



# ANTI-CORRUPTION AND BRIBERY

Policy number: 01-ITN/DGW  
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## Process Approval

Work Done	Person In Charge	Title	Signature	Date
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## DOCUMENT REVISION INFORMATION

### Amendment Details

Version	Effective Date	Expiry Date	Description	Author
V 1.0	01/06/2017		Establishing of the Stipulation on Anti-corruption and Bribery	Triệu Ngọc Minh

### 1. OBJECTIVES:

The Stipulation on Anti-corruption and Bribery is designed to ensure:

- All Digiworld ("Company") business operations are conducted with the utmost integrity, ethical and professional standard, protecting reputation of financial integrity of Digiworld.
- Every employee in the Company is fully aware of situations that may be able to influence the position of the employee when the employee representing the Company to receive gifts, presents and guest hospitality.
- Every Digiworld's employee must show integrity when conducting any transactions, as well as fully aware of the forms of bribes to prevent and avoid violations.

2. **SCOPE:** This Stipulation applied to all Digiworld's employee at any level.

### 3. DEFINITIONS:

- **Bribery:** is the act of **offering/promising/giving** directly/indirectly or **demanding/accepting to receive/receiving** any gifts or hospitality aims to influence the decision of the recipient to gain financial benefits, or other advantages, benefits which may affected to Digiworld's business activities.

- The following cases are not bribes:

- ⚡ In case of **receiving gifts:**

- Digiworld's employees are received gifts featured by holidays or special event, customer appreciation gifts, lucky money (with negligible value) on Tet holiday, reception, normally and appropriately receive gifts, in specifics:
      - + Value per gifts or 01 (one) reception/01 person does not exceed 5,000,000VND.
      - + Reception, gift giving must not be intended to influence a decision of recipient to obtain financial benefits or other advantages, benefits.
    - Digiworld's employees are provided with tools and resources to help them work more efficiently and quickly - for the only purpose of effective work.
    - Digiworld's employee collecting fees of third party (with full legal invoices and legal documents) to provide more convenient services to help solve works more efficiently and quickly.

- ⚡ In case of **giving, donating, offering:**

- Digiworld's employees have to pay additional fees (with full invoices, vouchers and approved by competent authorities) to work more efficiently and quickly.



- Digiworld's employees giving gifts in accordance with **Digiworld Provision on giving, donating, offering goods** but must ensure the purpose of giving, donating, offering under this Provision which has not unlawfully influence in any decision of the recipient to gain financial benefits or other advantages and benefits.
- **Corruption:** is behavior to gain personal interests of monetary, property or other benefits, as follows:
  - Embezzling property.
  - Taking a bribe.
  - Abuse a position or powers to appropriate property.
  - Abuse a position or powers during performance of a task.
  - Abuse a position or powers to influence another person for self-seeking purposes.
  - Committing forgeries in work.
  - Offering a bribe or bribe brokerage conducted by a person with a position and/ or powers to resolve affairs.
  - Abuse a position or powers to illegally use Company's property.
  - Conducting harassment.
  - Failing to perform tasks or official duties.
  - Taking advantage of a position or powers to cover up a law offender for self-seeking purpose; hindering or intervening illegally in examination, inspection, auditing, and investigation, prosecution, hearing or judgment execution for self-seeking purposes.
- **Digiworld related-parties:** could be any individuals or organizations, as follows:
  - Banks, Manufactures, Suppliers of goods and services for Digiworld.
  - Agents, customers or Digiworld selling points of products, goods, provide services or operate under the name of Digiworld.
  - Digiworld's recruitment candidates.
  - Digiworld employees, partners, external consultants, services outsourcing organizations and subsidiaries.
  - Digiworld's investors, partners (including staffs and individuals are representative working under authorized/appointed to these partners) in the process of negotiating a merger, joint venture, associating...
  - Local authorities that the decisions of these authorities may affect Digiworld's business operations. For example: The authorities responsible for handling, responding, approving legal issues, taxes for Digiworld, such as Taxation office, Ministry of Finance...
- **Positions at risk of bribery :**

Some positions have a high risk of bribery. Here are some situations that may result in a high risk of bribery:

  - Digiworld's employee has a right to approve contracts for suppliers of goods or services.
  - Digiworld's employee is holding position as inspector, controller, and supervisor in operating process and routine procedure of Digiworld.
  - Digiworld's employee is engaging in the process of mergers and acquisitions of other companies.
  - Digiworld's employee is interacting directly with customers.
  - Digiworld's employee is involving in the process of establishment of joint ventures and business associates.
  - Digiworld's employee is able to access to sensitive stock price information.
  - Digiworld's employee is able to approach funds.
  - Digiworld's employee is involving in working, negotiating processes with government officials or Government agencies.

#### 4. BASIC PROVISIONS:

- Digiworld is strictly prohibited behaviors from corrupting, giving or receiving a bribe for any purposes, by cash or in any form with **Digiworld related-parties**.

