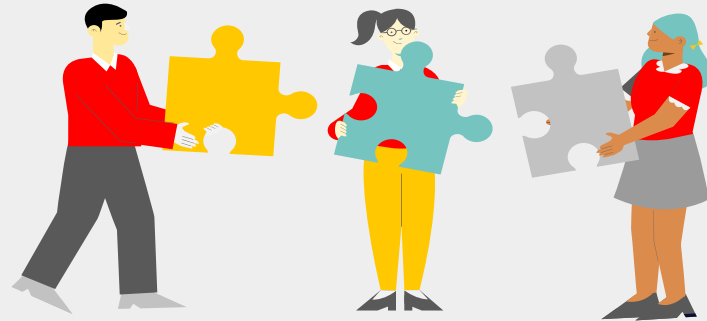


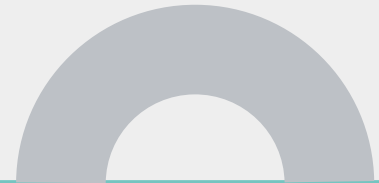


Raise compliance awareness

LOTTE'S CODE OF CONDUCT – C.O.C



Frequently cases
2023



Hãy mạnh dạn “làm sạch” môi trường làm việc LOTTE Mart

COMPLIANCE DEPARTMENT

CHIẾN DỊCH “LÀM SẠCH” LOTTE MART CLEAN LOTTE MART CAMPAIGN

Các Anh/Chị đồng nghiệp thân mến,

Phòng Tuần thủ gửi đến Anh/Chị thông tin chiến dịch CLEAN LOTTE Mart - “LÀM SẠCH” LOTTE Mart với những nội dung chính sau đây:

- Mục đích:**
 - Bảo vệ nhân viên công ty và trao cho cơ hội thông qua việc tự nguyện báo cáo các hành vi phi đạo đức của bản thân.
 - Nâng cao nhận thức về việc tuân thủ các nguyên tắc đạo đức của nhân viên thông qua chiến dịch CLEAN LOTTE Mart - “LÀM SẠCH” LOTTE Mart.
- Thời gian tiến hành:**
 - Từ ngày 15/10/2021 đến ngày 15/11/2021.
- Đối tượng áp dụng:**
 - Áp dụng cho toàn thể cán bộ nhân viên Công ty Cổ phần TTTM LOTTE Việt Nam.
- Nội dung chiến dịch:**
 - Công ty khuyến khích cán bộ nhân viên “TỰ KHAI BÁO” các vấn đề minh đang gặp phải đối với nhà cung cấp và trong công việc theo mẫu “Báo cáo vi phạm” đính kèm. Thông tin khai báo sẽ được bảo mật. Và chúng tôi ghi nhận báo cáo để ngăn ngừa các rủi ro xảy ra trong tương lai.
 - Đơn tự nguyện báo cáo sẽ thông nhất theo mẫu đính kèm và gửi về bộ phận Tuần Thủ của một trong hai hình thức sau đây:
 - Email: compliancelottevietnam@lotte.vn
 - Địa chỉ: Tầng 3, TTTM LOTTE Mart Nam Sài Gòn, 469 Nguyễn Hữu Thọ, P. Tân Hưng, Q.7, Tp. HCM.

**ĐỂ GIÚP MÔI TRƯỜNG CÔNG TY VÀ SIÊU THỊ TRỞ NÊN TRONG SẠCH HON,
RẤT MONG NHẬN ĐƯỢC SỰ HỢP TÁC CỦA TẤT CẢ NHÂN VIÊN LOTTE MART.**

Đối với các trường hợp tự nguyện báo cáo, tùy theo mức độ vi phạm mà có hình thức giảm nhẹ xử lý.

Trân trọng,
Phòng Tuần Thủ

Hotline : Compliance department (Contact number: +84 0909 386 810 /E-mail : compliancelottevietnam@lotte.vn)

NGUYÊN TẮC TIẾP NHẬN VÀ GIẢI QUYẾT BÁO CÁO

KHI THỰC HIỆN BÁO CÁO THỜI CÒI VI PHẠM, HÃY NHỚ

- Chỉ được gửi báo cáo cùng nội dung cho tới đa số cá nhân hoặc bộ phận của kênh tiếp nhận.
- Nếu gửi vượt quy định có thể bị xử lý theo nội quy lao động hoặc công ty sẽ tiến hành báo với Cơ quan có thẩm quyền để tiến hành các thủ tục tố tụng theo luật định.
- Báo cáo nội danh sẽ được đưa vào danh sách theo dõi.
- Trong thời hạn 03 ngày làm việc kể từ ngày nhận được yêu cầu cung cấp chứng cứ mà Người Báo cáo không cung cấp thì được xem là từ bỏ yêu cầu đã gửi.
- Các bên liên quan phải nghiêm chỉnh thực hiện hành động khắc phục sau khi TUD hoặc GDTT phê duyệt báo cáo.

