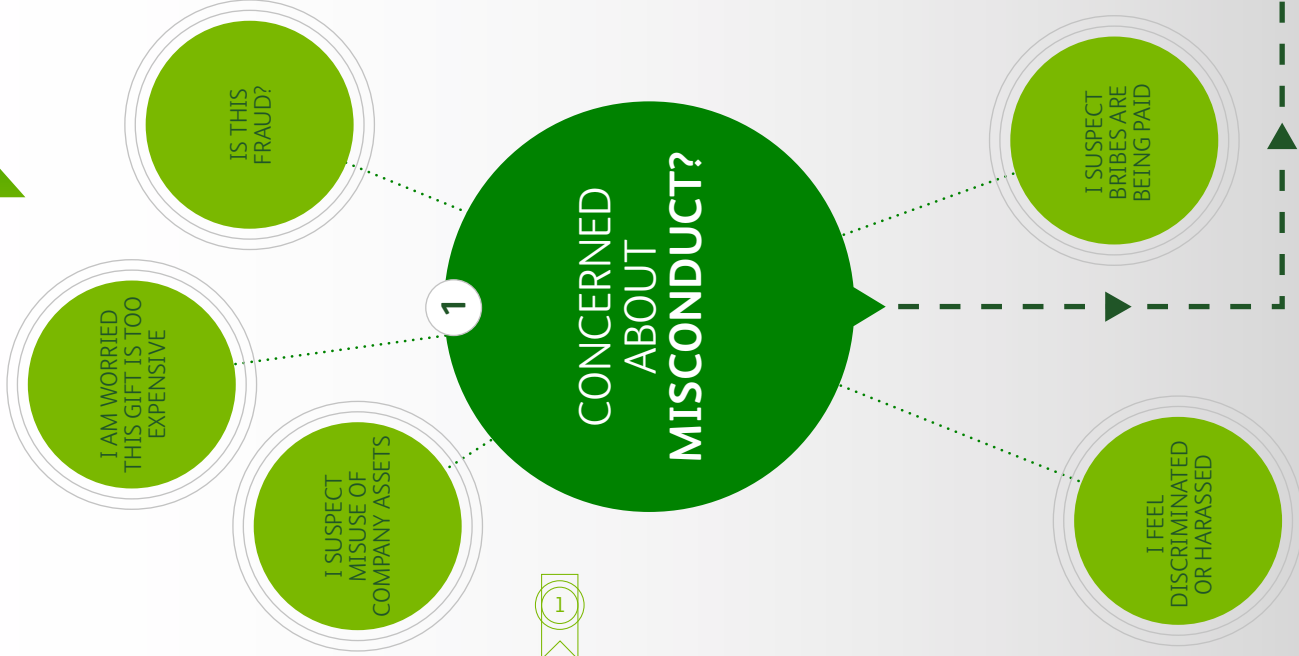


# SPEAK UP POLICY



# SPEAK UP



## 2 WHO CAN I TALK TO?

IF POSSIBLE, TALK TO THE **PERSON INVOLVED**

OR

TALK TO YOUR **MANAGER, HR REPRESENTATIVE, P&CI** OR **LEGAL FUNCTION**

OR

YOU CAN ALWAYS CONTACT THE **TRUSTED REPRESENTATIVE(S)** APPOINTED FOR YOU:


## 3

YOU CAN ALSO USE ONE OF THE FOLLOWING OPTIONS:

SEND AN EMAIL TO **BUSINESSCONDUCT@HEINEKEN.COM**

OR

CALL THE INTEGRITY LINE AT **0800-0226174**, MANAGED BY AN EXTERNAL AND INDEPENDENT PARTY

OR

GO TO **HTTP://SPEAKUPHEINEKEN.COM** TO FILE A REPORT OR TO GET MORE INFORMATION



WE UNDERSTAND IT IS NOT ALWAYS EASY TO RAISE CONCERNS ABOUT POSSIBLE MISCONDUCT BUT WE DO **ENCOURAGE YOU TO COME FORWARD** WITH ANY CONCERNS AND **SPEAK UP!**

ANY CONCERN WILL BE DEALT WITH **APPROPRIATELY AND CONFIDENTIALLY.**



# WHY THIS POLICY?

## Why is speaking up important?

Our Company is committed to conducting business with integrity and fairness, with respect for the law and our values. In spite of this commitment, you may one day observe conduct that concerns you, or that seems to violate our Code of Business Conduct and/or its policies. If you observe or suspect such misconduct, you are encouraged to speak up. By doing so, you give our Company the opportunity to deal with the issue. Remaining silent about possible misconduct may worsen a situation and undermine trust.

