

1) For Reporting a Concern [Click Here](#)

The screenshot shows the BNP Paribas EthicsPoint website. At the top, there is a navigation bar with the BNP Paribas logo and the text "SANCTIONS WHISTLEBLOWER HOTLINE". Below this, there is a menu with "Additional Resources", "Report a Concern", and "Contacts". The main content area features a large banner with a background image of hands shaking. On the left side of the banner, the word "ATTENTION!" is written in bold, followed by a small disclaimer: "This web page is hosted on NAVEX Global's secure servers and is not part of BNP Paribas' website or Intranet." On the right side of the banner, there is a green button labeled "Report a Concern" with a white "CLICK HERE" button inside it. An arrow points from the text "Click Here" in the instruction above to this button. Below the banner, there is a "Welcome" section with text explaining the whistleblowing framework. To the right of the "Welcome" section, there is a "Follow-up on a Previously Submitted Report" section with input fields for "Report Key:" and "Password:", and a "SUBMIT" button.

2) Select To Make a Report Online / To Make a Report By Phone

ATTENTION!
This web page is hosted on NAVEX Global's secure servers, and is not part of BNP Paribas' website or Intranet.

Report a Concern
CLICK HERE

Report Financial Sanctions or Embargos concern

This website is only to report any disclosures relating to a proven or suspected breach of a financial sanction or embargo*.
Non-sanctions/embargoes related escalations should continue to be reported through the existing dedicated whistleblower framework

To Make a Report Online

Select the country in which you are located.
- Select -

To Make a Report By Phone

Select the country in which you are located for International Dialling.
- Select -

[What should I do if the telephone number is not working?](#)
[What should I do if the country I am in is not listed above?](#)

*Terms referring to economic, trade or financial restrictions placed on a country to exert political pressure or halt a conflict.

This is NOT an Emergency Service. Do not use this site to report events presenting an immediate threat to life or property. Reports submitted through this service may not receive an immediate response. If you require emergency assistance, please follow your site procedures to contact local emergency personnel.

3) Select Other in Further Identify your association for Sharekhan.

The screenshot shows a web browser window with the URL <https://secure.ethicspoint.com/domain/media/en/gui/43721/report.html>. The page title is "Report Financial Sanctions or Embargos concern". Below the title, there is a brief explanation of the service and instructions on how to report. The form is divided into two main sections: "To Make a Report Online" and "To Make a Report By Phone".

To Make a Report Online

- Select the country in which you are located: India
- Select the country in which the violation took place: India
- In which part of BNP Paribas Group can you be associated?: Domestic Markets
- Further identify your association: Other (highlighted in blue)

To Make a Report By Phone

- Select the country in which you are located for International Dialing: - Select -
- What should I do if the telephone number is not working?
- What should I do if the country I am in is not listed above?

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4) CLICK on **CONTINUE**

The screenshot shows a web browser window with the URL `https://secure.ethicspoint.com/domain/media/en/gui/43721/report.html`. The page title is "Report Financial Sanctions or Embargos concern". Below the title, there is a paragraph explaining the website's purpose: "This website is only to report any disclosures relating to a proven or suspected breach of a financial sanction or embargo*. Non-sanctions/embargoes related escalations should continue to be reported through the existing dedicated whistleblower framework".

The page is divided into two main sections: "To Make a Report Online" and "To Make a Report By Phone".

To Make a Report Online

- Select the country in which you are located. (Dropdown menu: India)
- Select the country in which the violation took place. (Dropdown menu: India)
- In which part of BNP Paribas Group can you be associated? (Dropdown menu: Domestic Markets)
- Further identify your association (Dropdown menu: Other)

Click the "Continue" button to proceed with filing your report.

To Make a Report By Phone

- Select the country in which you are located for International Dialing. (Dropdown menu: - Select -)

Additional links for phone reporting:

- [What should I do if the telephone number is not working?](#)
- [What should I do if the country I am in is not listed above?](#)

A "CONTINUE" button is located at the bottom of the online reporting section, with an arrow pointing to it from the instruction above.

5) TICK – I CONSENT

EthicsPoint - BNP Paribas

https://secure.ethicspoint.com/domain/media/en/gui/43721/consent.html?clientid=43721&locationid=16049445&companylocation

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ATTENTION!
This web page is hosted on NAVEX Global's secure servers and is not part of BNP Paribas' website or Intranet.

report a concern
CLICK HERE

DATA PROTECTION & PRIVACY NOTICE

The personal data and information you provide will be stored in a database which is located on servers hosted and operated by NAVEX Global, Inc. in the United States. NAVEX Global and BNP Paribas have entered into appropriate and legally binding agreements regarding the collection, use, and retention of personal information from European Union member countries as well as Iceland, Liechtenstein and Norway. NAVEX Global has agreed to comply with strict obligations of confidentiality, security and privacy in relation to notice, choice, onward transfer, security, data integrity, access, and enforcement.