BÁO CÁO THỜI CÒI VI PHẠM PHẢI CÓ:

- Cách thức liên hệ với Người báo cáo
- Nội dung rõ ràng, trung thực và dễ tiếp cận
- Có tài liệu, chứng cứ cụ thể về hành vi vi phạm hoặc có thông tin diễn biến sự việc
- Không mang tính chất trả đũa, không dùng những lời lẽ xúc phạm người khác

NGUYÊN TẮC BÁO MẬT THÔNG TIN

Công ty cam kết tuân thủ nghiêm ngặt việc bảo mật các thông tin của người báo cáo bao gồm cả thông tin đối tác, khách hàng, nhân viên

NGUYÊN TẮC KHÔNG TRẢ Đũa

Công ty nghiêm cấm thực hiện bất kỳ hành động trả đũa nào đối với việc báo cáo. Bất kỳ hành động cố gắng trả đũa hoặc trả đũa thực tế nào được phát hiện sẽ bị xử lý kỷ luật

KÊNH TIẾP NHẬN:

- Kênh tiếp nhận báo cáo áp dụng trên phạm vi toàn Công ty được Phòng Kiểm soát Tuần thủ quản lý:
 - Hộp thư điện tử: compliancelottevietnam@lotte.vn
 - Số điện thoại nóng: 0909386810
- Kênh tiếp nhận báo cáo tại khu vực:
 - Người giám sát, Quản lý của người báo cáo
 - Nhân viên phụ trách nhân sự
 - Đại sứ Tuần thủ tương ứng tại mỗi khu vực

Every day
NEW Store

TUẦN THỦ

THÁNG 09
2022

Nâng cao nhận thức tuần thủ thông qua việc cập nhật văn bản pháp luật, quy định, chính sách, quy trình, chia sẻ các trường hợp điển hình và truyền thông tuần thủ trong tháng.

CÁC CHÍNH SÁCH, QUY ĐỊNH

QUY TRÌNH KIỂM SOÁT NGỪNG VÀ HỦY GIAO DỊCH TẠI QUẦY THU NGÂN VÀ DỊCH VỤ KHÁCH HÀNG (OP-SV/QTKSNVHGD)

Người thực hiện	NGỪNG GIAO DỊCH	HỦY HÓA ĐƠN
Nhân viên Thu Ngân	<p>1. Thanh toán</p> <p>Phản ánh vi phạm</p> <p>Đang xử lý</p>	<p>1.1 Trả báo đơn (Quản lý)</p> <p>Phản ánh vi phạm của bộ phận</p>
NV TTTM SUP SEN TN Báo về tại POS	<p>2.1 Sử dụng MPOS để ngừng giao dịch</p> <p>Không xử lý được</p> <p>Xử lý được</p>	
Nhân viên FO Sáp FO Sen FO		<p>1.2 Kiểm tra xử lý</p> <p>1.4 HỦY HÓA ĐƠN</p>
ACC SM OPD		<p>Không đồng ý</p> <p>1.3 Phê duyệt</p> <p>Đồng ý</p>
Báo về khu vực POS	<p>2.2 Kiểm tra hình ảnh camera để xác minh và xử lý theo dõi</p>	
An ninh NBM SM SV		<p>3. Kiểm tra / Kiểm soát</p>

Nghệ vụ ngừng giao dịch

- Chỉ được thực hiện bởi Trung Tâm Thu Ngân hoặc quản lý bộ phận thu ngân (SUP, sen) bao gồm các trường hợp sau:
 - Khí thực hiện thanh toán thì xảy ra các tình huống lỗi thanh toán không thể xử lý được, cần ngừng lại giao dịch đang thanh toán và thu lại tiền hoặc đã đã scan qua máy POS với các lý do sau: thanh toán VNPay, lỗi thanh toán mobile, sử dụng thẻ và khách không mang tiền mặt, khách đã rút tiền nhưng không quay lại thanh toán, khách lấy thêm hàng nhưng không quay lại thanh toán, các đơn hàng bán hàng qua đối tác từ 3 bị hủy đơn, đối tác không nhận hàng.
 - Kiểm tra sản phẩm khuyến mãi, chương trình khuyến mãi theo giá đơn.

Nghệ vụ hủy giao dịch

- Chỉ được thực hiện bởi nhân viên FO tại duy nhất POS trả hàng ở quầy FO – khu vực phía ngoài cửa hàng bao gồm các trường hợp sau:
 - Khách hàng trả hàng (hóa đơn chỉ 1 mặt hàng).
 - Sai giá.
 - Các giao dịch liên quan đến chuyển giao nội bộ (chuyển giao sử dụng, chương trình PWP của MKT, xuất bãi mua hàng cho NCC, ...)
 - Xuất sai phương thức thanh toán và kế toán không thể điều chỉnh.