Our Company truly values the help of employees who identify and Speak Up about potential concerns that need to be addressed. Speaking up is encouraged and employees who Speak Up are protected. You will not suffer for raising concerns in good faith about suspected misconduct, and we do not tolerate any form of retaliation against you for Speaking Up. After all: speaking up is essential for us to sustain our reputation, success and ability to operate – both now and in the future.

## What is the purpose of this Speak Up policy?

The purpose of this policy is to explain how you can raise concerns about suspected misconduct in confidence and without fear of retaliation. It also describes what you can expect from our Company if you speak up.

## Who can speak up?

This Speak Up policy is available to anyone who wishes to raise a concern about possible misconduct within our Company.

## What concerns are covered by this Speak Up policy?

This Speak Up policy can be used to raise concerns about suspected misconduct within our Company, that is: any violation of our Code of Business Conduct and/or its policies under which our Company operates.

Examples of concerns that can be raised using this Speak Up policy are:

- Fraud
- Human rights violations
- Discrimination or harassment
- Violations of competition laws and rules
- Money laundering or violations of sanction laws
- Inadequate financial or non-financial recordkeeping
- Bribery
- Conflicts of interest
- Environmental, health and safety issues
- Improper use of company resources
- Insider trading
- Disclosure of confidential information
- Violations of any of our (other) policies
- Retaliation against anyone for speaking up in good faith

Do not use this policy:

- To report events presenting an immediate threat to life or property. If you need emergency assistance, please contact your local authorities or call your country's emergency phone number.
- For any grievances you may have in relation to your terms of employment.
- To settle personal or legal disputes.
- To make accusations which you know are false. Doing so may lead to disciplinary measures.



# HOW AND WHEN TO SPEAK UP?

## How to speak up?

Our Speak Up policy allows you to raise concerns about suspected misconduct through a variety of channels. This policy does not replace our Company's regular reporting lines or complaints procedures within your OpCo. If you suspect misconduct, you are encouraged to address this directly with the person involved. If this would not be appropriate, please feel free to raise questions and concerns through any of the following Speak Up channels.

## Your manager, Human Resources representative, P&CI or Legal function

As a general guideline, the first person to approach when raising a concern is your line manager. You may also choose to discuss your concern with your Human Resources representative, P&CI or Legal function who can mediate personally on your behalf.

## Your Trusted Representative

Our Company has appointed Trusted Representatives as a further point of contact for you to raise concerns about suspected misconduct, for example if you prefer not to raise a concern with your line manager. They are there for you to discuss your concerns in confidence and advise on any next steps. Trusted Representatives do not participate in any investigation as to protect the confidentiality of conversations with Trusted Representatives. Please click here for the contact details of your Trusted Representatives.

## Global Business Conduct

The Global Business Conduct team in Amsterdam, the Netherlands, assists the Integrity Committee in overseeing our company-wide efforts to ensure that we conduct business with integrity and fairness, with respect for the law and our values. You can report suspected misconduct to the Global Business Conduct team by email at «[businessconduct@heineken.com](mailto:businessconduct@heineken.com)» or send a letter to Global Business Conduct P.O. Box 28, 1000 AA Amsterdam, the Netherlands. You can also contact one of the members of the Global Business Conduct team directly.

## Speak Up Service: Online or by phone

If you suspect misconduct and genuinely believe that the matter cannot be dealt with through the available channels within your OpCo, you can use our external Speak Up Service (<http://speakup.heineken.com>) to raise concerns confidentially and in your own language. The Speak Up Service is run by an independent third party and is available 24/7, 365 days a year. There are two ways to submit a report through the Speak Up Service:

### Online



To file a concern online, please visit the Speak Up Service's website at <http://speakup.heineken.com> where you can fill in a form to submit your concern.

### By Phone



To raise your concern by phone, please call the Integrity Line in your country (free of charge). The Integrity Line is operated by a third party. Please check <http://speakup.heineken.com> or [click here](#) for the phone number and further instructions.

After you complete your report (online or by phone), you will receive a unique code called a 'report key'. You can use this key to call back or access the website (<http://speakup.heineken.com>) to check progress on your report. You can see whether the person dealing with your report has feedback for you or further questions. If you want, you can provide additional information. Your report key is particularly important if you choose to remain anonymous, as we can only contact you through the website in that case. All reports received via the Speak Up Service are routed back to our Company for further handling.