I CONSENT

CONTINUE CANCEL

6) CLICK on **CONTINUE**

The screenshot shows a web browser window with the following elements:

- Browser Tab:** EthicsPoint - BNP Paribas
- Address Bar:** <https://secure.ethicspoint.com/domain/media/en/gui/43721/consent.html?clientid=43721&locationid=16049445&companyloc...>
- Page Header:** A dark banner with the text "ATTENTION! This web page is hosted on NAVEX Global's secure servers and is not part of BNP Paribas' website or intranet." and a green button labeled "CLICK HERE".
- Main Content:** A white box containing the following text:

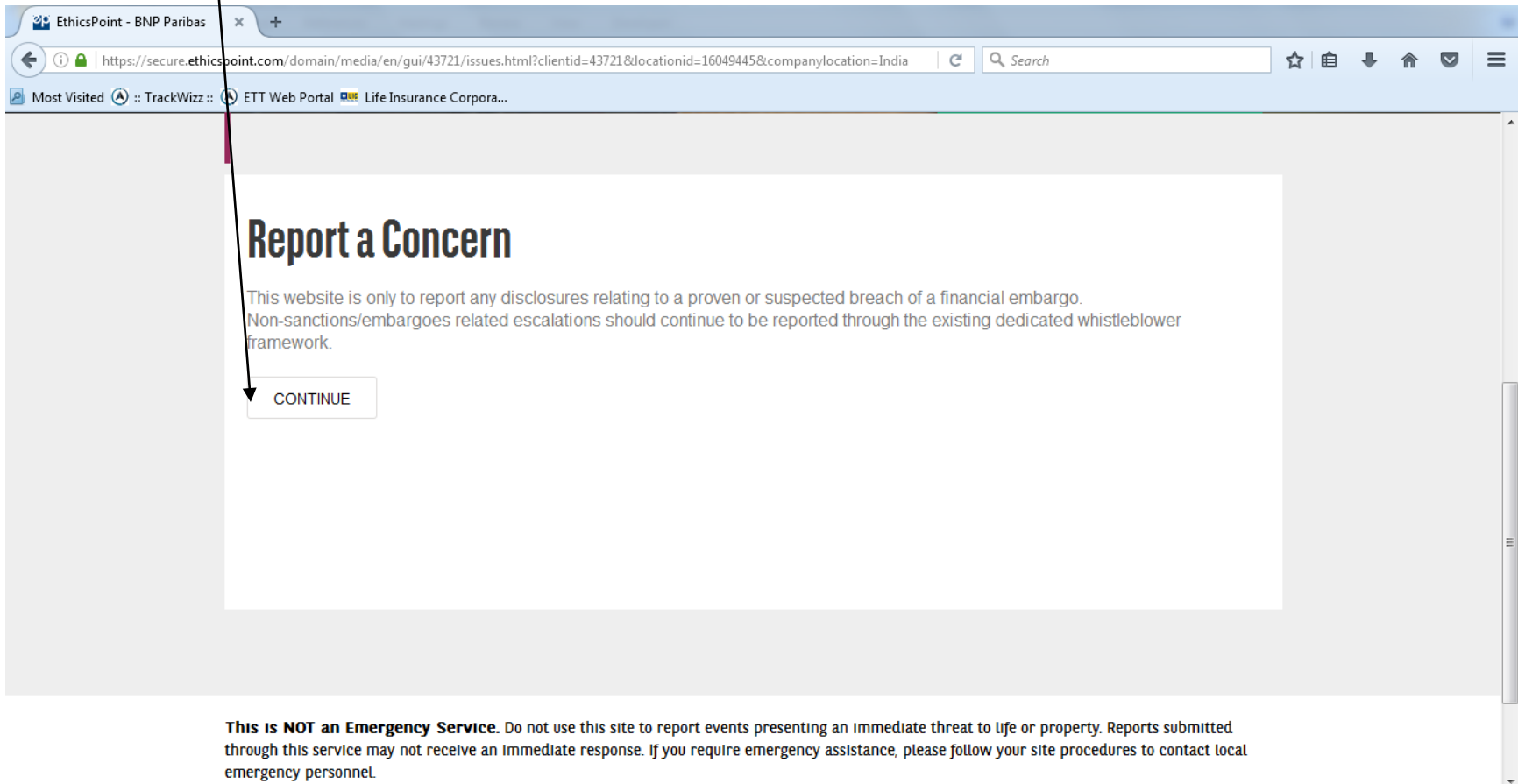
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I CONSENT

At the bottom of the white box are two buttons: "CONTINUE" and "CANCEL". A red arrow points from the instruction above to the "CONTINUE" button.