Chi tiết xem tại mục Quy trình Nội mạng : www.moinai.lotte.vn => PROCESS => Phần lõi doanh nghiệp => Operation => OSV

Chi tiết xem tại: <https://moinai.lotte.vn/MOINAI/Compliance> | Compliance Email: compliancelottevietnam@lotte.vn | Điện thoại: 0909 386 810 (Tiếp nhận giờ hành chính)

CAMPAIGN

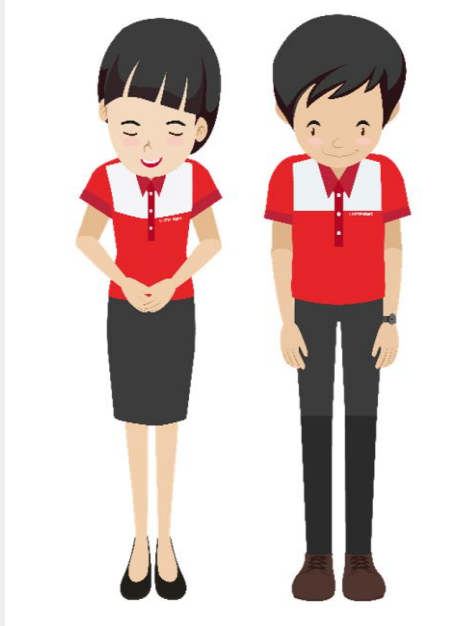
NEWS

WHISTLE

HOTLINE

Compliance Email:
compliancelottevietnam@lotte.vn
 Điện thoại: **0909 386 810**
(Tiếp nhận trong giờ hành chính)

Applicable objects of C.O.C

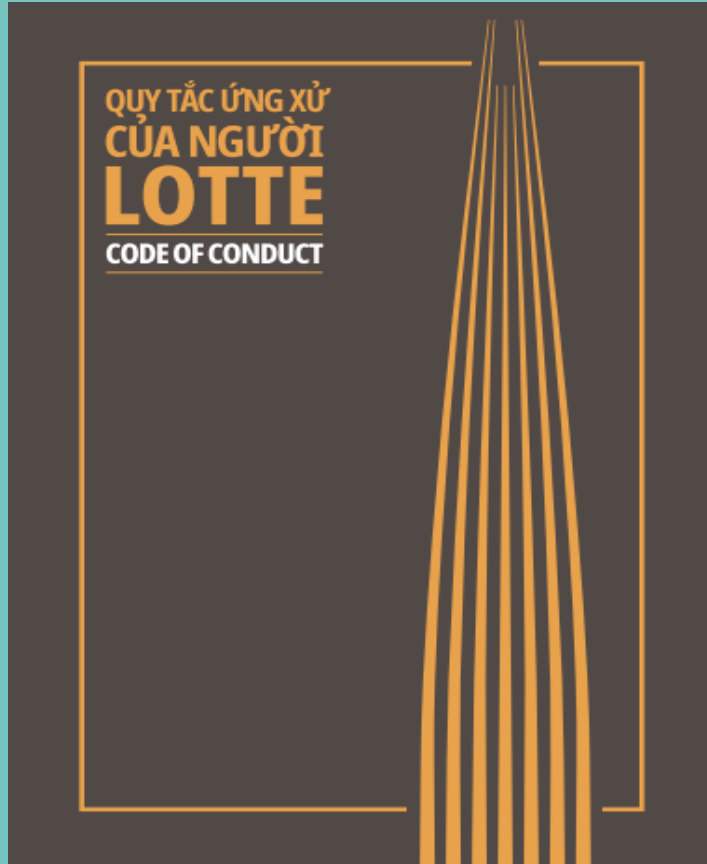


LOTTE's employees



LOTTE's Business partner

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1. Trust Relationship with Customers

2. Trust Relationship with Employee

3. Trust Relationship with Partners

4. Trust Relationship with Stakeholders

5. Trust Relationship with Partners

6. Frequent Situation

Trust with Our Customers

Making customers choose our products and services only with
the brand name of Lotte is the power of trust.

THEME

1

01 Providing the Best Products and Services

Be the first brand in customers' hearts.

02 Honest Marketing

Honesty is the easiest way of gaining customers' trust.

03 Protecting Customer Information

Customer information matters the most.

04 Protecting Our Brand

The best way to represent our brand Lotte to our customers is you.



