

COMPLIANCE PROGRAM MAIN CHALLENGES

- Business complexity;
- Global reach;
- Regulatory Diversity;
- Data Privacy;
- Cultural differences;
- Effective controls worldwide;
- Need for constant dissemination of na ethics and compliance culture to all stakeholders.




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OS VALORES EMBRAER

UNEM E GUIAM NOSSAS ATITUDES



Nossa gente é o que nos faz voar

Existimos para servir **nossos clientes**

Atuação global é a nossa fronteira

Ousadia e inovação são a nossa marca


Buscamos a **excelência empresarial**

Construímos um **futuro sustentável**




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ELEMENTOS DO PROGRAMA





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Leadership and Organizational Structure
Risk Management
Policies, Procedures and Controls
Training and Communication
Monitoring, Auditing and Helpline


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POLICIES, PROCEDURES AND CONTROLS

- Policies and Procedures with global applicability, adapted to the various businesses and jurisdictions:
 - Code of Ethics and Conduct;
 - Global Anticorruption Policy.
- Main control tools:
 - *Due Diligence*;
 - *Know Your Customer*;






POLÍTICA GLOBAL ANTICORRUPÇÃO DA EMBRAER

1. POLÍTICA

A Política Anticorrupção Global da Embraer (a "Política") obriga a Embraer S.A. e suas subsidiárias e afiliadas (coletivamente, "Embraer" ou a "Empresa"), em todas as operações ao redor do mundo, a conduzir negócios de maneira ética e com absoluta integridade. A Política exige o cumprimento do Código de Ética e Conduta da Embraer ("Código de Ética") e de todas as leis e regulamentações aplicáveis contra suborno e corrupção, incluindo, sem limitação a tanto, as leis do Brasil, a Lei contra Práticas de Corrupção.

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POLICIES, PROCEDURES AND CONTROLS – KYC

Customer: do Brasil KYC: 223

Status: Pending with Compliance Director

Compliance Agent:

Requester:

First Risk: 1.0 Actual Risk: 1.0

View

Send to Compliance Officer

Send to Chief Compliance Officer

Send to Compliance Committee

Approve

Reject

Share Compliance Officer Comments

History

Legal Rating

Transparency International

Transparency International is a global not-for-profit organization that works to combat corruption. It is a leading authority on corruption and has been instrumental in the development of the global anti-corruption framework. TI's work is based on the principle that transparency is the best way of guarding against corruption and helps increase trust in people and institutions on which our futures depend. See how Transparency can detect corruption in a range of areas.

[Learn more](#)

Purpose

Embraer, along with its subsidiaries and affiliates in all operations throughout the world, is committed to conducting business ethically and with the highest levels of integrity. That principle is stated in our Code of Ethics and Conduct, corporate values and internal policies, and guides Embraer's efforts to:

Applicability

This provision applies to Embraer, its affiliates, direct subsidiaries and all employees, partners and individuals working for or on behalf of Embraer.

- Know Your Customer ("KYC") procedure in effect since august 2017;
- Analysis based on risk factors (embargoed countries, corruption perception index, conflict of interest, government or private client and adverse media);
- "Screening" by Dow Jones;
- "Go Live" of KYC Portal in jan/2018.

JUR0066-06

Document that contains the KYC procedure for companies and individuals, available in DOCCON and in the Compliance Portal. It is a mandatory document for the Business Units as part of the Know Your Customer assessment.

[Access Now](#)

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TRAINING AND COMMUNICATION

- Online modules and F2F;
- Different formats (case studies, policy reading sessions, workshops, etc.)
- Customization of matters by function/business, defined upon risk assessment.



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Internal Communications Campaign, throughout all sites in Brazil and abroad and affiliates
2017-2018

VISUAL IDENTITY

35 big banners at industrial facilities
1.500 banners and posters in meeting rooms, office space, etc.

