



# Employee Obligations and Reporting Principle

## Principle Statement:

3M employees and third parties to which this Principle applies are expected to know 3M's Code of Conduct and to comply with it. Employees must timely complete all business conduct courses and certifications assigned by the Ethics & Compliance Department.

Unless prohibited by local country law, 3M employees must promptly report all suspected violations of the law or 3M's Code of Conduct, including their own misconduct, by bringing their concerns to the attention of 3M management, 3M legal counsel, 3M's Ethics & Compliance Department, assigned Human Resources manager, or through 3M-Ethics.com. Supervisors and managers must promptly report all suspected violations of the law and 3M's Code of Conduct to their business unit's assigned legal counsel, the Ethics & Compliance Department, or their management. 3M does not tolerate retaliation for reporting violations or suspected violations of the law, or of 3M's Code of Conduct.

3M employees must fully cooperate with investigations of compliance issues.

## Purpose:

In order to ensure 3M can effectively prevent, detect and respond to violations of the law or the Code of Conduct, employees must know the Code of Conduct, comply with it at all times, and promptly report possible violations of the law or 3M's Code of Conduct.

This Principle applies globally to all employees and may apply to those acting on behalf of 3M. See the Compliance Principle for information on when a third party might be covered by the Code of Conduct Principles.

## Additional Guidance:

- Posters describing how to report a business conduct concern using 3M's helpline and 3M-Ethics.com must be posted in employee break areas or other suitable locations.
- 3M's Code of Conduct is posted on 3M's internal and external websites. For those 3M locations without access to the internet, management will provide printed copies of the Code of Conduct Handbook either directly or in convenient locations, such as in employee break areas or attached to employee bulletin boards.
- A list of options for reporting a suspected violation can be found in the "Report Concerns or Ask Questions" section of the Ethics & Compliance Department website. Reports through 3M-Ethics.com can be made anonymously in most countries.
- 3M employees are expected to fully cooperate with investigations or compliance issues.



- 3M does not tolerate retaliation of any kind for reporting a business conduct concern or cooperating with an investigation. 3M expects such reports to be made in good faith. This does not mean that the reporting employee must have all the facts; the employee should feel free to ask questions and to report any issue that causes concern without fear of retaliation. Reports or allegations that are knowingly false or malicious, however, are not in good faith and may be grounds for discipline.

**Penalties:**

Failure to comply with this Principle will result in discipline, up to and including termination from employment.