1. PROVIDE THE BEST PRODUCTS AND SERVICES



Be the first brand in the customer's mind

- **MAKE UTMOST EFFORTS** in order.
- **PURSUE** the highest level of satisfaction for a price and quality.
- **CHANGE** to meeting the expectation of customers by, for example, quickly responding to the reasonable complaints of customers.
- **COMPLIANCE** with the legislation, policies, procedures in relation with hygiene and safety or quality of products.

- **DO NOT PURSUE** short-term profits by concealing products' defects.



2. HONEST MARKETING



Honesty is the easiest way
of gaining customers' trust

- **COMPLY WITH** the related laws and company regulations when marketing of products and services and communication with customers.
- **CHECK** carefully the content of PR material.
- **USE** words with clear meanings when marketing, advertising.
- **NOTIFY** promptly the relevant department when changing information about products and services.

- **DO NOT CRITICIZE** competitors' products and services. If it must be mentioned, be careful not to violate the competition law.



1. Best products and services
2. Honest Marketing

3. Customer Information Protection
4. Brand Protection



CUSTOMER INFORMATION PROTECTION

Customer information matters the most

- **PIORITY TO PROTECT** customers' information.
- **LIMIT THE ACCESS TO** customers'personal information for authorized person.
- **ONLY COLLECT** customers'personal information for business purposes and with customer consent.
- **SECURITY** of customer information is a fundamental duty of LOTTE employees at any level.
- **GUARANTEE** customers' information is confidential when providing a partner for work purposes.
- **MUST DESTROY** customers' information completely when it is no longer in use.

- **DO NOT COLLECT** customers' information illegal.



4. BRAND PROTECTION



For our customer,
WE ARE THE FACE OF LOTTE

- **BEHAVIOR OF EACH EMPLOYEE** is directly connected with the image of the company.
- **CONSULT** with the related division (Communication) about the purpose and details of the interview in advance when having an interview with the media.
- **MAKE CLEAR**, in the event of mentioning your personal opinion regarding the company, that it is not the company's opinion, but your own

- **DO NOT DISCLOSURE** confidential information regarding the company.
- **DO NOT SLANDER** our company, stakeholders or any related parties.
- **DO NOT DISTRIBUTE** false information, **ENCOURAGE** illegal/unlawful acts, **DISTRIBUTE** pornography, make a personal insult, swear and cause sexual **DISCRIMINATION**, etc.

Trust with Our Employees

Those who we are spending time with as much as we do with our family!
Those who we are hand in hand with and sweating together toward one purpose!
Those who are very precious to each other as another family!
It is trust that binds us together as one.

THEME

2

01 Equal Opportunity and Fair Treatment

We set apart between business and pleasure, and provide fair opportunity.

02 Mutual Respect among Our Members

We all are someone's precious family.

03 Gender Equality

Lotte is working for creating happy families and a fair workplace.

04 Safe Working Environment

Safety is the first priority in all circumstances.

05 Protecting Our Assets

The assets of the company are for all employees.

06 Protecting Our Intellectual Property Rights

We shall protect our intellectual property that we achieved by our sweat and effort.

07 Preventing Information Leakage

Information leakage begins with minor carelessness.



1. EQUALITY AND FAIRNESS



Set apart between business and pleasure
Provide fair opportunity

- **CREATE** a community in which has no discrimination.
- **DEVELOP** internal regulation & policies that suit to local law and the policy of LOTTE Group.
- **EVALUATE** everyone based only on their capability and performance.

- **DO NOT DISCRIMINATE** against gender, age, race, nationality or the region of origin, generation, religion, disability, ect.
- **DO NOT DISCRIMINATE** in the processes of recruitment, promotion, placement, salary, compensation, welfare benefits and education, etc.
- **DO NOT AFFINITY BIAS** in hiring.



2. MUTUAL RESPECT AMONG OUR MEMBERS



- **RESPECT** and **CARE** for your colleagues like your family.
- **CREATE** the culture where various opinions and values of various people are recognized – not judge.
- **BE CAREFUL** in words and actions .
- **DO YOUR BEST** to support other members.
- **RESPECT** outside working hours of employees.

- **AVOID WORDS** and **ACTIONS** that hurt or cause misunderstanding to others.
- **DO NOT SPEAK** or **TEXT** inappropriate content via phone, social media, SMS, email.
- **DO NOT JUDGE** others by your own way of thinking



3. GENDER EQUALITY



LOTTE
Is working for creating happy families and a fair workplace

- **WELCOME** and **CONGRATULATE** the maternity/paternity leave of your colleagues.
- **TREAT** men and women equally without discrimination.
- **REPORT** to Human Resources or Compliance Department if you suffered or witnessed the uncomfortable behaviors related to sexual harassment.
- **FIRMLY** and **STRICTLY** handle sexual harassment.
- **TRAIN** employees to prevent sexual harassment in the workplace.