FOLDER | ETHICS FUNDAMENTALS

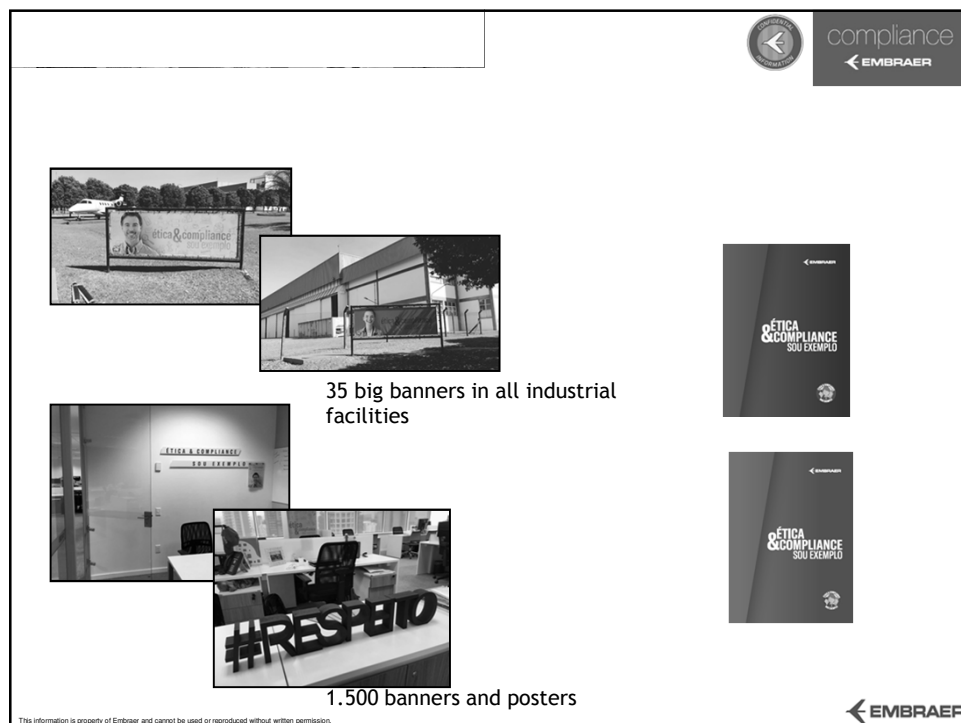
23.000 copies distributed

BANDEIRANTE MAGAZINE


20.000 copies distributed

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Folder with important concepts and principles to guide behavior, based on the Code of Ethics and Conduct


Nov and dec/2017
23.000 copies

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Special edition to strengthen ethical and compliance culture and become a reference in Brazil and the world

20.000 copies distributed
December 2017

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1ª TEMPORADA:

(RE) pense - O ASSÉDIO MASCARADO	(RE) pense - A OPORTUNISTA DE PLANTÃO	(RE) pense - O GESTOR DESCOMPENSADO	(RE) pense - O USURPADOR DE LOGINS
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2ª TEMPORADA:

(RE) pense O BEM-INTENCIONADO	(RE) pense A DISTRÁIDA DO ESCRITÓRIO	(RE) pense O AFANADOR DE IDEIAS	(RE) pense O GANHADOR DE VANTAGENS
(RE) pense O ELEITOR DESCUIDADO	(RE) pense A EMPRESÁRIA SEM LIMITES	(RE) pense O GALANTEADOR DO ALMOÇO	(RE) pense O ESTACIONAMENTO DESEJADO

