

# Measures of China CITIC Bank for Reporting Management of Violations in Anti-Money Laundering

(Abstract)

## Chapter II Principles of Reporting

**Article 6** Principle of Seeking Truth from Facts. The case reporting shall adhere to the principle of seeking truth from facts which is to rely on facts as the basis and emphasize the importance of evidence. In terms of handling the reported cases, it is necessary to ensure clarity of facts, irrefutable evidence, accurate determination, appropriate resolution, and complete procedures.

**Article 7** Principle of Confidentiality. The personnel responsible for receiving reports and following up on case investigations shall strictly abide by confidentiality regulations by being loyal to their duties and keeping information confidential. The personal information of the informers, including their names, employers, the contents of the reporting, and related individuals mentioned in the report, must be kept strictly confidential. Under no circumstances should this information be disclosed to

unrelated individuals. Any informers should receive adequate protection.

**Article 8** Principle of Encouraging Reporting. Employees are encouraged to report instances of violations in AML based on facts. If the reporting effectively helps recover the Bank's economic losses or reduce punishment, appropriate rewards shall be given.

**Article 9** Principle of Severe Punishment for Violations. For institutions and individuals found to have violated the regulations, their responsibilities shall be pursued in accordance with the Bank's relevant provisions. If criminal offenses are involved, they shall be referred to the appropriate judicial authorities as per regulations.