- **BAN** any gender-related offensive conducts, sexual harassment and unwanted sexual contact.



4. SAFE WORKING ENVIRONMENT



Safety is the first priority in all circumstances.

- **ATTENDING** training for safety.
- **BE WELL AWARE** of safety-related regulations.
- **ESTABLISH** health and safety emergency response plans.
- **CONSULT** with management if you or your colleagues are having a hard time working normally due to health problems, psychological anxiety, etc.
- **COMMUNICATE** safety regulations to partners and ask them to comply.

- **DO NOT DELAY** handling occupational safety issues.
- **STRICTLY FORBIDDEN** to drink, buy or sell or use prohibited substances while working.



5. ASSEST PROTECTION



The assets of the company are for all employees.

- **PROTECT** the assets of the Company, our partners and competitors.
- **MANAGE** employees to ensure the completion of work on time.
- **OBTAIN APPROVAL** when using Company assets offsite or for non-business purposes.

- **DO NOT USE** the electronic equipment, phone, email, internet for private purposes.
- **DO NOT REQUIRE** employees to do things unrelated to the Company's work.
- **DO NOT DAMAGE, EMBEZZLE, STEAL, TRANSFER, DISCLOSE OF** Company information and **FALSELY REPORT** about costs.



6. PROPERTY RIGHT PROTECTION



We shall protect intellectual property that we achieved by our sweat and efforts.

- **RECORD, REPORT** and **MANAGE** accurately all information related to the company business - that is the intellectual property of the company.
- **COMPLY** with the regulations on the intellectual property rights protection.
- **KEEP CONFIDENTIAL** for the Company's intellectual property.
- **CHECK** the laws on intellectual property rights to ensure that the intellectual property of the company is also protected overseas.
- **RESPECT** the intellectual property rights of our partners, competitors and others.
- **INTELLECTUAL PROPERTY** made by employees is the property of the Company.

- **DO NOT ARBITRARILY USE, COPY, DISTRIBUTE, ALTER** the intellectual property of the Company.



7. INFORMATION LEAKAGE PREVENTION



Information leakage begins with minor carelessness.

- **USE ONLY** authorized software within the company.
- **USE ONLY** electronic equipment provided by the company is only for the company's business.
- **MANAGE your** work through the Company's security system within the Company.
- **SECURE** your password and change it every three months.
- **FREQUENTLY CHECK** whether a personal computer is infected with a virus.
- **CHECK** the recipient' address before sending the email, or set a password for attached documents when sending via email.
- **DELETE** the data related to the company business saved in your personal hard disk or electronic devices in the event of leaving the company or moving to another company.

- **DO NOT LEAK** important information of the Company.
- **DO NOT COPY, DISCLOSE** information or documents of the Company via email, USB...

Trust with Our Partners

Those who are united as one with partners through trust and those who are trusted by competitors are us, the members of Lotte.

THEME

3

01 Compliance with the Fair Trade Act

Fairness and trust is the power binding us and our partners as one team.

02 Respect for Our Partners

Mutual respect strengthens the relationship between us and our partners.

03 Fair Competition

Fair competition makes us stronger.

04 Lawful Information Collection

Information shall be collected in a lawful way.

05 Prohibition of Corruption and Improper Solicitation

Every favor is followed by a price, no matter how small it may be.



1. COMPLIANCE WITH COMPETITION LAW



Fairness and trust is the power binding us and our partners as one team

- **STRICTLY REJECT** unfair competitive practices. Regularly check and update local competition laws to ensure compliance.
- **STRICTLY REJECT** unfair competitive practices. Regularly check and update local competition laws to ensure compliance.
- **SELECT** a partner publicly in accordance with the objective criteria and specified procedures such as quality, prices and financial soundness.
- **CONSULT** with and gain approval from director when conducting business our partners where the executives and employees' relatives or friends are working, or any stakeholders

- **DO NOT ABUSE** the position to demand unfair trades or practices from counterparties.



1. Compliance with competition law
2. Respect for our partners
3. Fair competition

4. Lawful information collection
5. Prohibition of corruption and improper solicitation

2. RESPECT FOR OUR PARTNERS



Mutual respect strengthens the relationship between us and our partners.

- **RESPECT** and **TREAT** the executives and employees of our partners equally and fairly like those of Lotte. Respect the management policy and the executives and employees' working hours of our partners.
- **RESPECT** the management policy of our partners.
- **EXPLAIN** the provisions regarding Lotte's Code of Conduct and other policies to the partners, and request them to agree and comply to them.
- **SECURE** information and intellectual property rights of our partners.
- **ACTIVELY PROVIDE** partners with various growth opportunities, including HR development, quality improvement and technology development.

- **DO NOT TREAT** partners unfairly or treat based on the size of the partner.