Weekly series of stories based on real complaints from our Helpline


20 episodes launched

More than 50.000 visualizations

Launched in nov/2017

HELPLINE

103% increase in december of 2017, after first videos



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O ASSÉDIO MASCARADO

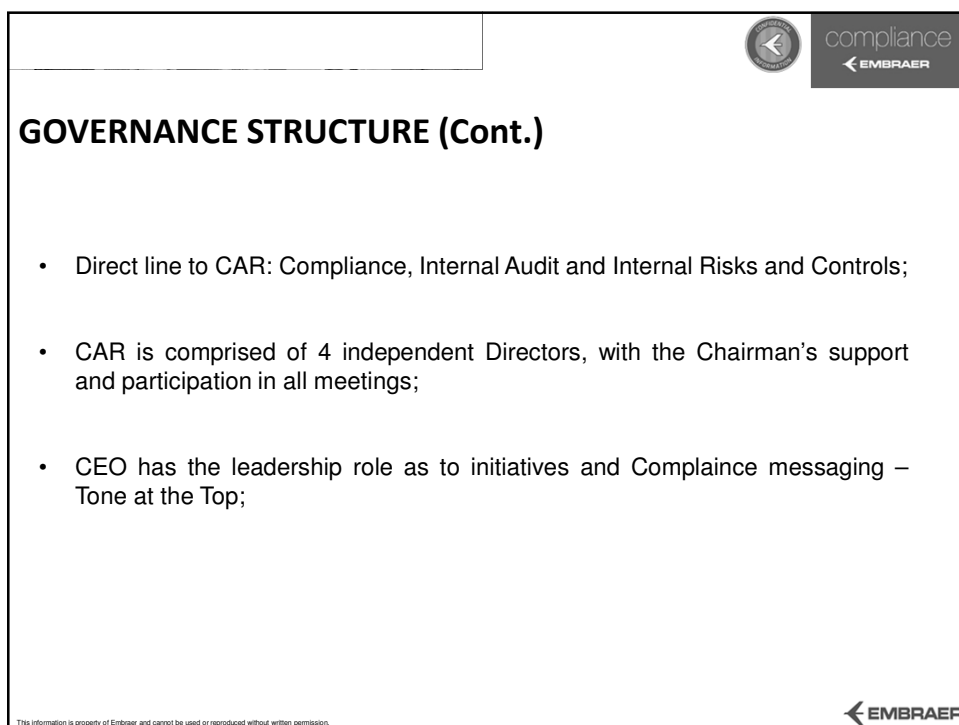
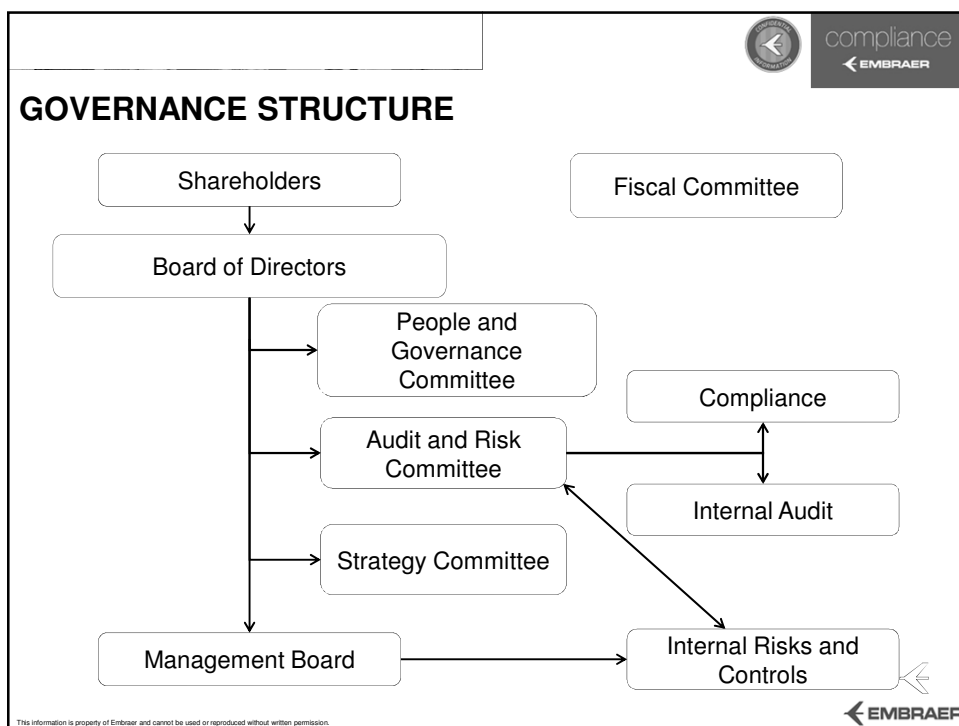
Oi Ana, Amiga, preciso te contar uma coisa antes que eu faça uma besteira. Sabe o Clodomiro Augusto, meu chefe? Então ele não para de falar gracinhas pra mim e para as outras meninas, aqui da área. Isso vem rolando há meses. Não aguento mais. De verdade, eu trabalho aqui há quase três anos e amo essa empresa, mas não está dando para segurar. Não são só elogios. Ele "teve a cara de pau" de colocar um apelido em mim, que não tenho coragem de repetir nem para você. Pra mim isso é assédio sexual, mesmo ele nunca tendo encostado a mão em mim. Ou será coisa da minha cabeça? Mas me falta coragem para denunciar. E se ele me demite? Parece que tem outros casos iguais. Me ajuda? Isso acontece com você também? Me ajuda amiga.