## What about 'external whistleblowing'?

We strongly encourage you to raise concerns internally through one of the available channels. Taking a concern to an outside party (e.g. the media) can have serious implications for our Company, for the persons involved and possibly also for yourself. By Speaking Up internally, you give our Company the chance to look into the matter and take action if needed. In this way we can truly improve our Company together.

## What kind of information do you need to provide?

When you file a report (in person, in writing, online or by phone), please provide as much detailed information as you can to enable our Company to assess and investigate your concern, such as:

- The background, history and reason for the concern
- Names, dates, places and other relevant information
- Any documents that may support your report

A report can only be followed up if it contains sufficient information and there is a reasonable possibility of obtaining further information.

## What should you do if you do not have all the facts?

We encourage you to speak up as soon as possible, ideally before situations get out of hand or damage is done. It is always better to discuss upfront than to report afterwards. If you know about or suspect misconduct, speak up with the facts that you have. We do not expect you to have all the answers and you are certainly not expected to prove that your concern is well founded. Let our Company look into the matter to determine if there is a reason for concern.

Never investigate the matter yourself and do not seek evidence to build a strong case. We guarantee that no disciplinary measures or other steps will be taken against you if your genuine concern later turns out to be mistaken or misguided.

**Q: I have become aware of possible misconduct of someone in my team, that may constitute serious fraud. It is still a suspicion, however; I do not have all the facts. Should I Speak Up or should I first find out more?**

**A: Speak up as soon as possible: it is always better to discuss matters upfront. Just speak up with the facts you have. Do not go investigating the matter yourself and do not seek evidence to first build a strong case. Let our Company look into the matter to determine whether there is a reason for concern and what should be done. Experts will assess and investigate your concern and if necessary they will get back to you with any questions. No disciplinary measures or other steps will be taken against you if your genuine concern later turns out to be mistaken or misguided.**

# SAFEGUARDING YOUR POSITION: CONFIDENTIALITY

## Do reports remain confidential?

All reporting is done confidentially. This means that information about your concern will only be shared with a limited number of people on a strict need-to-know basis. Information will only be disclosed outside this small group if we are required to do so by law or an important public interest is at stake. In principle, we are obliged to inform the implicated person that a complaint has been filed against him/her, but your identity will not be disclosed. You yourself can help us protect confidentiality by being discreet and not discussing your report with your colleagues or anyone else.

## Is it possible to report anonymously?

You can share your concerns anonymously (where allowed by the laws of your country). We do however encourage you to reveal your identity as it is more difficult, and in some circumstances even impossible, for us to investigate reports that are made anonymously.

## Will your privacy be safeguarded?

Our Company is committed to protecting the privacy of everyone involved. We will do everything to safeguard personal data from unauthorized access and processing. Any personal data obtained as part of this Speak Up policy will only be used for the purposes explained in this policy or to comply with the law or an important public interest. Please find more details on the protection of personal data in [Annex 1](#).

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# SAFEGUARDING YOUR POSITION: NON-RETALIATION

## Non-retaliation – How will you be protected if you speak up?

In our Company we encourage people to speak up about (suspected) misconduct and employees are always protected when they address a concern. Please feel confident that you will not suffer for raising concerns in good faith about suspected misconduct. Any form of threat or retaliation will not be tolerated. Retaliation against reporters is treated as a violation of our Code of Business Conduct and consequently may lead to disciplinary measures.

You will not be protected, however, if you maliciously raise a concern that you know is false.



## What should you do if you notice any retaliation?

If you notice any retaliation against you or against anyone else for raising or having raised a concern in good faith about suspected misconduct, report this via one of our Speak Up channels. A report on retaliation against a reporter is treated like any other Speak Up report and the same procedure is followed.

## What happens if this policy is misused?

It is a violation of our Code of Business Conduct to knowingly make a false accusation. Doing so may lead to disciplinary measures.

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# FOLLOW-UP – WHAT HAPPENS AFTER YOU SPEAK UP?

## What can you expect if you speak up?

Our Company takes every report of possible misconduct seriously. If you submit a report, you will receive a confirmation of receipt within 5 to 7 working days, with an estimate of how long it will take to handle and assess your concern. Your report will undergo an initial review, and if necessary, it will be appropriately investigated. On average, closure of the matter can be expected within 1 to 3 months. You will be informed of the overall findings, i.e. whether or not our Company has established that misconduct has taken place. Please note that we will not be able to give you full details of the outcome of a case (or related actions taken) for reasons of confidentiality, privacy and the legal rights of all concerned.

