

Staff are encourage to report unethical behaviours anonymously through your internal process, 1800 speakup.

- a) How many reports have you received in the last 12 months?**
- b) How many of these have been independently investigated?**
- c) Of those investigated how many resulted in disciplinary action and how many resulted in termination?**

In order to respond to this question the “last 12 months” is the period between 1 October 2015 and 30 September 2016.

- a) The table below shows the volume of reports made to the SpeakUP Hotline in the last 12 months, and the subset of those reported anonymously and those protected under the Group Whistleblower Protection Policy.

Item	Total
Total reports via the SpeakUP Hotline	150
Matters reported anonymously via the SpeakUP Hotline	54
Matters reported via the SpeakUP Hotline where an individual sought protection under the <i>Group Whistleblower Protection Policy</i> *	31

**In some instances an individual who has elected to avail themselves of protection under the Group Whistleblower Protection Policy will have also elected to remain anonymous*

In addition to the SpeakUP Hotline, there are other channels available for our employees to make protected whistleblower disclosures, including to management.

- b) Commonwealth Bank’s Security and Advisory area receive and assess all matters reported via the SpeakUP Hotline. Matters that are assessed as requiring investigation are referred to Workplace Relations, or Group Investigations (within Group Security and Advisory) for investigation independent of the business unit.

In some instances, for example when perceived or actual conflicts of interest arise, a matter may be referred to an external investigation service for investigation. During the period under review, one matter was referred externally for investigation.

- c) Of the investigated matters reported via the SpeakUP Hotline during the last 12 months, nine resulted in disciplinary action (formal warning) and two in dismissal (termination).

Of the 150 reports made to the SpeakUP Hotline in the reporting period, 115 did not result in formal disciplinary outcome or dismissal for reasons including that the allegations reported were disproven or were not able to be substantiated (55), that informal action or other administrative action not of a disciplinary nature was taken (36) or because the call was referred to another area of Commonwealth Bank for appropriate action (24).

A further 24 matters included in the total number of reports are currently the subject of an ongoing investigation.