Julietta Carolina





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FCPA CASE

- SEC *subpoena* received on September 1st, 2010;
- Embraer collaborated with the authorities and voluntarily hired outside counsel in Brasil and in the US to investigate;
- More than 100,000 documents produced and more than 100 interviews;
- 4 transactions between 2007 and 2011 – Saudi Arabia, India, Dominican Republic and Mozambique, involving the sale of 16 aircraft;

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SETTLEMENT

- October 24, 2016 – simultaneously executed with DOJ/SEC and MPF/CVM;
- US\$ 205 million between fines and disgorgement;
- 20% discount for collaboration;
- It was the first FCPA settlement executed by the DOJ and the SEC with a Brazilian company.

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TURNING THE PAGE

- Transparency in the disclosure of the settlement;
- Utilize the case as example in training sessions, meetings, leadership townhalls, etc.;
- **#betheexample** campaign;
- **“Zero Tolerance”** policy implemented;
- Strengthen leadership as ethics role model (**Tone at the Top**);
- Compliance as a priority and job condition;
- New core value: “Ethics and integrity are at the core of everything we do.”
- **Helpline** as the main tool for detection of violations: **non-retaliation**;

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COMPLIANCE PROGRAM'S INITIATIVE AND SUSTAINABILITY


- The company is fully collaborating with the independent monitor. We view the monitorship as na opportunity to enhance our processes;
- **Ethics survey**, carried out by “Ethics and Compliance Initiative”, in the first half of 2017;
- Training sessions focused on gray zones, ethical dilemmas and lessons learned;
- **250 Compliance Agents** throughout the company globally, providing capilarity to the policies and procedures.



EMBRAER ETHICS SURVEY
Identify key strengths and areas of improvement regarding ethics and compliance




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HELPLINE


- ❖ Channel for reporting conduct deviations
- ❖ Global
- ❖ Available 24/7
- ❖ Confidential
- ❖ Anonymous
- ❖ Non-retaliation
- ❖ Independent investigation
- ❖ Disciplinary measures
- ❖ Think, Rethink videos

www.embraerhelpline.com



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LIVING WITH A COMPLIANCE MONITOR

- ✓ How can a company leverage the work of the monitor and minimize its disruption to the business?
- ✓ What happens during the different years?
 - Review compliance program and make recommendations [Year 1]
 - Implement recommendations, review discrete aspects of the compliance program, and make additional recommendations [Year 2]
 - Sustainability and certification, if appropriate [Year 3]
- ✓ Key considerations to have in mind during the term of the monitorship –
DON'T WAIT TO START IMPLEMENTATION

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