

Charoen Pokphand Group

VIOLATIONS OF THE CODES OF CONDUCT AND ETHICS 2023



Number of Cases Received through Whistleblower Channel

	2020	2021	2022	2023			
	Completed	Completed	Completed	Number of Case	Under Investigation	Completed	
Complaint related to Codes of Conduct and Ethic (Case)						Substantiated Case	Non-substantiated Case
Fraud	-	-	1	2	-	2	-
Conflict of Interest	9	3	2	2	-	2	-
Non-compliance	6	4	7	5	-	5	-
Discrimination	3	2	-	3	-	3	-
Harassment	2	3	1	3	-	3	-
Corruption	5	1	1	1	-	1	-
Insider Trading	-	-	-	-	-	-	-
Anti-competitive Behavior	-	-	-	-	-	-	-
Complaint related to Information Security (Case)							
Violation of Customer Personal Data	-	-	-	-	-	-	-
Total (Case)	25	13	12	16	0	16	0

Remark: The number of complaints shown in the table are the numbers received through Charoen Pokphand Group’s website:
<https://grc.cpgroupsustainability.com/GRC/Whistleblower/WBForms/GlobalWB>



0 Case of significant violations of environmental regulations or laws*



0 Case of significant violation of social regulations or laws

*Violations of environmental regulations or laws with fines not exceeding USD 10,000

Detail of Complaint Cases

2023

	Completed	Detail of Complaint Cases	Management Measures			
	Substantiated Case		Verbal Warning	Written Warning	Suspension	Dismissal
Complaint related to Codes of Conduct and Ethic (Case)						
Fraud	2	<ul style="list-style-type: none">Stole company's assetStole customer's asset	-	-	1	1
Conflict of Interest	2	<ul style="list-style-type: none">Used the company's assets for personal businessProvided benefits by selling products below the market price	-	1	-	1
Non-compliance	5	<ul style="list-style-type: none">Rotated staff without proper documentationSecretly slept during work hoursNot following disciplinary penaltyDisplayed inappropriate behavior in using the company's assetsNot approved allowances according to regulations	5	-	-	-
Discrimination	3	<ul style="list-style-type: none">Logged work hour in non-transparency mannerTreated employees unequally	3	-	-	-
Harassment	3	<ul style="list-style-type: none">Committed indecent actsActed inappropriate physical behaviorUsed demeaning or hurtful language	2	-	-	1
Corruption	1	<ul style="list-style-type: none">Fraudulent reporting of work hours	-	1	-	-
Insider Trading	-	-	-	-	-	-
Anti-competitive Behavior	-	-	-	-	-	-
Total (Case)	16		10	2	1	3

Detail of Mitigation and Remediation

2023

	Completed	Detail of Complaint Cases	Mitigation and Remediation Actions			
	Substantiated Case		Arrange for an Official Apology	Communicate the Case Study within the Department	Communicate the Importance of Respecting Human Rights and Compliance with CoC	Others (Provide Discount on Group's Products)
Complaint related to Codes of Conduct and Ethic (Case)						
Fraud	2	<ul style="list-style-type: none">Stole company's assetStole customer's asset	-	-	✓	✓
Conflict of Interest	2	<ul style="list-style-type: none">Used the company's assets for personal businessProvided benefits by selling products below the market price	-	-	✓	✓
Non-compliance	5	<ul style="list-style-type: none">Rotated staff without proper documentationSecretly slept during work hoursNot following disciplinary penaltyDisplayed inappropriate behavior in using the company's assetsNot approved allowances according to regulations	-	-	✓	✓
Discrimination	3	<ul style="list-style-type: none">Logged work hour in non-transparency mannerTreated employees unequally	✓	-	✓	-
Harassment	3	<ul style="list-style-type: none">Committed indecent actsActed inappropriate physical behaviorUsed demeaning or hurtful language	✓	-	✓	-
Corruption	1	<ul style="list-style-type: none">Fraudulent reporting of work hours	-	-	✓	-
Insider Trading	-	-	-	-	-	-
Anti-competitive Behavior	-	-	-	-	-	-