## Who will act on your concerns and how?

All reports of concern that the Company receives are logged into a case management system. Depending on the nature, urgency and potential impact of your concern, the case is handled by an OpCo or Global Case Manager who works under the supervision and instruction of the Integrity Committee.

## Review and investigations

Our Company follows a two-phased approach when handling concerns:

- Initial review – We assess the concern and decide if it requires further review and investigation (and, if so, by whom and in which form). You may be approached for additional information.
- Investigation – If the report requires further investigation, we assign it to an OpCo or Global Case Manager. The investigation itself focuses on an objective, factual analysis of the case. If needed, outside experts (e.g. lawyers or accountants) can be engaged to assist in the investigation. They work under strict confidentiality.

Review and investigation are conducted in an independent, fair and unbiased manner with respect to all parties involved and in accordance with relevant laws and principles (including fair hearing). Details of the case, your identity and the identity of anyone else mentioned in the report, are kept confidential throughout and after the investigation and are only shared on a need-to-know basis.

## What is expected of you in connection with investigations?

If you become involved in an investigation, you need to cooperate and answer all questions completely and honestly. Lying to the people performing the investigation as well as delaying, interfering with or refusing to cooperate with an investigation may lead to disciplinary measures. All parties involved, including the accused, are entitled to confidentiality in order to avoid unnecessary damage to their reputation. Therefore, if you participate in or learn about an investigation, you must keep the matter confidential.

## Appropriate measures

If your concern is well-founded (i.e. misconduct has indeed taken place), appropriate measures will be taken where necessary in accordance with the law and our Policy on Disciplinary Measures.

## What to do if you have a concern about the follow-up on a report?

If you believe that your concern or a concern raised against you has not been handled appropriately or that an investigation has not been performed correctly, please inform the Integrity Committee at [intcom@heineken.com](mailto:intcom@heineken.com) or at Integrity Committee P.O. Box 28, 1000 AA Amsterdam, the Netherlands. In Integrity Committee cases, please inform the chairman of the Supervisory Board of Heineken N.V. at [supervisoryboard@heineken.com](mailto:supervisoryboard@heineken.com).

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## MORE INFORMATION?

If you have questions relating to this Speak Up Policy or if you need assistance, please contact:

- Your manager, Human Resources representative, P&CI or Legal function
- Your Trusted Representative
- Global Business Conduct by email at [businessconduct@heineken.com](mailto:businessconduct@heineken.com)



# ANNEX 1: PROTECTION OF PERSONAL DATA

## This Annex

The Speak Up Service is a way for employees, contract staff and external parties to report a suspected wrongdoing by or involving a HEINEKEN Company, employee or contractor staff that is in violation of the HEINEKEN Code of Business Conduct and/or its policies.

This annex explains how HEINEKEN collects, uses and shares personal data for Speak Up purposes. This includes any personal data relating to the person making a report, as well as personal data about those individuals against whom an allegation has been made or those who have been identified as having information about the allegation.

For more general guidance on how HEINEKEN handles your personal data please see the Privacy Procedure for Employee Data.

Calls and on-line reports to the Speak Up Service are received on behalf of HEINEKEN by an independent provider called Navex Global Inc. ('Navex'). Navex is based in the United States with servers located within various EU member states. HEINEKEN has taken the required organizational and contractual measures to ensure that any personal data gathered by Navex is adequately secured and processed for authorized Speak Up Service purposes only.

## General

HEINEKEN is the data controller of the Speak Up Service which is operated on behalf of itself and its operating companies within HEINEKEN. Depending upon the location of the reporter, where the event is alleged to have taken place and the nature of the allegation(s), an investigator from an operation company will be asked to carry out the investigation.

## Personal data

The sort of personal data our Company holds as part of the Speak Up process may include:

- Your name and contact details (if you decide not to report anonymously);
- The name and title of the individual(s) you may be reporting;
- A description of any questionable conduct, including all relevant details; and
- Any question you may have.

Although our Company and the agency operating the Speak Up Service ('Navex') do not actively seek it, sensitive personal data, as defined by privacy regulations, could be included in the Speak Up report.

