



# IJM GROUP

## Dawn Raid Policy – for Corruption Related Matters

(in the event of a raid by the Malaysian Anti-Corruption Commission)

<b>Title: Dawn Raid Policy</b>		
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Content Owner: Compliance Officer		



## 1) Introduction

- i) IJM Group means IJM Corporation Berhad ("**IJM**") and its subsidiaries (collectively referred to as the "**Company**") are committed to conducting its business in a legal and professional manner, with the highest standard of integrity and ethics. The Company practises a zero-tolerance approach against all forms of bribery and corruption, and upholds all applicable laws in relation to anti-bribery and corruption.
- ii) This Dawn Raid Policy ("**Policy**") outlines the approach of the Company in dealing with dawn raids, in relation to corruption related matters in the event of raids by the Malaysian Anti-Corruption Commission. This Policy should be read together with the Company's various policies & guidelines, including the ABCS Manual and its corresponding policies. In the event that this Policy conflicts with other policies in the Company, then the most stringent provision shall apply.
- iii) If you have any queries, please do not hesitate to contact:
  - a. Chief Compliance Officer ("CCO")  
Tel: 603-79858201  
Email: [siewyc@ijm.com](mailto:siewyc@ijm.com)  
  
Or
  - b. Fax: 603-79521200  
Email: [ijmwb@ijm.com](mailto:ijmwb@ijm.com)

## 2) What is a "Dawn Raid"?

A "dawn raid" is an unannounced, surprise visit (usually first thing in the morning) by the Malaysian Anti-Corruption Commission. The purpose for their visit is to seize and obtain certain items or documents that are relevant to their investigation.

## 3) Compliance with this Policy

- i) The Dawn Raid Flow Chart in paragraph 4 breaks down a dawn raid into different events ("**Event**") and sets out the various actions and responsibilities of the relevant stakeholders in a particular Event.
- ii) All employees must comply with the Policy and are expected to cooperate fully with the officials as instructed by the CCO and as set out in this Policy.
- iii) Any violation of this Policy will result in disciplinary action as applicable.
- iv) Any or all violations to this Policy will be reported to the General Manager – HR Department.



**4) Dawn Raid Flow Chart for Corruption Related Matters**

EVENT	STAKEHOLDER	ACTION
<p><b>Authorities arrive at reception</b></p>	<p><b>Receptionist/ Employee</b></p>	<ul style="list-style-type: none"> <li>✓ Identify which authority or regulator (“Authorities”) is conducting the dawn raid.</li> <li>✓ Record the name of the Authorities, their purpose of visit, number of the Authorities, date and time of the commencement and end of visit, and any other relevant information.</li> <li>✓ Ask for identifications and any documents of authorisation (“<b>Authorising Document</b>”). Take notes or a photograph of the documents where possible.</li> <li>✓ Call the Chief Compliance Officer (“<b>CCO</b>”) whose details are at paragraph 5.1. The CCO will notify the Division’s Compliance Officer (“<b>DCO</b>”)</li> <li>✓ Move the Authorities into an empty room and ask them to await the arrival of the CCO and DCO.</li> <li>✓ Inform the Authorities that you will promptly arrange for someone to assist them.</li> <li>✓ Deal with any immediate request of the Authorities (e.g restroom etc.).</li> <li>✓ Do NOT answer any questions other than to make polite conversation.</li> <li>✓ Request the Authorities to wait in a room for the CO and DCO to arrive to provide them with assistance. <b>However, do not prevent the officials from starting the investigation if they refuse to wait.</b></li> </ul>
	<p><b>CCO /DCO</b></p>	<ul style="list-style-type: none"> <li>✓ CCO to immediately notify the CEO &amp; Managing Director, Deputy CEO &amp; Deputy Managing Director and the Head of Division of the respective Divisions (“<b>Top Management</b>”)</li> <li>✓ CCO to notify the Company’s in-house legal and the Company’s External Counsel (see Paragraph 5.2).</li> <li>✓ If the Company’s External Counsel has not arrived:               <ul style="list-style-type: none"> <li>○ fax/email a copy of Authorising Document to the Company’s External Counsel and wait for them to arrive</li> </ul> </li> </ul>
	<ul style="list-style-type: none"> <li>✓ Ask for identifications (e.g: company badges, business cards) and any Authorising Document. Take notes or a photograph of the documents where possible.</li> <li>✓ If the Authorities refuse to present identifications, do not grant them access to the Company’s premises and notify the relevant Authority of the reason.</li> <li>✓ Meet the Authorities without delay.</li> <li>✓ Co-operating with the Authorities without consenting to a broader search than authorised by Authorising Document.</li> <li>✓ Assign the staff member to each Authority to follow them around and take notes on: (i) what is reviewed and/or seized, (ii) the areas searched, and (iii) the personnel that were interviewed and the content of the interview.</li> </ul>	



