

1. ICICI Group expects all its employees, officers and directors to act in accordance with high professional and ethical standards.

True

2. Rajneesh, is a Chief Manager in ICICI Group. He applied for a housing loan of an exorbitant sum which he was not eligible for. Surprisingly the loan was sanctioned. Does this amount to conflict of Interest?

Yes

3. Who is the sole judge to decide upon the categorisation of breaches and corrective actions?

The company.....

4. ICICI Group follows zero tolerance approach towards

Bribery and Corruption-----
Insider Trading

5. Employee medical information needs to be protected.

True

6. Your profile gives you access to information/database of I Bank customers which is required by your colleague in another department

You transfer data to the colleague as per his requirement.
Check and take permission if required from superiors or appropriate authority before doing so.

7. Any act which is against the ethos/culture of the company is a _____.

Gross/Serious Violation
Irregularity in a High Risk Area

8. The standards of the Code are simply what is prescribed by the regulators.

False

9. Sheetal, an ICICI Group employee accidentally stumbled upon some non-public information. She knows that the information is a valuable tip for any outsider. She is wondering if it is alright to share it with someone. What is your opinion?

It is not right to share the information with anyone. It is a non-public information and not meant for outsiders.-----

It is alright to share the information with anyone who can benefit with the information. After all, she did not dig in for the information; she just stumbled upon it accidentally.

10. Acts of ignorance which leads to leakage of confidential and proprietary information does not lead to investigation and probe against employees.

False

11. _____ has primary authority and responsibility for the enforcement of 'The Code'

HR department

Committee of Directors or an appropriate internal committee

The Head, Corporate Legal Group

Board Governance and Remuneration Committee

12. Priti, an ICICI Group Officer, is against selling a product that is profitable for the Group but not appropriate for the customer. Does this amount to conflict of Interest?

No

13. Before you accept a position as a director of an unaffiliated for-profit company or a professional organisation/ association outside ICICI Group, you need to take intimate

HR department

Committee of Directors or an appropriate internal committee

14. Exercise requisite _____ while accepting a customer and undertaking a transaction and make reasonable enquiries in case of doubt.

Due diligence-----

Escalation

Applicable procedures

15. ICICI Group does not do business with drug traffickers, money launderers and other criminals.

True

16. Using proprietary knowledge obtained through the course of employment to make investments that are not in the best interest of the ICICI Group is an example of

Personal investment that is contrary to the ICICI Group's interests-----

17. You will not be penalised by ICICI Group for delayed performance of a transaction solely on the grounds of

Refusal to pay bribes

18. Unauthorised use or distribution of proprietary information may result in potential legal and disciplinary actions.

True

19. The quality of our relationships with our suppliers and other external counter-parties has a direct bearing on our business.

True

20. Your obligation to protect the ICICI Group`s proprietary and confidential information

Applies only till you are a part of the Group

Continues only till the date your resignation is accepted

Severs on the date your layoff notice comes into effect

Continues even after you leave the Group----

21. ICICI Group expects that an employee shall not directly or indirectly convey or solicit or attempt to induce any employee or business associate to leave their current employment with the ICICI Group and join the service of the new employer or any competitor)

true

22. Prejudice an investigation by informing the person who is the subject of a suspicious transaction is a _____ action.

Correct Action

Deterrent Action----

23. It will not amount to an offence, if you undertake and/or facilitate transactions involving criminal activities in your ignorance.

False

24. Amendments to `The Code `must be approved by the

HR department

Board of Directors

The Head, Corporate Legal Group

25. Failure to report suspicious transactions despite having knowledge is an offence.

True

26. The standards of the Code guide on what must be done for every issue that may arise or every situation where ethical decisions must be made.

False

27. ICICI Group does not and is not responsible to assist law enforcement agencies.

False

28. We uphold the principle that advancement is based on talent and performance, but there is no commitment to equal opportunity.

False

29. To protect the integrity of ICICI Group and its subsidiaries and affiliates, it is essential that an employee can't be ICICI Group's Policy is to restrict his/her personal trading as per _____.

Insider Trading Code -----

Conflict of Interest Policy

Whistle Blower Policy

None of the above

30. An Employee must ensure that records, data and information owned, collected, used and managed for ICICI Group are accurate and complete.