3. FAIR COMPETITION



Fair competition makes us stronger.

- **COMPLY WITH** Competition Law. An act, which is allowed in a certain country, may be illegal in another country. Be fully aware of competition-related laws of each country in advance.
- **CONSIDER** carefully if it is necessary to cooperate with competitors.

- **DO NOT DO ANYTHING** that violates competition law. Do not not abet, condone and assist an illegal act.
- **DO NOT COMPETE** by prejudice to the reasonable choice of parties, by consent, covering up or obstructing legitimate competition.
- **DO NOT PARTICIPATE** in meetings with the competitors where the agenda is not clear. Even if participating in the meeting with a clear agenda, clearly show your intention to refuse the discussion when a dangerous subject begins to be discussed.



4. LAWFUL INFORMATION COLLECTION



Information shall be collected in a lawful way

- **CONSULT** with the Compliance Director in advance, especially since the direct collection/exchange of information with the competitors
- **NOTIFY** Compliance Department when someone anonymously provides competitor information.
- **ENSURE** that the “non-disclosure agreement” is contained in the contract with the partner and complies with.

- **DO NOT COLLECT** the information of our competitors:
 - ✓ Using your personal relationships or through our customers and partner.
 - ✓ An employee who has worked for our competitor.
 - ✓ Partners have relationships with competitors.
 - ✓ Require our partners to provide their technologies and related materials without any fair reasons



5. PROHIBITION OF CORRUPTION AND IMPROPER SOLICITATION



MONEY



MEAL



ENTERTAIN
-MENT



GIFT

Every favor is followed by a price, no matter how small it may be

- **DECLINE** any money and valuables provided by stakeholders and then clearly explain the related company regulations and spirit of Lotte. Notify the Compliance Department for instructions on how to handle when it is difficult to return gifts.
- **STRICTLY** comply with the Company's regulations on gifts and hospitality .
- **LEARN** the rules and customs regarding hospitality and gifts in the country of work or business. Seek prior advice and approval from Compliance.
- **NOTIFY** the Compliance Department when detecting/suspecting any acts related to bribery or corruption.

- **DO NOT REQUIRE** illegal demands from public servants. .
- **DO NOT GIVE/RECEIVE** any money or gifts to civil servants, partners or parties related to your work.

Trust with Our Stockholders

Members of Lotte, who grow together with Lotte, make and are committed to protecting the assets of stockholders and enhance the mid-and long-term values through the business process based on honesty and transparency.

THEME

4

01 Improving Stockholder Value

Lotte pursues the long-term improvement of stockholder value.

02 Preventing Conflicts of Interest

We think about the interests of the stakeholders.

03 Improvement of Accounting Transparency

Honest reporting makes our effort and passion more valuable.

04 Prohibition of In-house Trading

We shall not make unfair profit through intercompany trading.



1. IMPROVING STOCKHOLDERS VALUE



Lotte pursues the long-term improvement of stockholder value.

- **BE COMMITTED** to enhancing the profit of our stockholders through efficient and reasonable decision-making and transparent and sound management activities.
- **MODIFY** the Internal Accounting Control regulations and systems.
- **ACTIVELY COOPERATE** for audits or investigations to ensure independent supervision.
- **RESPECT** the due right of the stockholders as much as possible, and build a relationship of mutual trust with them.
- **CAREFULLY LISTEN** to the reasonable opinions of stockholders.

- **ACTIVELY GUARANTEE** the rights of minority stockholders



2. PREVENTING CONFLICTS OF INTEREST



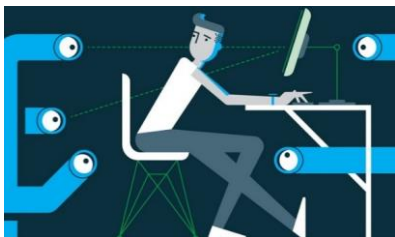
We think about the interests of stakeholders

- **REPORT** to the Company when any conflict of interest arises or concerns arise while working for the Company.
- **CONSULT WITH** the Compliance Department in advance in the event that there could be a conflict of interest between the executives and employees and the company or that it is unclear whether there is a conflict of interest.

- **DO NOT ACT** against the interests of the stakeholders such as the company and stockholders.
- **DO NOT MAKE** personal gains through the position of Lotte executives and employees; or making personal gains through the position of Lotte executives and employees.
- **DO NOT BECOME** the executive or employee of another company conducting the business in the same field or do not acquire the share of such company without the approval of the company.



