



Whistleblowing Hotline Report

2020

Whistleblowing Hotline

Intercorp Financial Services and its subsidiaries have a whistleblowing hotline that allows employees and stakeholders to report improper conducts, fraudulent practices, violations of internal policies, unlawful, unethical behavior or any other concern. The purpose is to capture as many concerns and potential breaches of our code of ethics as possible.

This hotline is managed by a third party in order to ensure anonymity, confidentiality, and data integrity. The hotline is accessible through multiple ways such as website, email, call center, and voice mail. In addition, an in-person reporting is available, where employees and stakeholders are free to speak face-to-face to a specialist in the outsource company or directly with the Compliance Team of IFS or its subsidiaries.

Compliance is responsible for managing the investigations and metrics. However, there is an escalation process up to the Board of Directors when allegations are related to Compliance or Top Management. Each report is addressed and resolved within the defined term according to the Corporate Policies on Whistleblowing Hotline Management.

Whistleblowing Hotline 2020

During 2020, IFS and its subsidiaries received **229 reports**, 42 of which qualified as breaches against the Code of Ethics.

The breaches against the Code of Ethics are distributed by subsidiary as follows:



Number of breaches against the Code of Ethics and related areas

The above mentioned **42** reports are related to the following areas:



Disciplinary actions

IFS and its subsidiaries took different actions for the 42 breaches against the Code of Ethics, according to the following detail:

