

Routines for compliance cases Eqology

The following document describes the practices that shall follow any compliance warnings that may be addressed to the company.

If a Business Partner in the sales network or any corporate members of the company see any potential breach that they believe is not in compliance with the Business Partner Agreement nor ethical standards of the company, the following standard shall apply:

1. Send a request to the compliance team with a description of the potential breach at compliance@eqology.com. Note, that any potential breaches older than 24 months will not be considered subject to an investigation.
2. The compliance team will investigate the case reported and evaluate if there is any breach of BP agreement or ethical standards.
3. The compliance team will communicate with the Head of Sales regarding how to proceed with the potential reported breach and report back to a Business Partner how to proceed further.
4. The compliance team will share with the respective Business Partner and ask, within a reasonable time, to reset the potential error back to normal.
5. If the breach of BPA communicated is not reset within a reasonable timeframe, a plan will be put forward to discuss potential consequences with the Head of Sales. The Head of Sales will decide on possible actions if the breach is not closed.
6. The requester will be informed about the process and suggested actions taken.
7. If the potential error is reset within the requested timeframe, the case is closed. If the case is not completed within the suggested timeframe, the issue will be reported to the CEO of the company. The CEO, together with the Head of Sales and Compliance Manager, will evaluate how to proceed with the case.

Naturally, the objective with all cases reported is to be reset with good communication between the parties. Communication is critical in that sense and should at all-time be the priority to make people aware of potential errors and to be able to reset it back to normal industry standards and according to the agreement between the company and Business Partners (the agreement between Eqology and Business Partners).

Best regards



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