3. IMPROVEMENT OF ACCOUNTING TRANSPARENCY



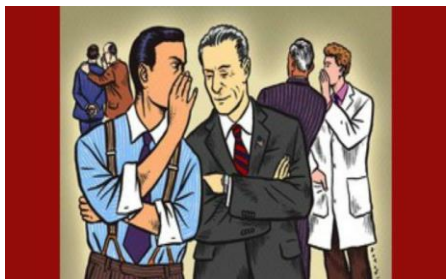
Honest reporting makes our effort and passion more valuable.

- **PREPARE** and **MANAGE** the accounting records in accordance with the authorized accounting standards.
- **CONSULT** with the director to review transaction is suspicious of manipulating the accounting documents or suspected as an individual, company or country having untransparent business practice, and reconsider such a transaction.
- **RECORD** time and expenses regarding the costs. The manager shall monitor the data on a regular basis in order to prevent the manipulation of accounting documents.
- **CONSULT** with the Compliance Department in the event that the supervisor instructs the manipulation of documents

- **DO NOT RECORD** any revenues or costs in advance or later in order to exaggerate the short-term performance or temporarily avoid a reprimand.
- **MANIPULATE** the accounting documents.



4. PROHIBITION OF IN-HOUSE TRADING



We shall not make unfair profit through intercompany trading.

- **PROTECT INSIDER INFORMATION** and information related work. Illegal providing insider information may violate the legitimate rights of shareholders.
- **PROTECT** the information of our partner(s) in accordance with the same standards applied to our insider information
- **CONSULT WITH** the Compliance Department even if you have owned the stocks of our partners before entering our company

- **DO NOT USE**, expect or provide the insider information provide the undisclosed important information.
- **DO NOT OWN** the stocks of our partners which have business relations with our company (apply for family members and relatives).
- **DO NOT CONDUCT** stock trading by using the insider information that you came to know at work.

Trust with Society

As a member of the society,
a company that is trusted by the society due to
its contribution and exemplary practice is a true company -
that Lotte is pursuing.

THEME

5

01 Environmental Protection

Nature is something we have borrowed from our future generation.

02 Creation of Social Values and Social Contribution

Sharing what is received from the society with society is our biggest pleasure.

03 Respect for Human Rights

Love and respect for humanity is an important value of Lotte.

04 Respect for Cultural Diversity

We can earn respect only when we respect others.

05 Compliance with the Laws of Each Country

We work to abide by the laws of each country and prevent crimes.

06 Separation of Politics and Economy

Politics and economy could fulfill their role when they are separated.



1. ENVIRONMENT PROTECTION



Use bags self-decomposing



Garbage classification



Use banana leave package

Nature is something we have borrowed from our future generation.

- **PRIORITIZE TO CONSIDER** negative environmental impacts when developing new products or changing processes.
- **ESTABLISH, PERIODICALLY INSPECT** and **COMPLY** with internal regulations to ensure our operations comply with environmental laws.
- **ENCOURAGE** employees to protect the environment through innovating ways of working and participating in environmental protection activities.
- **NOTIFY** partners and customers to comply with environmental protection regulations.

- **DO NOT USE** natural resources wastefully/ineffectively or let the amount of waste cause environmental pollution greater than the level required by law.



2. CREATE SOCIAL VALUES AND CONTRIBUTION



Sharing what is received from the society with society is our biggest pleasure.

- **SOCIAL RESPONSIBILITY** of LOTTE People is higher than other individuals.
- **IMPROVE SOCIETY'S TRUST** in the Company through fulfilling the social responsibility of each LOTTE Person.
- **RESPECT** local culture and values and contribute to improving the quality of life of the community.
- **ACTIVELY** support public activities in the fields of education, arts, culture and sports.
- **PARTICIPATE** in volunteer and disaster relief activities.
- **CREATE** social value from the Company's business activities, efforts and fulfillment of social responsibility.



3. RESPECT FOR HUMAN RIGHTS



Love and respect for humanity is an important value of Lotte.

- **RESPECT** human rights anytime, anywhere.
- **COMPLY** and require partners to comply with human rights values and standards.
- **MAKE SURE** business activities do not negatively impact human rights.
- **ENSURE** and support human rights in the countries we do business in.
- **AWARE** and comply with local labor laws.
- **CONSULT** with the Compliance Director if there is a need to hire employees under 18 years of age.

- **DO NOT USE** forced labor.
- **DO NOT USE** child labor.



4. RESPECT FOR CULTURAL DIVERSITY



We can earn respect only when we respect others.

- **OPEN COMMUNICATION** is very important anywhere.
- **RESPECT** laws, customs and manners depending on countries and regions.
- **APPLY THE PRINCIPLES OF “TRUST” EVERYWHERE.** We need to find out what local people think is important and we must also respect that so they can trust us.

- **DO NOT DISCRIMINATE** against local employees due to cultural differences.
- **DO NOT FORCE** local people to follow our values and customs.



5. COMPLY WITH THE LAWS OF EACH COUNTRY



We work to abide by the laws of each country and prevent crimes.