Where you provide your name and personal contact details, your identity will be strictly confidential and will not be disclosed, to the person or people to whom the report relates unless you provide your consent. The only exceptions are where our Company is legally required to disclose your identity; where our Company is legally permitted to disclose your identity to protect or defend our rights or those of our employees, customers, suppliers or business partners, or; where our Company has determined that the allegations were malicious and were made in bad faith.

The Speak Up reports may be collected by any data processing means, whether electronic or not. Please note that personal data will in all cases be processed separately from other employee information systems or employee files.

## Purpose of data processing

HEINEKEN may process your personal data;

- To administer the Speak Up Service and assess and follow-up on submissions to the Speak Up Service.
- To investigate alleged violations.
- To take any necessary follow up action upon the completion of an investigation.
- To create anonymous reports for our Company's management.

## Legal basis

HEINEKEN will only process your personal data in ways compatible with the purpose for which it was collected. To the extent necessary for such purposes, our Company will take reasonable steps to make sure that personal information is accurate, complete and otherwise reliable with regard to its intended use.

With regard to a Speak Up process, our Company shall use your personal data in line with the Privacy Procedure for Employee Data, which refers to the purpose of 'the use of employee personal data for activities such as those involving the protection of the interest of HEINEKEN and its employees and for protecting the interests of Heineken and employee assets'. Our Company relies on legitimate interests as the lawful basis for the collection and use of your personal data.

Your personal data may be kept and used to manage the Speak Up process whilst you are working for us, at the time when your employment ends and for some time after you have left.

## Disclosures

Personal data collected for the purposes referred to above will be shared with Navex who administers the Speak Up Service on behalf of and under the direction and control of our Company.

We may also permit selected third party experts, such as forensic accountants, external lawyers or consultants, to access to your personal information for the purpose of conducting internal investigations in relation to (suspected) violation(s) of our Code of Business Conduct and/or its policies. When HEINEKEN shares personal information with these third parties our Company requires that they only use such personal information as necessary to provide investigatory services to us and in a manner consistent with the Privacy Procedure for Employee Data and applicable law.

Furthermore, personal data collected for Speak Up purposes will only be disclosed to any other party if our Company is under a duty to disclose or share your personal data in order to comply with any legal obligation or when necessary to report criminal offenses.

## Cross Border Transfer

If it becomes necessary to transfer your data outside of the European Economic Area our Company will put in place appropriate safeguards in accordance with applicable legal requirements to ensure that your data receives protection equivalent to that provided by data protection regulations applicable in the European Economic Area.



## Data retention

Speak Up reports that have been found unsubstantiated shall be removed as soon as possible, including all personal data in or related to these reports. Personal data relating to reports about substantiated claims will be retained only for the period required to serve the Speak Up purposes, to the extent reasonably necessary to comply with an applicable legal requirement, or as advisable in light of an applicable statute of limitations.

Recording of any disciplinary measures against an employee resulted from a report filed under the provisions of the Speak Up policy shall be done in compliance with the internal procedures that our Company maintains in relation to personnel records.

'Remove' means destruction of the personal data or adaptation of the personal data in such a way that identification of the reporter and the implicated person are no longer possible.

## Your rights

Any employee may, at all times, request Global Business Conduct or the Integrity Committee whether or not a report has been filed against him/her. If so, he/she will be provided with a written overview of the personal data available about him/her unless this would seriously hinder the investigation. If personal data proves to be inaccurate or incomplete, the implicated person can request rectification or completion thereof. Under specific circumstances, an employee may request erasure of personal data concerning him/her or request restriction of processing of personal data concerning him/her.

## Contact

If you have any other question, if you wish to exercise any of the above rights or if you have a complaint about our handling of your Personal Data with regard to the Speak Up procedure, please send an e-mail to [businessconduct@heineken.com](mailto:businessconduct@heineken.com), or contact Global Business Conduct at +31 20 5239 968.

# ADMINISTRATIVE INFORMATION

Content	Owner Global Legal Affairs
Contact Person	Obbe Siderius Global Business Conduct Director obbe.siderius@heineken.com
Effective as per Version	1 September 2018 4.0
Notes:	HEINEKEN or our Company refers to each company that is majority owned and controlled, directly or indirectly, by Heineken N.V. This Speak Up policy supersedes any previous Whistleblowing procedure and Fraud Reporting Procedure anywhere within HEINEKEN. Amendments can be made from time to time and are communicated. Please note that this policy has a complementary character: any applicable national legislation remains valid. Where the terms of this policy are stricter than applicable legislation or provide additional safeguards, rights or remedies, the terms of this policy will prevail.