

16. A Compliance Officer will be appointed responsible to receive messages from official channels and pages on social networks and through the Telegram bot.

When the relevant message is received, the responsible Compliance Officer contacts the applicant (by e-mail or by phone) and clarifies the necessary information, registers the message in the Register and submits the information to the Director of the Company.

The Compliance Officer considers incoming messages from Monday to Friday from 09:00 to 18:00. If the message is received outside of working hours, the message will be saved for clarification on the next working day.

17. If the applicant/reporter has additional materials to confirm his message, such as photographs, documents, audio and video recordings, the responsible Compliance Officer communicates the communication channels (telegram bot or e-mail) used for their submission and indicates/notes the confidentiality of the information provided (except for information and materials that are subject to disclosure or restriction of use by law). Additional information is documented as an attachment to the relevant message.

18. The Director of the Company tasks the Compliance Department to quickly analyze and consider the relevant message.

19. Within 1 (one) hour after receiving the relevant message, the Compliance Department must register it in the register messages about corruption activities in the Society (hereinafter referred to as

the Register) in accordance with the attached form and consider it in accordance with Chapter 4 of this Regulation.

20. The Company provides applicants with the opportunity to report/send anonymous messages about corrupt practices committed by an employee.

In case of receiving an anonymous message, the responsible employee of the Company should, if possible, do the following:

inform that they may not be able to contact the applicant to respond to the received message;

inform that they cannot fully and comprehensively study the message in the absence of the opportunity to obtain additional necessary information;

offer the applicant to provide an anonymous communication channel to contact him (anonymized e-mail address, secret chat in Telegram, etc.);

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If the applicant does not withdraw his application, he must report in accordance with the procedure provided for in this Regulation.

It is prohibited to report about the commission of a crime anonymously, according to the legislation of the Republic of Uzbekistan.

21. In the process of considering the received reports, the reasons and conditions for committing corruption offenses will be analyzed, and measures will be taken to prevent them and improve the anti-corruption system in the future.

22. All relevant materials, documents and information regarding the received messages (including decisions made and responses sent to applicants) must be kept in the Administration and document execution control department for the period established by the legislation of the Republic of Uzbekistan, including for a period of not less than 10 years.

23. In case the relevant message is received by the subsidiaries (system enterprises) of the Company, the responsible employees who received it will immediately notify the Head of the enterprise and the anti-corruption officer (if any) about the received message in writing. They forward this message to the Compliance Department of the Company.

The Compliance Department will consider the message received in accordance with the procedure described in Chapter 4 of this Regulation.

24. The subsidiaries (system enterprises) of the Company maintain their Registers.

Chapter 4.

Considering Reports of Corruption-Related Conducts/Practices

25. All relevant messages received by the Compliance Department will be considered by the responsible employees of this department or other departments based on the assignment of the Chairman of the Board.

26. To the process of considering reports of corruption, it is prohibited to engage employees whose misconduct actions have been reported or may have a conflict of interest during the consideration process.

27. Upon receipt of a relevant message, the Compliance Department conducts a preliminary investigation and analyzes its relevance, that is, checks the relevance of the information provided in the message to the corruption offense and (or) conflict of interest related to the activities of the Company.

The preliminary inspection is carried out within 5 (five) working days from the date of receipt of the relevant message to the Compliance Department.

Information about the commission of a crime will be investigated immediately and management and relevant law enforcement agencies will be notified.

28. Regardless of the results of the preliminary inspection provided for in Clause 27 of this Regulation, information about this will be entered in the Register.

29. If the Compliance Department officer concludes that the message is not relevant, this message must be sent to the relevant structure of the Company within one working day.

30. If the message contains information about corrupt actions and (or) conflict of interest and sufficient grounds for conducting a service inspection (official investigation), the Compliance Department initiates a service inspection in accordance with the procedure specified in the internal departmental document.

31. In cases where it is necessary (requesting additional materials or taking other measures), the terms of their consideration of conducting service inspection can be extended by one month by the Chairman of the Board (Director of the Society) as an exception. The applicant will be notified except for anonymous applications.

32. The response to the appeal is prepared by the Compliance Department and formalized with the signature of the Chairman of the Board (Director of the Society).

33. According to the results of the review of the relevant messages, a response letter is prepared, indicating the results of the study and the applied impact measures, and is sent to the applicant in the prescribed manner.

34. Answer to the relevant message received through social network channels and pages and telegram-bot, will be sent to the applicant in electronic form through social network channels and pages or Telegram-bot.

Chapter 5. Accountability

35. The register can be used by employees of the Compliance Department, employees of other relevant state bodies and companies involved in the consideration of messages (only related to such messages), and the Chairman of the Board (Director of the Society) or his deputy in charge of anti-corruption.

36. Based on the information from the register, the Compliance Department shall submit a report to the Chairman of the Board (Director of the Society) on a quarterly basis relating to the received reports of corrupt practices, which shall include:

- the number of relevant messages received and the number of relevant messages considered;
- the number of relevant reports of violations, corrupt actions, conflicts of interest;
- the number of relevant messages whose consideration deadlines have been violated;
- average time for processing relevant messages;
- communication channels most used by applicants and other statistical information.

Chapter 6. Final Provisions

37. Violation of the requirements of this Regulation shall cause liability in accordance with the established procedure.

38. This Regulation should be revised when the legislation of the Republic of Uzbekistan changes in the field of appeals and fight against corruption.