- **UNDERSTAND** and **COMPLY**:
 - ✓ Local laws and regulations apply to the work in charge.
 - ✓ Laws and regulations of the country to which you are assigned.
 - **CAREFULLY INSPECT** and **COMPLY** with the legal regulations on import and export in each country.
 - **CONSULT WITH** the Compliance Department before entering into negotiations or transactions with foreign organizations/governments.
 - **NOTIFY** Compliance Department when any money laundering is suspected or discovered.
-
- **DO NOT TRADE** with countries/organizations subject to economic and trade embargo.



6. SEPERATION OF POLITICS AND ECONOMY



Politics and economy can fulfill their role when they are separated.

- **NOTIFY** the Communications Senior Manager before contacting or potentially coming into contact with the media (press, television, etc.).
- **BE CAREFUL** when writing or commenting on mass media to avoid political misunderstandings.
- **MAKE SURE** that your position and position with the Company is not disclosed to avoid the perception that the Company is endorsing your participation in certain political/partisan meetings (if applicable).

- **DO NOT USE:**
 - ✓ The name LOTTE for political activities, interests of political parties or candidates.
 - ✓ Company resources or expenses to support organizations/politicians.



03

FREQUENT SITUATION

There are things you don't know
what to do

AWARE AND AVOID CONFLICT OF INTEREST

Q&A

RELATIVES AND COMPANY INTERESTS

I am an employee of the Purchasing Department. Can I introduce my relative's company to participate in the bidding to provide services for the Company?



You can do that, but you need to report the above relationship according to the company's regulations on declaring conflicts of interest. Additionally, you will not be allowed to participate in this bidding process.

AWARE AND AVOID CONFLICT OF INTEREST

Q&A

EMPLOYMENT AND BUSINESS INTERESTS OUTSIDE THE COMPANY



I received an offer from friends to contribute capital to establish a business that is providing products for LOTTE Mart. Should I accept?

You cannot own shares in our partner's business.



So can I run my own business (not in the same field as LOTTE Mart) outside of work?

It's possible. However, you are not allowed to use LOTTE Mart's resources (information, facilities or relationships) acquired while working for LOTTE Mart to serve your or another third party's interests. You also cannot supply products to LOTTE Mart or any of LOTTE Mart's suppliers.

RECEIVE BENEFITS FROM PARTNERS AND CUSTOMERS



The partner company sent a small box of moon cakes as a gift of gratitude to LOTTE Mart to the workplace and called me to receive it. The partner is very enthusiastic and the value of the gift is not great, so if you firmly refuse or send it back, it will be very embarrassing. Can I accept this gift?



You need to proactively explain the Company's regulations and politely refuse your partner's requests.

In case you cannot refuse, you may receive but notify the Compliance Department for handling according to the Company's internal regulations.



My immediate superior instructed me to receive gifts from my partner on behalf of me. How should I handle it?



Even if it is a request from your superiors, you must refuse to receive the gift or report it to the Compliance Department if forced to accept it. Please remember, even if you receive a gift once without reporting it and recording it, you can be disciplined.

COMPANY INFORMATION



I want to post photos taken with colleagues in the office on social networks. Is this allowed?

Taking and posting photos on social networks is not inherently a violation of regulations on ethical conduct. However, if taking photos of the office, in many cases the photographer will unintentionally record images of important documents in the office. Posting photos of your company poses many risks of information leaks, so it's best to limit this practice.



I read bad news about the company on social networks and wanted to leave a comment explaining the problem clearly. Can I do that?

Even if it is bad news about the company, you are not allowed to arbitrarily post news about the company on social networks. The company's official viewpoint may be different from an individual's opinion, and if the way of expression is not skillful, it will easily cause misunderstandings. Therefore, in this case you should notify the company's Communications Department for appropriate handling, do not rush to leave your personal opinion.



CUSTOMER INFORMATION



I am an employee of the Marketing Department. Recently, a friend of mine who works at a financial company asked me to share the company's customer information (only including names and phone numbers). This person commits that he only calls for advice, does not commit fraud, and will not cause any negative impact to Lotte. Can I provide such simple information?



You must not disclose customer information to any third party without the customer's consent, except in certain cases permitted by law (but employees must report and seek direction from the customer). competent authority before implementation).

When handling customer information, what do I need to pay attention to?

If you manage customer information on a computer, that computer must have a password set and must not be accessed by unrelated people. Customer information has expired and it is not necessary to consult with competent authorities before deleting. In addition, absolutely do not reveal your account or login password to the customer information management system to others. If you manage customers on paper, you must pay attention to preserving them in a fully secured place.

*Thank you for accompanying and creating
good values of LOTTE people.*

THANK YOU.