EVENT	STAKEHOLDER	ACTION
<p><b>Authorities want to seal premises / office / filing cabinet</b></p>	<p><b>CCO / DCO / Employees</b></p>	<ul style="list-style-type: none"> <li>✓ Co-operate with these requests where practicable.</li> <li>✓ Where compliance with the Authorities is not practicable, discuss an alternative arrangement with the Top Management.</li> <li>✓ Co-operate and comply with the same if the Authorities insist on their requests.</li> </ul>
<p><b>Authorities want access to documents</b></p>	<p><b>CCO / DCO / Employees</b></p>	<ul style="list-style-type: none"> <li>✓ Keep a record of the documents that have been inspected, copied, or taken away.</li> <li>✓ Do NOT volunteer documents or information that is not requested.</li> <li>✓ The Authorities may request to inspect or copy documents that are legally privileged. The Company's in-house Legal &amp; Contract Management Department should be consulted. If not, observe the general rule in the Policy.</li> <li>✓ Immediately notify the Authorities if there are any legally privileged documents.</li> <li>✓ Show Authorities only enough to make clear that the document is privileged.</li> <li>✓ If there is a question about the relevance of documents, those documents should be set aside before the inspection and refer them to the External Counsel.</li> <li>✓ Do NOT allow the Authorities to:               <ul style="list-style-type: none"> <li>○ review any legally privileged or personal documents. Inform External Counsel immediately.</li> <li>○ inspect or seize documents for which they do not have authority.</li> </ul> </li> </ul>
<p><b>Authorities ask questions about documents or their whereabouts</b></p>	<p><b>CCO / DCO / Employees</b></p>	<ul style="list-style-type: none"> <li>✓ Answer the question, but do not offer information which has not been asked for.</li> <li>✓ Take notes of questions asked and the answers given.</li> </ul>
<p><b>Authorities have technological requests</b></p>	<p><b>CCO / DCO / IS Department</b></p>	<ul style="list-style-type: none"> <li>✓ Ensure that all technological requests are cleared by the Head of IS Department, e.g.: (i) request for access codes/ password; or (ii) review/seize/copy relevant business materials.</li> <li>✓ Take detailed notes of all such technological requests, e.g. the name of the Authority and the request.</li> <li>✓ If the Authorities copy documents from computer without reviewing them, the device on which such documents are copied should be sealed and signed by the Top Management and the Authorities.</li> </ul>



EVENT	STAKEHOLDER	ACTION
<p>Authorities want to search employees' private premises</p>	<p>Employees</p>	<ul style="list-style-type: none"> <li>✓ Check for relevant Authorising Documents and Official Identification of the Authorities.</li> <li>✓ Inform Top Management and External Counsel and request for the Authorities to wait for them before commencing the raid</li> <li>✓ Co-operate with the Authorities and ensure actions comply with Authorising Documents</li> </ul>
<p>Authorities want to make on the spot interview/questioning</p>	<p>CCO / DCO</p>	<ul style="list-style-type: none"> <li>✓ Do not provide false or misleading information.</li> <li>✓ Limit answers to the scope of the question; objective facts; and/or your own actual knowledge.</li> </ul>
	<p>Employees</p>	<ul style="list-style-type: none"> <li>✓ Employees are not obliged to answer questions not within the Authorising Document.</li> <li>✓ Employees who do not have knowledge of underlying facts should decline, delay or postpone the interview and refer to CCO.</li> <li>✓ Only state facts that are true to the employee's own actual knowledge.</li> <li>✓ Note down in writing and communicate the content of interview to CCO.</li> </ul>
<p>Authorities about to leave</p>	<p>CCO / DCO</p>	<ul style="list-style-type: none"> <li>✓ Request and ensure that CCO has a detailed list of all documents/items that have been seized or copied by the Authorities and annex such list to the Report.</li> </ul>
<p>After the investigation</p>	<p>CCO / Top Management / Legal &amp; Contract Management Department</p>	<ul style="list-style-type: none"> <li>✓ Brief the Company's Top Management on the conduct of the Dawn Raid and the proceedings, the anticipated actions against the Company or its affiliates.</li> <li>✓ Keep a file of all documents and correspondence relating to Dawn Raid and the proceedings at the office and clearly mark such file as privileged documents.</li> <li>✓ CCO to liaise with the Legal &amp; Contract Management Department to discuss the Dawn Raid and any possible objections with the External Counsel and provide the External Counsel with all necessary documents and information.</li> </ul>



## 5) Key Contacts

### 5.1 Chief Compliance Officer (“CCO”)

NAME	PHONE	EMAIL
Siew Yee Ching	603-79858201	siewyc@ijm.com

### 5.2 External Counsel

Firm: Wong & Partners

ORDER	NAME	POSITION	PHONE	EMAIL
<b>Primary Contact</b>	Chew Kherk Ying	Partner	03-22987933 012-23343612	<a href="mailto:KherkYing.Chew@wongpartners.com">KherkYing.Chew@wongpartners.com</a>
<b>Secondary Contact</b>	Eddie Chuah	Partner	03-22987939 012-3209170	<a href="mailto:Eddie.Chuah@wongpartners.com">Eddie.Chuah@wongpartners.com</a>