



AS LPB Bank
Brīvības iela 54, Rīga, LV-1011
Reģ. Nr.: 50103189561

info@lpb.lv
www.lpb.lv
(+371) 6 7772999

Annex No. 2
to AS "LPB Bank"
Management Information System Procedure of 09.06.2022

Application registered on _____ under No. _____ (filled out by Officer)

WHISTLE-BLOWING REPORT FORM

ADDRESSEE

AS "LPB Bank", registration Nr. 50103189561, Brīvības iela 54, Rīga, LV-1011 (from now on – the Bank)

1. DESCRIPTION OF VIOLATION

Please provide available information regarding the **potential violation**. Please specify specific facts or circumstances indicating the violation (e.g., date, the location where the potential violation was established), persons involved and their job titles. Please specify whether you have access to any evidence (e.g., documents, photos, e-mail correspondence). Please attach it to the report or indicate where they may be accessed.

2. MEANS OF OBTAINING INFORMATION (RELEVANCE TO PROFESSIONAL ACTIVITY)

Your relation to the Bank where the potential violation was established (please mark as appropriate):

- I work for the Bank I'm reporting to (actual employment relationship based on an employment agreement or other legal transaction – underline as appropriate)
- during the establishment of a legal relationship as a candidate for a position with the Bank
- I'm an employee of a cooperation partner in the company _____, providing services to the Bank as part of my occupational duties
- employment with the Bank as an intern
- other relation with the Bank's labour environment that provides Whistle-blower status (please specify)

3. PLEASE INDICATE WHAT HARM THE AFOREMENTIONED POTENTIAL VIOLATION HAS CAUSED OR MIGHT CAUSE TO PUBLIC INTERESTS¹ (WHICH ONES?), AND TO WHICH REPRESENTATIVES OF THE PUBLIC

¹ Reporting a violation of personal interests is not considered whistle-blowing.



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4. HAVE YOU REPORTED THE VIOLATION PREVIOUSLY? WHAT WAS THE OUTCOME?

(please select as appropriate, providing the necessary comments)

- no, this is my first report
- yes, reported to direct supervisor
- yes, reported to member of the board of the Bank _____
(name, surname)
- yes, reported to Compliance Control Department of the Bank
- yes, reported to FLA e-mail whistle@lka.org.lv regarding violations of anti-money laundering/counter-terrorist and proliferation financing regulations, sanctions requirements or the Guidelines at the Bank
- yes, reported an operational risk event
- yes, reported via an anonymous channel
- yes, reported to Data Protection Officer of the Bank
- yes, reported to Risk Control Department of the Bank
- other: _____

Comments:

5. ATTACHMENTS

Please specify the documents attached, which, in your opinion, confirm the potential violation. If you indicated that the violation was reported previously, please enclose the received response, if any

- 1.
- 2.
- 3.

6. APPLICANT DATA

Name, surname, identity code

Contact information (address, e-mail, phone No. to contact you, including for purposes of sending a response)

7. I WANT CONFIRMATION OF RECEIPT OF MY APPLICATION:

YES NO

8. I WANT TO RECEIVE A DECISION RECOGNISING OR NOT TO RECOGNISE MY APPLICATION AS A WHISTLE-BLOWER'S REPORT:

YES NO

9. SUBMISSION DATE:



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BY SUBMITTING THIS WHISTLE-BLOWER'S REPORT, I:

<ul style="list-style-type: none">• consent to the processing of my personal data (report registration, verification of data provided, and contacting me for follow-up);• am informed that data processing takes place in accordance with the Bank's Personal Data Protection Policy;	
<ul style="list-style-type: none">• confirm that I believe the information provided in the report to be true;	
<ul style="list-style-type: none">• confirm that I may be held liable under applicable regulations for knowingly providing false data.	

IF MY APPLICATION IS NOT RECOGNISED AS A WHISTLE-BLOWER'S REPORT:

1) I consent to my report being considered further as an individual application (i.e., according to general procedure and without protections under the Whistle-blowing Law)	<input type="checkbox"/>
2) I do not consent to my report being considered further as an individual application	<input type="checkbox"/>

INFORMATION ON FURTHER COMMUNICATION:

- once your application is received, you will receive confirmation of receipt immediately, within no more than seven days (using the contact details provided in section 6 of your report);
- within three days after making a decision on recognising your application as a whistle-blowing report, you will be sent a response regarding the decision made (using the contact details provided in section 6 of your report);
- if necessary for reviewing the whistle-blowing report, we may contact you to obtain further information;
- if your application is recognised as a whistle-blowing report, the Bank shall notify you about the procedure of review within two months following recognition of the application as a whistle-blowing report;
- once the review of the whistle-blowing report is completed, you will be informed about the facts established and the decision made or action taken;
- in case of any questions concerning whistle-blowing, please write to the Bank's e-mail trauksmesceleji@lpb.lv. If you prefer to be contacted via phone, please include your telephone number and a reference requesting contact via phone in your e-mail to trauksmesceleji@lpb.lv.