True

31. You can make misleading reports, claims or statements to government/regulatory authorities to cover up on any lapses that could have occurred.

False

32. Withholding of increment is a form of _____.

Cautionary Action

33. The ICICI Group _____ conduct that implies granting or withholding favours or opportunities in return for compliance of the concerned individual.

discourages

34. As an ICICI Group employee, officer or director one must seek to avoid even the appearance of improper behaviour.

True

35. ICICI Group expects all its employees, officers and directors to act in accordance with high professional and ethical standards.

True

36. ICICI Group does not ensure diversity of workplace through efforts to recruit, develop and retain the most talented people from a diverse candidate pool.

False

37. Withholding of promotion is a form of _____.

Deterrent Action

38. _____ prohibits unwelcome advances, requests for sexual favours, or other verbal or physical conduct which unreasonably interferes with an individual's work performance or creating an intimidating, hostile or offensive working environment.

Insider Trading Policy

Conflict of Interest Policy

Whistle Blower Policy

Gender Neutral Policy-----

39. As per Personal Investment section of `The Code` `tipping` is Illegal.

True

40. At workplace you see misuse of ICICI group supplies/asset for personal use and mishandled by a specific department

Inform the department head about the mishandling and see that action is taken.-----

Caution the person misusing the supplies to tighten up.

It's not your department and cost of your department is under control and your department takes due diligence in using bank assets.

41. You can provide assistance to any other person to launder proceeds of any criminal conduct as per Anti Money Laundering

False

42. Non-maintenance of records that comes into your notice and any misappropriation or tampering of records needs to be reported to a ____.

Relevant authority

Compliance Group

Audit Committee

43. Misappropriation of ICICI Group Assets leads to breach of duty by the employee and may constitute an act of fraud against ICICI Group.

True

44. For privacy and confidentiality of ICICI Group's information, an employee of ICICI Group must not

Ans--- 1, 2 and 4.

45. Proprietary and confidential information about ICICI Group, a customer, supplier or distributor,

should not be disclosed to anyone

Ans-- a and b

46. As per our fair competition policy, we must not gather information about the competitors` products and services.

False

47. Conflicts of interest can occur if

Ans- a and b

48. During your visit to a retail dealer, you are offered an expensive gift as a good gesture. How would you respond?

Politely refuse and confirm that Bank has a policy and we do not accept gifts-+-----
Accept the gift and thank the dealer for the same and politely confirm that such formality is not warranted for
Accept the same and surrender it to the Gift Office post your visit.

49. You must observe standards of good taste regarding content and language when creating

Ans- a and b

50. How do we at ICICI Group, ensure that we know our customers?3

Ans- a and c

51. Which of the following should an employee, officer or director of ICICI Group need not ensure?

The workplace is entertaining for self and others

52. You must ensure that ICICI Group`s _____ include, full, fair, accurate, timely and understandable disclosure.

Public Communications

53. Smoking in a non designated area illustrates a _____.

Habitual Irregularity-----

54. conflict of interest- global can occur if

Ans – a and b

55. An employee must obtain approval from committee of directors

Ans- c and d

56. Undertaking outside activities, the following should not be for personal benefits
All of the above.

57. Our obligation to protect the ICICI Group's proprietary and confidential information continues even after we leave the group

58. ICICI Bank does not encourage open communication of issues and concerns of all employees, officers and directors.
False

59. Any concerns involving the head, CLG should be reported to the immediate supervisor.
False

60. Violations related to accounting, internal accounting controls or auditing matter should be informed to the audit committee of the board of directors.
True

61. Any waivers (including any implicit waivers) of the provisions in the code for executive officers or directors.
All the above

62. Amendments of the code must be approved by the ----- and will also be disclosed in the company annual reports.
BOD

63. The contact information of the company's non-management directors is available in
Both

64. Proprietary and confidential information include
all the above

65. Acts of ignorance which leads to leakage of confidential and proprietary information does not amount to a breach of "the code"
False

66. Unauthorized use of distribution of proprietary information may result in potential disciplinary actions.
True

67. A manager is negotiating on a deal with a government agency.....
Ans- 2

68. One day mitali
Ans- 1

69. How do we at ICICI group, ensure that we know your customer
Ans- a and c

70. How do we at ICICI Group, prevent Money Laundering
Ans- b and c

71. It is not an offense, to undertake and/or facilitate transactions involving criminal activities.
False

72. ICICI Group does not do business with drug traffickers, money launderers and other criminals
True

73. ICICI Group does not and is not responsible to assist law enforcement agencies.
False

74. As per the ICICI Group code, you must never make inaccurate or misleading reports, certificates, claims or statements to:
All

