External Whistleblower Policy of TM Forum

Purpose
TM Forum, A New Jersey Non Profit Corporation (the “Organization”) strives to observe the highest possible standards of business and personal ethics, as reflected in the Organization’s adopted policies, Bylaws, and as required by applicable laws, rules, regulation, and common industry practices in the United States. The Organization encourages its members, either individuals and/or groups (the “Members”), and any other non-member professionals, suppliers, contractors, partners, and other third parties working with the Organization (the “Partners”) to report improper activities of the Organization and to protect Members and Partners from retaliation for making any such report in good faith. The Organization is committed to ensuring that all Members and Partners feel confident that they can report wrongdoing without any risk to themselves or their organizations. This Whistleblower Policy is intended to support an ethical and open environment, by encouraging and enabling Members and Partners to raise serious concerns about the occurrence of illegal or unethical activity internally so that the Organization can address and correct inappropriate conduct and actions.

Scope
This Whistleblower Policy provides a mechanism for the reporting and investigation of improper activities globally, wherever the conduct is identified. It applies to all Members and Partners, worldwide, and excludes the Organization’s directors, officers, employees and contractors (“Organization Employees”). Organization Employees should refer to the internal version of the Whistleblower Policy, which is available on the Organization’s Intranet.

Principles
Members and Partners have the right to report, in good faith and without suffering retaliation, any activity by the Organization that such Member or Partner reasonably believes is occurring, has occurred, or may occur within the Organization that is:

- a violation or noncompliance of any applicable law
- a violation of fiduciary responsibilities by a nonprofit corporation
- a crime or breach of rules or law including antitrust, fraud, and corruption
- a breach of any policy adopted by the Organization, including the Organization’s Antitrust Policy
- a breach of or failure to comply with the Organization’s governing documents
- questionable accounting or auditing practices
- the endangering of an individual’s health and safety
- damage to the environment
- deliberate concealment of information relating to any of the above
- misuse of information to further private interests or gain an unfair advantage
- improper or unethical conduct including discrimination
- anything else that would generally be considered by the Members or the Partners to not meet the high standards expected of business and personal ethics of the Organization

In addition, anyone can refuse to participate in an activity that would result in a suspected violation of or noncompliance with state, federal or local applicable law.
The Organization will ensure that sufficient resources are put into investigating any disclosure it receives. However, it is important for anyone contemplating making allegations to ensure that they are sincere and substantiated. No allegations should be made maliciously or with the knowledge that they are false.

No Retaliation
It is a violation of law and contrary to the values of the Organization for anyone to retaliate against any Member or Partner who in good faith reports a suspected violation or noncompliance with applicable law, or the Organization’s adopted policies, Bylaws, or regulations that govern the Organization’s operations. No one who in good faith reports such violation shall be subject to retaliation, harassment, or adverse employment consequences. The Organization will swiftly take appropriate corrective action to stop any retaliation. Any complaint of retaliation will be promptly investigated, and remedial action taken when warranted. Any Organization employee or contractor who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment status or termination of their engagement with the Organization.

Procedure
The Organization suggests that Members and Partners share their questions, concerns, suggestions, or complaints with a member of the Senior Leadership Team or the Organization’s legal counsel. If the Member or Partner, as applicable, is not comfortable speaking with a Senior Leadership Team member or the Organization’s legal counsel, the Member or Partner, as applicable, may file a written complaint with the Chief Financial Officer or the Chair of the Appointments & Governance Committee. The Organization’s recipient of such written complaint will notify the person who submitted the complaint and acknowledge receipt thereof. When making a disclosure, the Member or Partner is to please make clear which individuals or groups are believed to be involved with or implicated in the improper activity, and provide a comprehensive description of the improper activity at issue.

Senior Leadership Team members and the Organization’s legal counsel are required to report a complaint or concern about suspected ethical and legal violations in writing to the Organization’s Chief Financial Officer or the Chair of the Appointments & Governance Committee, each of whom has the responsibility to inform the Appointments & Governance Committee of the complaint or concern. The Organization’s Chief Financial Officer or the Chair of the Appointments & Governance Committee shall then investigate the reported complaint or concern and ensure appropriate corrective action is taken if warranted by the investigation. The Appointments & Governance Committee will oversee such investigation. A report will be promptly investigated, and appropriate corrective action will be taken if warranted by the investigation.

A Member or Partner may submit a complaint or concern on a confidential basis. The Organization commits to protecting the confidentiality of the complainant’s identity to the extent possible, subject to any disclosures the Organization must make (i) to regulators or law enforcement authorities to meet the Organization’s legal and regulatory obligations, and (ii) to legal practitioners for the purposes of obtaining legal advice or representation about whistleblower protections and the reported violation.
This Policy does not replace any other applicable reporting procedures. In particular, where a disclosure concerns a Member’s or Partner’s own organisation such Member or Partner, as applicable, should use its own organisation’s whistleblowing procedure. Any disclosure concerning a breach of criminal law should also be raised with the appropriate law enforcement agency. Breaches of antitrust law should be reported to the appropriate governmental competition authority.

15 March 2021