

南京银行举报政策要点

Key Points of Whistleblowing Policy of Bank of Nanjing

南京银行股份有限公司（简称“本行”）制定《南京银行诚信举报管理办法》《南京银行信访管理办法》，厘清登记、受理、办理、督办等各环节的程序、标准、时限和责任。

Bank of Nanjing Co., Ltd. ("the Bank") has formulated the *Bank of Nanjing Whistleblowing Management Measures for Integrity* and the *Bank of Nanjing Complaint Management Measures* to clarify the procedures, standards, timelines and responsibilities for all stages including registration, acceptance, processing and supervision.

一、适用人员范围

I. Scope of Application

上述办法适用于本行各级机构。各分行在执行的同时应根据当地监管要求，结合分行实际，制定实施细则并报总行核准后施行。各子公司参照执行。

The measures govern the Bank's entities at all levels. All branches shall develop implementation rules for these measures based on their actual situations and in compliance with local regulatory requirements, which must be submitted to the Head Office for approval prior to implementation. All subsidiaries shall implement the measures in compliance with the principles herein.

二、举报渠道及方式

II. Reporting Channels and Procedures

本行建立安全、通畅、便捷的信息举报渠道，为举报人及时、有效进行举报提供便利条件。公民、法人或其他组织可通过书信、电子邮件、电话和走访等方式，向本行及上级部门检举、报告所掌握或知晓的本单位或员工的任何违法违规、违反职业操守或其他异常可疑行为。

The Bank has established secure, unimpeded, and convenient information reporting channels to enable whistleblowers to submit reports timely and effectively. Citizens, legal entities or other organizations may report through postal mail, email, telephone, or in-person visits to the Bank and its higher-level departments any violations of laws and regulations, breaches of professional ethics, or other abnormal/suspicious behaviors of the Bank or its employees that they are aware of.

本行坚持以人民为中心的理念，保障信访举报人合法权益，维护信访举报秩序，对信访举报等事项严格实施保密管理，致力于形成诚实守信、依法合规、相互监督、严管厚爱的工作环境。

The Bank adheres to a people-centered philosophy, safeguarding the legitimate rights and interests of complainants and whistleblowers, maintaining the order of the reporting process, and implementing strict confidentiality measures for reporting matters. The Bank is committed to fostering a work

environment characterized by integrity, compliance, mutual supervision, and a balance of rigorous management with care and support.

信访电话：025-86775624

Telephone for complaint: 025-86775624

举报电话：025-86775622

Telephone for whistleblowing: 025-86775622

信件举报地址：江苏省南京市建邺区江山大街 88 号南京银行党风廉政室

Postal mail address: Party Discipline and Ethical Governance Office of Bank of Nanjing, No. 88 Jiangshan Street, Jianye District, Nanjing, Jiangsu

电子邮箱：cxjb@njcb.com.cn

Email: cxjb@njcb.com.cn

三、举报信息保密与举报人保护

III. Confidentiality of Whistleblower Information and Whistleblower Protection

(一) 举报信息保密

(I) Confidentiality of Whistleblowing Information

本行严格落实信访举报工作纪律和保密要求。实行重要信访举报件专人负责制，严控知情范围。指定专人保管举报材料，严禁私自外借或复印、摘抄信访举报材料，不得向无关人员泄露。需要转办的举报，应隐去举报人姓名、身份、单位等个人信息，并采取适当形式转达。不得将举

报材料转给被举报单位、被举报人。

The Bank strictly implements the operating rules and confidentiality requirements for whistleblowing report processing. Important reports are handled by designated personnel, strictly controlling the scope of individuals with access to such information. Specific personnel are assigned to safeguard whistleblowing materials, with unauthorized lending, copying, excerpting of such materials, or disclosure to irrelevant personnel explicitly prohibited. For reports requiring forwarding for handling, the reporter's personal information, including name, identity, and employer, must be kept confidential, and the case shall be transferred through appropriate channels. Reporting materials must not be forwarded to the accused organization or individual under any circumstances.

