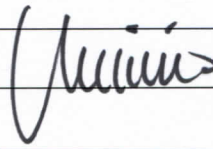
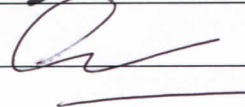




<b>POLICY</b>	<b>Confidentiality</b>	
<b>PREPARED BY</b>	General Manager - Human Resources	 
<b>APPROVED BY</b>	Chief Human Resources Officer	
<b>ISSUED DATE</b>	February 01, 2018	
<b>REVISED DATE</b>		
<b>POLICY &amp; PROCEDURES</b>		<b>REMARKS</b>
<p><b>1. Purpose</b></p> <p>Employees may have access to Confidential Information (as defined below), related to MSPTL's (Myan Shwe Pyi Tractors Limited) business. Information related to MSPTL's business includes information about MSPTL, as well as information related to MSPTL's customers, counterparties, or advisory clients (all of which are referred to as customers), Caterpillar ("CAT"), business partners, suppliers, and MSPTL's employees. Employees are responsible for the safeguarding of Confidential Information, whether it is information entrusted to them by MSPTL's customers, information regarding MSPTL's businesses and activities, or information about other employees.</p> <p>Employees may not, either during their period of service or thereafter, directly or indirectly, use or disclose to anyone any such Confidential Information, except as permitted by MSPTL's Code of Conduct and other policies applicable to them.</p> <p><b>2. Confidential Information</b></p> <p>"Confidential Information" means all and any information concerning MSPTL's business and finances, including without limitation, technical procedures and intellectual property rights, its customer, client and supplier lists, including details of prospective clients; its dealings, transactions and affairs; its products and services; contact details of clients, customers and suppliers; information about individuals within clients, customers and suppliers; financial projections, targets and accounts; pricing policies and pricing statistics; commercial activities, product development and future plans; and similar information concerning the MSPTL's clients, customers and suppliers, all of which information is acknowledged by employees to be: (a) Confidential to MSPTL; (b) Commercially sensitive in MPTPL's market; and (c) Potentially damaging to MSPTL's financial stability if disclosed to a third party.</p> <p>Examples of Confidential Information of MSPTL are as follows:</p> <ul style="list-style-type: none"> <li>- Unpublished financial information</li> <li>- Data of employees/Customers/Partners/Vendors/Suppliers</li> <li>- Patents, formulas or new technologies</li> </ul>		

- Customer lists (existing and prospective)
- Data entrusted to MSPTL by external parties
- Pricing/marketing and other undisclosed deals/strategies
- Unpublished goals, forecasts and initiatives marked as confidential
- CAT literature, manuals, software and training materials
- Documents and processes explicitly marked as confidential

### **3. Policy Statement**

#### **3.1 Information about MSPTL, its customers and its employees and others**

Employees must observe the following principles when dealing with information relating to MSPTL's business:

- (a) Assume that information that employees have about MSPTL and its business, or about its past, present, or prospective customers, suppliers, and employees, is confidential, unless the contrary is clear.
- (b) Treat all personal information about individuals as confidential.
- (c) Before sharing Confidential Information with others in MSPTL, be sure that employees are permitted to do so. Do not disclose confidential customer information to other employees who are not involved with the transaction or service for which the information was provided to MSPTL even if employees believe the disclosure might be useful in the context of other firm business unless employees are authorized to do so by MSPTL management.
- (d) Do not disclose Confidential Information to anyone outside MSPTL unless employees are authorized to do so by MSPTL management. Where such disclosure is authorized, a confidentiality or privacy agreement may be required and employees should check with their managers/ immediate superiors.
- (e) If employees are permitted by MSPTL management to share Confidential Information, employees should use their judgment to limit the amount of information shared and disclose it only on a need-to-know basis in order to provide the services MSPTL is engaged to provide. Employees should ensure that the recipient knows the information is confidential and has been instructed about restrictions on further use and dissemination.
- (f) Comment or provide information on matters related to MSPTL's business only if it is part of an employee's job function or an employee is otherwise authorized to do so.
- (g) Protect Confidential Information when communicating electronically for example, by email or through the internet.
- (h) Remember that all forms of communication are covered, including written, telephonic, and electronic communications such as website chat rooms, e-mail, and instant messaging.
- (i) Consult with a manager if employees have any question about whether information can be shared.



### **3.2. Special rules regarding customer information and data privacy legislation**

Each employee has a special responsibility to protect the confidentiality of information related to customers. This responsibility may be imposed by law, may arise out of agreements with our customers, or may be based on policies or practices adopted by MSPTL. Employees should be familiar with those responsibilities that apply to them. Customer information should never be disclosed to anyone outside MSPTL except as permitted by law and in the proper conduct of our business, where disclosure is required by legal process, or where the board of directors of MSPTL otherwise determines it is appropriate.

### **3.3. Publications, speeches, internet postings, and other communications relating to MSPTL's business**

Employees should not comment on or provide information relating to MSPTL's businesses, or to any subject matter that relates to their job responsibilities or expertise at MSPTL, in public forums (including internet chat rooms, networking sites, bulletin boards, blogs, etc.) unless employees are specifically authorized to do so by MSPTL management. The concept of "relating to MSPTL's businesses" is broadly defined and generally includes anything related to the equipment and machinery sale and leasing industry; MSPTL itself and its businesses; such matters as MSPTL's security, technology support, procurement practices, legal/regulatory/compliance issues, etc.; and MSPTL's customers, employees, or vendors.

Employees should also be alert to situations in which employees may be perceived as representing or speaking for MSPTL. Employees should not make any statements on behalf of MSPTL unless employees are authorized to do so by MSPTL management. Refer all media inquiries to the Marketing Services Office. Public testimony (as an expert witness or otherwise), publications and speaking engagements relating to MSPTL's business are subject to pre-clearance by MSPTL management. Summons, requests from law enforcement or regulatory authorities, media inquiries, product advisory boards, and requests from customers or suppliers for testimonials or endorsements should be handled in accordance with applicable procedures from MSPTL management. Before engaging in any of these activities, employees are required to consult their manager/ immediate superiors and the relevant policies and procedures.

### **4. Exceptions**

Confidential Information may occasionally have to be disclosed for legitimate reasons. Examples are:

- If a regulatory body requests it as part of an investigation or audit.
- If MSPTL examines a venture or partnership that requires disclosing some information (within legal boundaries).
- In such cases, employees involved should obtain all needed

authorizations from MSPTL management and document their disclosure procedure.

**5. Applicability**

This policy affects all employees, including interns and apprentices, who may have access to Confidential Information.

**6. Disciplinary Consequences**

Employees who do not respect this confidentiality policy will face disciplinary and, possibly, legal action. Disciplinary action shall be taken against any unintentional breach of this policy depending on its frequency and seriousness. Any employee who willfully or regularly breaches this confidentiality policy shall be terminated. This policy is binding even after separation from employment.

**7. Precautionary Measures**

The Management may take measures to ensure that Confidential Information is well protected.

The Management may, at its discretion;

- encrypt electronic information and safeguard databases
- ask employees to sign non-compete and/or non-disclosure agreements
- limit the authorization to allow employees to access certain Confidential Information