



## **APAC Mizuho Whistleblowing Statement**

### **Our Commitment**

Mizuho is committed to maintaining the highest standards of integrity, ethics, and compliance. We encourage all external stakeholders, including clients, vendors, counterparties, and members of the public—to report any concerns on APAC Mizuho relating to suspected misconduct, unethical behavior, or breaches of applicable laws and regulations.

### **What Should Be Reported**

You are encouraged to report any concerns on APAC Mizuho relating to improper conduct, including but not limited to:

- Breaches of laws, regulations, or internal policies
- Fraud, bribery, or corruption
- Misuse of company assets
- Financial misconduct or irregularities
- Discrimination or harassment
- Any unethical or improper behavior

Concerns should be raised as early as possible, with sufficient detail to allow proper assessment and investigation.

You are not required to have complete evidence when making a report, but in order to assist us in reviewing or if required, conducting an investigation into your report, please provide as much information as possible, including the following information:

- a full description of the incident that you wish to report, such as:
  - when it occurred/the frequency.
  - where it occurred.
  - how it occurred.
  - who is involved.
  - how you were made aware
- any relevant documentary evidence which could assist us in the investigation.



## **Confidentiality and Anonymity**

All concerns raised will be treated with strict confidentiality. Information will only be shared where necessary for the purpose of investigation, taking appropriate action, or complying with legal or regulatory obligations. Any personal information provided as part of the reports will be handled with utmost sensitivity and safeguarded with necessary and appropriate security measures, in accordance with Mizuho's Privacy Policies.

While reports may be submitted anonymously, it is important to note that doing so may limit or hinder the effectiveness of any subsequent investigation, particularly where follow-up questions or clarification cannot be sought from the reporting individual.

## **How to Raise a Concern**

Concerns can be reported through the following channels:

<https://www.mizuhogroup.com/who-we-are/governance/compliance>

## **How Concerns Are Handled**

All reports are handled in a fair, independent, and timely manner:

- Receipt of the report will be acknowledged where contact details are provided;
- The concern will be reviewed and, where appropriate, investigated;
- Only individuals without conflicts of interest will be involved in the review or investigation process.

Depending on the nature and complexity of the concern, the review or investigation may take time, particularly where it involves multiple parties or complex issues.

## **Protection Against Retaliation**

Mizuho has a zero-tolerance policy for retaliation and is committed to ensuring that whistleblowers are protected from any form of retaliation or adverse consequences for making a report in good faith.



## **Regulatory Reporting**

As a regulated organization, Mizuho may be required to report certain matters to regulators in accordance with applicable laws and regulations.