(二) 举报人保护

(II) Whistleblower Protection

1. 本行严禁打击报复举报人的行为。对打击报复举报人的行为，将给予责任人从重处理；触犯相关法律法规规定的，将依法移送司法机关处理。

1. The Bank strictly prohibits any acts of retaliation against whistleblowers. For any such acts, the individuals responsible will face severe disciplinary actions. For any violations of laws and regulations, the cases will be transferred to the judicial authorities for legal handling.

2. 与举报事项有利害关系的部门、人员应履行回避程序，不得参与调查及处理相关举报事项。

2. Departments or individuals with a conflict of interest related to the subject matter should follow recusal procedures and must not participate in the investigation or handling of the relevant report.

3. 接收和处理举报事项的相关知情人员应对举报人姓名、工作单位、家庭住址等有关情况及举报内容严格保密。

3. Personnel involved in receiving and handling reported matters must maintain strict confidentiality regarding the whistleblower's personal information, including name, employer, residential address, as well as the content of submissions.

四、举报处理程序

IV. Whistleblowing Procedures

本行信访工作在总行党委、行长室的领导下，按照“属地管理、分级负责，谁主管、谁负责”，依法依规、及时、就地解决问题与疏导教育相结合的原则办理。

The Bank's public complaint handling shall be conducted under the leadership of Party Committee of the Head Office and the President's Office, adhering to the principle of territorial jurisdiction and tiered accountability, direct managerial responsibility, and integration of legal actions, timely intervention, localized resolutions, and counseling and education.

涉及检举控告类的信访事项，依法依规转送交办至有

权处理单位妥善处理，切实维护举报人合法权益。

Whistleblowing reports and allegations must be promptly routed to the appropriate authorities for investigation and resolution, with robust safeguards in place to protect whistleblowers' legal rights and interests.

步骤 1 接收信访举报。

Step 1: Receive and register all whistleblowing reports.

步骤 2 有权处理单位处理。

Step 2: Route to authorized offices or departments for case processing.

步骤 3 跟踪督办。

Step 3: Monitor resolution progress and follow-up actions.

五、失实举报问责

V. Accountability for False Whistleblowing Reports

举报人不得滥用举报权利，不得诬告诋毁他人，应如实反映所举报的事项，不得有任何虚假陈述，不得恶意诽谤。根据调查核实情况，举报事项不属实的，本行将及时将结果告知举报人，并要求举报人对举报不实作出解释。本行将合理运用惩处手段惩处恶意举报等行为，严格落实责任追究制度。

Whistleblowers shall not abuse their whistleblowing rights or make false accusations against others. Reports must be truthful regarding the subject matter, with no false statements or malicious defamation. Where investigations confirm the reported matters

are not true, the Bank shall promptly notify the whistleblower of the findings and require the whistleblower to provide an explanation regarding the unsubstantiated accusation. The Bank shall appropriately apply disciplinary measures to address malicious accusations and other improper conduct, and rigorously enforce accountability mechanisms.

六、举报人义务

VI. Whistleblower Obligations

举报人提出信访事项应客观真实，对所提供材料内容的真实性负责，不得捏造、歪曲事实，不得诬告、陷害他人。举报人对所举报事项应提供明确的时间、地点、责任人及违法违规事件等相关要素。

Whistleblowers shall fulfill the following obligations: submitting complaints that are objective and factual, bearing responsibility for the authenticity of the materials they provide, and never fabricating, distorting facts, or making false accusations against others. Whistleblowers shall provide specific details regarding the reported matters, including date/time, location, responsible party, and violations of laws and regulations.

七、检视与更新

VII. Review and Update

本行将根据国家政策、监管要求、行业发展和内部管理需要，适时对本制度进行检视和更新。

Bank of Nanjing will periodically review and update the

policy in accordance with national policies, regulatory requirements, industry development and internal operational needs.