75. You must insure ICICI group's ----- include, full, fair, accurate timely and understandable disclosure.
Public communications

76. You must observe standards of good taste regarding content and language when creating
Ans- a and b

77. You are a manager of ICICI Group, lately you noticed
Ans- 2

78. As per our fair competition policy, we must not gather information about the competitors' products and services
False

79. We uphold the principles that advancement is based on talent and performance, but there is no commitment to equal opportunity
False

80. Personal relationships with contractors, suppliers and vendors has no bearing on the ICICI Group and, hence, should not be disclosed to superior.
False

81. The quality of our relationships with our suppliers and other external counter-parties has a direct bearing on our business.
True

82. icici group has a gender neutral policy that prohibits.
All

83. Employees, officers and directors of ICICI Group are prohibited from
Ans- a,b and d

84. Whose approval should you take before any form of interaction with the media?

Ans-- CBCG

85. What are the two main areas where employees are encouraged towards a responsible behaviour

Ans- a and b

86. Which of the following should an employee, officer or director of ICICI Group do not ensure

The workplace is entertaining for self and others

87. You must not take false (or misleading) statements to regulators/auditors/ICICI Group Representative during investigation

True

88. While escalating a significant violation, you cannot choose to remain anonymous.

False

89. ICICI Group code prohibits retaliatory action against an employee for making a good faith report.

True

90. Shivani.

She must escalate

91. Superior and manager should

All

92. Identify, from the following, the one thing that a superior or a manager must not do

ans- d

93. Which of the following violation of the laws must be specially avoided.

all

94. It is ICICI Group Policy to

All

95. Particular care should be taken to act legally in those areas where

ans- b and c

96. The areas considered as high risk areas are assessed by the

senior management of the bank

97. Theft, pilferage or any dishonest act falls under.

Fraudulent

98. Any act which is against the ethos/culture of the company is

Gross

99. Termination of services or dismissal of services is a form of\\

capital action

100. As per the employee declaration
all

101. in accepting a position with ICICI group or any of its subsidiaries, you become accountable for compliance with
all

102. A conflict of interest means-
to place the business interest

103. how many general principles are there for conflict of interest
Five

104. To follow the code of business conduct an ethics means
Avoiding the possibilities

105. using proprietary knowledge obtained through the course of employment to make investments that are not in the best interest of the ICICI Group is an example of
personal investment

106. because of the conflicts of interest that arise out of personal investment you will not
both a and b

107. What aspects should be included in proprietary and confidential information
All

108. proprietary and confidential information about ICICI Group, a customer, supplier or distributor should not be disclosed to anyone
Ans- a and b

109. If an ICICI Employee found to be involved in bribery and corruption, the employee would
Be subject to disciplinary action

110. to conduct your personal trading as per bank's code of conduct for prevention
Ans- a and b

111. how do you, at ICICI Group, ensure that you know customer
Ans- a and c

112. What are the principles objectives of ICICI Group Anti Money Laundering Policy
All

113. As per ICICI Group code, who u should not make inaccurate or misleading reports, certificate, claims or statements to

All

114. What is your responsibility in protecting the ICICI Group's assets
both a and b

115. What are the fair employment practices that ICICI Group committed to adopt
both a and b

116. What are the aspect that ICICI's Gender Neutral Policy prohibits
All

117. What are the steps that ICICI Group takes when an ethical issue is raised?
All

118. What are the special responsibilities of superiors and managers in ICICI Group?
All

119. what are the key irregularities the breaches can be broadly classified into
All

120. what are the steps involved in the disciplinary procedure
All

121. During the course of your normal work, you have observed an act of your colleague (in the same department) that is not within the interest of the customer. You would, in such a situation

Escalate the activity to HR and/or legal/compliance or through Whistle Blower mechanism for appropriate action to be against concerned employee

122. Use of official supplies and equipment for personal or political matters
Not Allowed

123. A person at a senior position is not complying or violating certain provision of the code which you have noticed. You would

1

2.....

3

