

# Whistleblowing

At Convex we are committed to doing business honestly, fairly, lawfully and with integrity, and to treating people in that way. We have policies, including our Whistleblowing Policy, as well as procedures and training which are intended to make sure this happens. Our intention is to make sure that everyone at Convex knows what whistleblowing is and how to do it if they have a genuine concern about mistreatment or malpractice. We take seriously any disclosure that is made under our Whistleblowing Policy.

Whistleblowing describes a situation when someone who works in or for an organisation raises a concern about possible fraud, crime, danger or other serious risk that could threaten customers, colleagues, shareholders, the public or the organisation's reputation. Speaking out or whistleblowing enables concerns to be raised and investigated, and action to be taken if necessary. Convex therefore regards whistleblowing as a positive act and encourages all our people to raise concerns.

We are required to establish, implement and maintain appropriate and effective arrangements for whistleblowers to report concerns. In particular:

- We have put in place systems to ensure that disclosures can be appropriately protected and that the identity of a whistleblower can be protected where the whistleblower has requested confidentiality or chosen not to reveal their identity.
- We have a process which enables effective assessment and escalation of reportable concerns by a whistleblower, including the Board, Group Audit Committee, and regulators as appropriate.
- We will provide feedback to the whistleblower about the reported concern.
- We will record all reports from whistleblowers and record how Convex deals with them, including the outcome.

An employee or individual who wishes to maintain both anonymity and confidentiality may use Whispli, an independent reporting service that Convex uses which can receive and process reports anonymously.

- Online at <https://convexin.whispli.com/speakup>

You are not required to identify yourself if you make a report to Whispli, and unless you give your permission, Whispli will not give your identity to Convex (even if Convex asks Whispli to do so). Whispli will send a report of the concerns you have raised to Convex. The report will go to a small number of nominated contacts within Convex, including the Chair of the Audit Committee, and it will be investigated.

If for whatever reason, you feel you cannot raise your concerns internally or use the anonymous Whispli reporting platform, and you reasonably believe the information and any allegations are substantially true, you are also able to make a disclosure directly to regulators. The PRA or the FCA are prescribed persons under section 43F of the Employment Rights Act 1996, and you can make protected disclosures to the PRA or FCA directly. The PRA is contactable on +44 (0)203 461 8703 during office hours. Alternatively, you can email the PRA at [PRWhistleblowing@bankofengland.co.uk](mailto:PRWhistleblowing@bankofengland.co.uk) or write to the PRA at Confidential Reporting (Whistleblowing), PRA, 20 Moorgate, London, EC2R 6DA.

Disclosures can also be made to the FCA on +44 (0)20 7066 9200 during office hours. Alternatively, you can email them at [whistle@fca.org.uk](mailto:whistle@fca.org.uk).

Disclosures can be made to the CAA in Luxembourg using the [whistleblowing form](#) which must be sent by email to [whistleblowing@caa.lu](mailto:whistleblowing@caa.lu). Alternatively, you can call them on 226911-1.

Disclosures can be made to the GFSC in Guernsey at [whistleblower@gfsc.gg](mailto:whistleblower@gfsc.gg) or on +44 1481 748094.

Disclosures can be made to the BMA in Bermuda by contacting their Director of Legal, Dina Wilson, on [dwilson@bma.bm](mailto:dwilson@bma.bm).