

Strengthening Internal Control Culture & Employee Trading Rules

Strengthening Internal Control Corporate Culture

‘New Samsung Securities Ethics Code’ Sales Ethics adopted	<ul style="list-style-type: none">- Ethics code and regulations adopted (Aug., ’18) to invigorate employee morality and to strength ethical management
Back-to-basic & anti-conventional business practice campaigns held	<ul style="list-style-type: none">- Guidelines on maintaining the basics established and disseminated to employees.- Guidelines adopted on shortening meeting hours and work reports.
Business status shared	<ul style="list-style-type: none">- Sharing expanded among employees of information on business status and challenges- Growth vision shared through regular forums on business status
Employee compliance education expanded	<ul style="list-style-type: none">- Focus of employee education content shifted from prevention of irregularities to specialized financial investment- Education customized by HQ and branch on cases of financial irregularities
CEO messages on compliance and ethical management	<ul style="list-style-type: none">- Practical contents and sector-specific training expanded to promote a culture of voluntary compliance management.- Cases of internal/external financial irregularities disseminated to main and branch employees according to their respective work environment.

Limiting employee trading

Sensitive data-handling units prohibited from stock trading	<ul style="list-style-type: none">- Employees prohibited from personal gain based on inside information
Limits set on annual/cumulative amounts of stock purchases	<ul style="list-style-type: none">- To prevent extreme or unethical trades
All-or-none order prevention program implemented	<ul style="list-style-type: none">- Kill switch set on employee trade accounts in case of emergency