



Whistleblower Policy

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Board Ratification Date: 2-9-2023

Audit Committee Approval Date: 2-8-2023

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Who should read this?	Joint Whistleblower Policy:
All directors and employees of the Company	Each director and employee of the Company has an obligation to report in accordance with this Whistleblower Policy (a) questionable or improper accounting or auditing matters, and (b) violations and suspected violations of the Company’s Code of Conduct. This policy provides for the various methods of reporting such concerns.

I. OBJECTIVES

The objectives of the Company Whistleblower Policy are to establish policies and procedures for:

- The submission of concerns regarding questionable accounting or audit matters and potential violation of the Code by employees, directors and officers of the organization, on a confidential and anonymous basis.
- The receipt, retention, and treatment of complaints received by the organization regarding accounting and auditing matters, and the Code.
- The protection of directors and employees reporting concerns from retaliatory actions.

II. DEFINITIONS

The Company - Hope Bancorp, Inc. and Bank of Hope.

The Code - The Code of Ethics and Business Conduct and Director Code of Ethics and Business Conduct.

Concerns - Violations and suspected violations of the Company’s accounting and auditing policies, procedures and practices and the Code.

III. RESPONSIBILITY

Audit Committee

All reported Concerns will be forwarded to the Audit Committee in accordance with the procedures set forth herein. The Audit Committee shall be responsible for investigating and making appropriate recommendations to the Board of Directors with respect to all reported Concerns. The Audit Committee shall have the discretion to involve the General Counsel in the investigation of Concerns in order to provide for the attorney-client privilege with respect to such investigations.

Chief Internal Audit Executive

The Chief Internal Audit Executive is responsible for ensuring all valid whistleblower claims are reported to the Chair of the Audit Committee.

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IV. POLICY

Introduction

The Company Code requires directors and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. Employees and representatives of the organization must practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations.

Reporting responsibility

Each director and employee of the Company has an obligation to report in accordance with this Whistleblower Policy (a) questionable or improper accounting or auditing matters, and (b) violations and suspected violations of the Company’s Code.

No retaliation

This Whistleblower Policy is intended to encourage and enable directors and employees to raise Concerns within the organization for investigation and appropriate action. With this goal in mind, no director or employee who, in good faith, reports a Concern shall be subject to retaliation or, in the case of an employee, adverse employment consequences. Moreover, an employee who retaliates against someone who has reported a Concern in good faith is subject to discipline, up to and including termination of employment.

Reporting concerns

Employees

Employees should first discuss their Concern with their immediate supervisor, if possible. If, after speaking with his or her supervisor, the individual continues to have reasonable grounds to believe the Concern is valid, the individual should report the Concern to the Chief Internal Audit Executive. In addition, if the individual is uncomfortable speaking with his or her supervisor, or the supervisor is a subject of the Concern, the individual should report his or her Concern directly to the Chief Internal Audit Executive. The Chief Internal Audit Executive can be contacted through e-mail at whistleblower@bankofhope.com or through a dedicated telephone number (213) 406-0468.

The Company has also partnered with an independent third-party, NAVEX EthicsPoint, where the reporting individual can file a report (which the individual may choose to submit as a confidential and anonymous report), if they are uncomfortable using any of the above reporting channels. If reporting is made directly to the third-party provider, please ensure that you include the name of Hope Bancorp, Inc. or Bank of Hope.

Name of Third Party: Navex EthicsPoint
Internet: <https://bankofhope.ethicspoint.com>
Phone: (833) 416-6370

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If the Concern is reported verbally to the Chief Internal Audit Executive, the reporting individual, with assistance from the Chief Internal Audit Executive, will be requested to reduce the Concern to writing. The Chief Internal Audit Executive is required to promptly, and in any event within three business days report the Concern to the Chair of the Audit Committee. The Audit Committee is charged with the responsibility to investigate, or to oversee the investigation, of all Concerns, and unless otherwise determined by the Audit Committee under exigent circumstances, the Chair of the Audit Committee shall lead such investigation or oversight of the same on behalf of the Audit Committee and the Audit Committee shall have the discretion to involve the General Counsel in the investigation in order to provide for the attorney-client privilege with respect to such investigations.

Directors

Directors should submit Concerns in writing directly to the Chair of the Audit Committee.

Handling of Reported Violations

The Audit Committee shall address all valid reported Concerns. The Chair of the Audit Committee shall notify the Audit Committee of valid reported Concerns at the next scheduled Audit Committee meeting unless the Chair of the Audit Committee determines, in his or her reasonable judgment that reporting sooner is necessary under the circumstances surrounding a particular Concern in question. The Audit Committee Chair also has the authority to notify the President, Chairman of the Board of Directors, and/or the Chief Financial Officer of any such Concerns. The Chair of the Audit Committee or the Chief Internal Audit Executive shall notify the reporting person (if not an anonymous Concern), acknowledging receipt of the Concern as soon as reasonably possible, and in any event no more than ten business days after receipt of a valid Concern. However, it will not be possible to acknowledge receipt of anonymously submitted Concerns. Notwithstanding the foregoing, acknowledgements or responses shall not be required in the event a reported Concern is determined to be invalid, including, but not limited to, a phishing incident or other malicious cybersecurity attempt.

All valid reports will be promptly investigated by, or under the supervision of, the Chair of the Audit Committee on behalf of the Audit Committee. In addition, on behalf of the Audit Committee, the Audit Committee Chair shall have the discretion to involve the General Counsel in the participation of the investigation of any Concerns in order to provide for the attorney-client privilege with respect to such investigations, and appropriate corrective action will be recommended to the Board of Directors, if warranted by the investigation. To the extent determined to be advisable by the Audit Committee, taking into consideration such things as confidentiality, attorney-client privilege and other relevant considerations, part of the corrective action taken will include follow-up with the reporting person in an effort to provide closure to the reporting person of the Concern.

The Audit Committee Chair may delegate investigations to the Chief Internal Audit Executive, and each of the Audit Committee Chair and the Chief Internal Audit Executive may also consult with or request assistance from resources from other Company departments, including, without limitation,

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Human Resources. Additionally, the Audit Committee Chair is authorized to direct the Chief Internal Audit Executive to refer complaints (i.e., not Concerns) that relate to human resources matters for handling, investigation, and resolution by the Human Resources department. The Audit Committee has the authority to retain outside legal counsel, accountants, private investigators, or any other resource deemed necessary to conduct a full and complete investigation of the allegation.

Acting in good faith

Anyone reporting a Concern must act in good faith and have reasonable grounds for believing the information disclosed indicates an improper accounting or auditing practice, or a violation of the Codes. The act of making allegations that prove to be unsubstantiated, or that prove to have been made maliciously, recklessly, or with the foreknowledge that the allegations are false, will be viewed as a serious disciplinary offense and may result in discipline, up to and including termination of employment. Such conduct may also give rise to other actions, including civil lawsuits.

Confidentiality

Reports of Concerns, and investigations pertaining thereto, shall be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Disclosure of reports of Concerns to individuals not involved in the investigation will be viewed as a serious disciplinary offense and may result in discipline, up to an including termination of employment. Such conduct may also give rise to other actions, including civil lawsuits.

V. DOCUMENT HISTORY

<i>Date</i>	<i>Significant Changes</i>
07/01/2021	Updated the policy ownership from Human Resources Department to Legal Department
06/30/2022	No significant changes
12-21-2022	Change of whistleblower third-party vendor updates