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- While working at Digiworld:
  - Digiworld's employees are prohibited to receive cash/ cash equivalents such as gift vouchers or very luxury reception exceed 5,000,000 VND from **Digiworld related-parties** for self-seeking purposes.
  - Digiworld's employees are prohibited to receive goods or services provided in contravention of normal commercial regulations from **Digiworld related-parties** (For example, the Contractor agrees to repair or re-upgrade the apartment of Digiworld employee with special preferential price or offers oversea tour for Digiworld employee in order to win bidder to get great deals from Digiworld)
  - Digiworld's employees are prohibited to receive travelling/ training/ communication events are not for the purpose of business from **Digiworld related-parties**;
  - Digiworld's employee is prohibited to offer a bribe for any individual or company that are **Digiworld related-parties** for purposes of obtaining or retaining a business transaction.
  - Digiworld's employee is prohibited to offer benefits and bribes related to contracts, bidding package and public auctions in order to affect **Digiworld related-parties**.
- In case Digiworld's employee received such gifts as goods, services, invitation letter to attend travelling/ training/ communication events, cash/ cash equivalents as gift vouchers exceed 5,000,000 VND in value from **Digiworld related-parties**, the employee **must declare** to Line Manager and Human Resource Manager, simultaneously **return** all of those received gifts to allocate in accordance with provision.
- In case Digiworld's employee received a very luxury reception with the value exceed 5,000,000 VND while doing transactions, carrying out particularly sensitive tasks that may result in **risk of bribe** the employee is invited have to report to Human Resource Manager and prove to his (her) Line Manager that the luxury receptions do not influence any decision of the recipient in the process of carrying out work to Line Manager for approval
- **Corruption behavior:**
  - *Employees directly engaged in corruption and others in collusion/ cover/ incitement if detected with sufficient evidence will be immediately fired and blacklisted in the personnel records and will not be recruited or transferred to other positions.*
  - *Employees indirectly make conditions or fail to fulfill responsibilities his (her) responsibility as lack of management, loose control or know but ignore or not to report corruption acts shall be subject to disciplinary according to discipline has been prescribed in Code of Conduct.*

#### 5. Provision on allocate gifts returned to the Company:

- **Gift allocation criteria:** Gifts is received by Digiworld's employee will be storage and manage by Administration Department. Gifts will be allocated according to criteria:
  - Justice
  - Encouragement, motivation
  - Right person, right job
- **Priority order in allocating:**
  - Priority No.1 (For the department received gifts) is for individuals (in the same department employees return gifts) who have high record of contributing to the department but have not been given gifts or received little gifts. (The subject is approved to allocate gifts including the employee returns the gift to Digiworld if this employee qualifies for the gift)
  - Priority No.2 is to give the gifts for Back Office Departments (Supporting Department): priority for outstanding employees who have good record of work.

#### 6. Approval processing:

- Digiworld's employee must declare and submit for approval from employee's Line Manager. Simultaneously declare to Human Resource Manager when facing with situations are listed in Article 4 – this Regulation.
- In case of the gift recipient is Head of Division, he (she) must declare to Human Resource and ask for approval from Board of Directors.

#### 7. Provision on legal obligations:



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- Legal department and other departments to must ensure that all economic contracts, Memorandum of Agreement with “**Digiworld related-parties**” have a clause “**Anti-corruption and bribery**”.
- In case of “**Digiworld related-parties**” are Digiworld’s employees, outside the individual term of Anti-corruption and bribery, in additional, the contract must contain compliance requirement with all Digiworld’s policies and regulations, includes the Anti-corruption and bribery regulation; non-compliance that may result in appropriate disciplinary action. Otherwise, Recruitment team must ensure that the recruitment and inspection process are comply with Anti-corruption and bribery regulation.
- The using department must review and make a list of economic contracts without the article of anti-corruption and bribery. Such checking, reviewing and list-down must be made Quarterly.
- Quarterly, Legal department must obtain a list of contracts without the article of anti-corruption and bribery from other departments to undertake a risk assessment of corruption and bribery that may occur when implementing these contracts for reporting to the Board of Directors for comments the level of risk and directions.
- The using department must update quarterly list of payments, paying for contracts without the article of Anti-corruption and bribery.

**8. Controlling the Anti-corruption and bribery:**

The Internal audit department will conduct a random inspection of gifts/ reception declaration based on the following provisions:

- Inspect the origin of gifts/ reception to ensure the compliance with Digiworld anti-corruption and bribery regulation.
- Inspect the approval of gifts/ reception that the employees received.
- Inspect the recipient: Identify working position and nature of work from *the recipient* at the time of receiving the gift to ensure there is no risk of corruption or bribery.
- Responsibility of every Digiworld employee: All Digiworld employee are required to complete:
  - Orientation Day for new employee within first 2-months of the start of employment, and must provide the written statement of Anti-corruption and bribery within first 2-weeks of the start of employment.
  - New employees are recruited on/job transfer to positions, departments in high risk of corruption, bribery, the Line Manager should implementation training on anti-corruption and bribery within the scope of work.
  - Complete the Annual Training programs held by Company to ensure a thorough understanding of policies and requirement set out.
  - If detected any activities related to corruption, bribery (includes kickback in purchasing process), employee is responsible to report immediately to:

Contact: Legal Department  
 Address: 8th Floor, Nam A Bank Tower, 201 - 203 Cach Mang Thang 8 Str., W. 4, Dist. 3, Ho Chi Minh City, Viet Nam.  
 Tel: (84-8) 3929 0059  
 Fax: (84-8) 3929 0060

Or:

Contact: Human Resource and Administration Department  
 Address: 8th Floor, Nam A Bank Tower, 201 - 203 Cach Mang Thang 8 Str., W. 4, Dist. 3, Ho Chi Minh City, Viet Nam.  
 Tel: (84-8) 3929 0059 (Ext: 1044)  
 Fax: (84-8) 3929 0060

**9. Violation sanctions:** Any violations will be sanctioned in accordance with the stipulation The Digiworld Internal Labour Regulations.