Policy applies to:  excluding 

Speak up policy – reporting concerns

DWF is committed to creating an environment where:

• everyone feels encouraged and comfortable raising a potential concern;	• you can remain anonymous, via the independent Speak Up Portal;
• you feel supported in doing so;	• you will not be treated unfairly for reporting genuine concerns; &
• concerns will be dealt with confidentially;	• concerns are taken seriously and investigated promptly, with action taken (as appropriate) based on the findings.

DWF is committed to delivering positive outcomes with our colleagues, clients and communities. As a global business, we must act responsibly; how we do business is just as important as what we do. However, every business is susceptible to things going wrong, including the risk of internal malpractice. You might be the first to realise or suspect something is wrong.

If something does not feel right, report it. We welcome the opportunity to look into concerns – only by knowing about a potential issue can we look to address it. Raising such concerns will help ensure that as a business we act responsibly and maintain an open culture with the highest standards of integrity and accountability.

The Speak-Up Procedure should be followed for concerns relating to suspected wrongdoing or potential risks that have a wider impact (e.g. to the general public, clients, colleagues or DWF itself). It is for the most serious concerns - those that, if true and unresolved, could cause financial or reputational damage to DWF or result in potential claims, regulatory investigations, interventions or prosecution.

There are a number of specialist teams, for example, HR, Business Support, Data Protection, IT and Client Care that have resources to address certain issues or concerns under other group or local policies. For example, complaints about our service should be managed under the client or non-client complaints policy as appropriate. Anyone who reports genuine concerns about any of the following is protected from being treated unfavourably as a result of:

Document Classification: Internal	Version No:3.1
Policy name: Speak Up	Policy Owner: Chief Risk Officer
Authorised by: Audit Committee of DWF Group Limited	Effective Date: 21/09/2020
Last Review Date: 26/01/2026	Next Review Date: 26/01/2027
Jurisdiction: Group (excluding France)	Associated documents: Speak Up Procedure; Procédure d'alerte professionnelle; Change Log

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Speak up policy – reporting concerns

• a criminal offence such as fraud, theft, anti-competitive behaviour, bribery, corruption or money laundering;	• a miscarriage of justice;
• a danger to health & safety;	• breaches of legal obligations; or
• risk or actual damage to the environment;	• Someone covering up wrongdoing.

Personal grievances, for example bullying or discrimination, should be raised under the grievance or workplace environment policies and procedures, unless your concerns are in the public interest.

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