

Maintaining Internal Controls

‘New Samsung Securities Ethics Code’, Ethical Sales Regulations	<div>- Invigorating employee morality, strengthening compliance & ethical management systems</div>
Regulations of Committee on Inside Trading Operation guidelines on Internal Controls Committee Duties of Compliance Officer Operation guidelines on discretionary compliance units	<div>- Strengthening the Internal Controls Committee’s roles for sound management and stakeholder protection</div> <div>- Establishing discretionary internal controls systems on field work, examining internal controls, creating managerial units</div>
Management guidelines on work process Management guidelines on work manuals	<div>- Defining plans for systemic management of work processes and manuals</div>
Management regulations on financial accidents and other mishaps Management guidelines on business continuity plans	<div>- Setting up processes of promptly and systemically handling crises situations</div> <div>- Establishing plans for maintaining business continuity through minimization of work stoppage</div>
Regulations on employee trading of financial investment products Operation guidelines on Sanctions Review Committee	<div>- Strengthening the regulatory power of work manuals & guides by standardizing format regulations</div>
Guidelines established on the following: Operating Internal controls on financial conglomerates Managing inside trading Detecting unfair trade practices Internal controls on short trading Investment advertisements Operating work separations	<div>- Internal controls strengthened to ensure the legality and soundness of transactions among financial conglomerates as well as their subsidiaries</div> <div>- The effectiveness improved of measures to detect unfair and short trade practices as well as questionable investment ads.</div> <div>- Separate operation plans devised for block deals highly likely to cause a financial crisis.</div>