7) CLICK on **CONTINUE**



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8) Require Information for **Filing a Report**:

EthicsPoint

https://secure.ethicspoint.com/domain/en/report_information.asp?clientid=43721&locationid=16049445&companylocation=India&data

You are now in an EthicsPoint Secure Area | **File a Report**

ETHICSPPOINT IS **NOT** A 911 OR EMERGENCY SERVICE.
Do not use this site to report events presenting an immediate threat to life or property. Reports submitted through this service may not receive an immediate response. If you require emergency assistance, please contact your local authorities.

* Yes - I agree to the [Terms and Conditions](#) of making this report.

Please provide information as follows:
(* Required fields)

Organization/Tier: **BNP Paribas**
Location where incident occurred: Other - Domestic Markets
City: State/Province:
Zip/Postal Code:
Country: India

* **Are you an employee of BNP Paribas?**

Yes No

* **Do you wish to remain ANONYMOUS for this report?**

Yes No

If you want BNP Paribas to know your identity, please complete the following:

Your Name:
First Name Last Name

If you want BNP Paribas to know your identity, please complete the following:

Your Name:
First Name Last Name
Your Phone Number:
Your E-mail Address:

Best time for communication with you:

Report - Financial Sanctions and Embargos

Please identify the person(s) engaged in this behavior:

Example:

John Doe, Director of Operation
Unknown, Unknown, Night Supervisor

	First Name	Last Name	-	Title
#1	<input type="text"/>	<input type="text"/>	-	<input type="text"/>
#2	<input type="text"/>	<input type="text"/>	-	<input type="text"/>
#3	<input type="text"/>	<input type="text"/>	-	<input type="text"/>

Do you suspect or know that a supervisor or management is involved?

Yes No Do Not Know / Do Not Wish To Disclose

If yes, then who?

Do you suspect or know that a supervisor or management is involved?

- Yes No Do Not Know / Do Not Wish To Disclose

If yes, then who?

Example:

John
Doe,
Director
of
Internal
Audit

Any persons mentioned here will be restricted by EthicsPoint from access to this reported information.

Is management aware of this problem?

- Yes No Do Not Know / Do Not Wish To Disclose

What is the general nature of this matter?

This should be a general description only, you will be asked for specifics later.

Where did this incident or violation occur?

We recognize that this incident may not have occurred in a particular

Where did this incident or violation occur?

We recognize that this incident may not have occurred in a particular location. However, if this incident was observed in some documentation or business transactions, please indicate this accordingly.

Please provide the specific or approximate time this incident occurred:

Examples:
Tuesday, May 3, 2002
Two weeks ago
Approximately a month ago

***How long do you think this problem has been going on?**

***How did you become aware of this violation?**

If other, how?

Please identify any persons who have attempted to conceal this problem and the steps they took to conceal it:

Please identify any persons who have attempted to conceal this problem and the steps they took to conceal it:

Please identify by name and title.

Examples:

Ignored it
Changed documents
Said it was not a problem
Said they would look into it

If you have a document or file that supports your report, most common file types can be uploaded:

[Click here to upload files](#)

*** Please provide all details regarding the alleged violation, including the locations of witnesses and any other information that could be valuable in the evaluation and ultimate resolution of this situation.**

Please take your time and provide as much detail as possible, but exercise care to not provide details that may reveal your identity unless you wish to do so. It may be important to know if you are the only person aware of this situation.

EthicsPoint

https://secure.ethicspoint.com/domain/en/report_information.asp?clientid=43721&locationid=16049445&companylocation=India&data

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and provide as much detail as possible, but exercise care to not provide details that may reveal your identity unless you wish to do so. It may be important to know if you are the only person aware of this situation.

When you submit the report, you will be issued a Report Key. Please write it down and keep it in a safe place. We ask you to use this Report Key along with the password of your choosing to return to EthicsPoint through the website or telephone hotline in 5-6 business days. By returning in 5-6 business days, you will have the opportunity to review any Follow-up Questions or submit more information about this incident.

Please choose a password for this report:

* Password:

* Re-enter Password:

Your passwords must match and be at least four characters long.

Submit Report

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The Ethics and Compliance Experts

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