	<p align="center"><b>KEM ONE ALERT SYSTEM PROCEDURE</b> Articles 6 et seq. and 17 of the Sapin II Law</p>	<p align="right">PAGE 1/13</p>
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<b>APPLICATION</b>	<b>KEM ONE</b>
<b>V1</b>	14/09/2018
<b>Update V2</b>	15/11/2022
<b>Update V3</b>	09/09/2024

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## 1. PURPOSE

The Sapin II Law<sup>1</sup> establishes and regulates three channels for whistleblowing: (i) internal reporting, (ii) external reporting and (iii) public disclosure<sup>2</sup>.

The purpose of the present procedure is to define the modalities of the internal reporting system set up within KEM ONE, in accordance with the requirements of Articles 6 et seq. and Article 17-II of the Sapin II Law.

This internal whistleblowing system enables the reporting of any behaviour or situation likely to constitute a breach of the law, of the ethical code of conduct of KEM ONE or a breach of the general interest (see article 2 "Scope of the internal whistleblowing system").

This system allows everyone to be involved in risk prevention within the company.


Obstructing the transmission of an internal report can be punished by one year's imprisonment and a €15,000 fine.

The present system is complementary to those already set up: it is not intended to replace the other existing channels for alerting the company, in particular the hierarchical channel, employee representatives or, in the case of auditing, the statutory auditors.

The whistleblower may also make an external alert (either after having made an internal alert or directly) or a public disclosure, under the conditions defined in Article 8, paragraphs II and III of the Sapin II Law (see Appendix 3).

<sup>1</sup> Law No. 2016-1691 of December 9, 2016 on transparency, the fight against corruption and the modernization of economic life, as amended by Wasserman Law No. 2022-401 of March 21, 2022.

<sup>2</sup> Article 8 of the Sapin II Law.


	<p align="center"><b>KEM ONE ALERT SYSTEM PROCEDURE</b> Articles 6 et seq. and 17 of the Sapin II Law</p>	<p align="right">PAGE 2/13</p>
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## 2. SCOPE OF THE INTERNAL WHISTLEBLOWING SYSTEM

### 2.1. Scope of use of the internal whistleblowing system

Through this internal whistleblowing system, the following facts can be reported, as soon as they have occurred or are likely to occur:

	<b>Type 1 Alert Anti-corruption system</b>	<b>Type 2 Alert General Provisions on whistleblowers</b>
<b>Legal basis</b>	Art. 17-II of the Sapin II Law	Art. 6 et seq. of the Sapin II Law
<b>Facts subject to internal reporting</b>	<b>Any behaviour or situation that is in violation of the code of conduct against corruption and influence peddling</b> , appended to the internal regulations of each of KEM ONE's establishments (hereafter the " <b>Code of Conduct</b> ").	<ul style="list-style-type: none"> <li>- <b>Crime or offense,</b></li> <li>- <b>Threat or prejudice to the public interest,</b></li> <li>- <b>Violation or attempted concealment of a violation :</b> <ul style="list-style-type: none"> <li>- of an international commitment regularly ratified or approved by France ;</li> <li>- of a unilateral act of an international organization taken on the basis of such a commitment ;</li> <li>- of European Union law ;</li> <li>- of a law or regulation.</li> </ul> </li> </ul>
<b>Examples</b>	<i>Acts of corruption or influence peddling, breach of the Gift Policy.</i>	<ul style="list-style-type: none"> <li>- <i>Fraud, theft, swindling, abuse of corporate assets, breach of trust ;</i></li> <li>- <i>Money laundering, tax fraud, insider trading ;</i></li> <li>- <i>Anti-competitive practices ;</i></li> <li>- <i>Non-compliance with personal data protection rules;</i></li> <li>- <i>Discrimination, moral or sexual harassment, forced labour, violation of the freedom of association ;</i></li> <li>- <i>Environmental damage prejudicial to the general interest (e.g. leakage of a pollutant).</i></li> </ul>
<b>Who can report</b>  <b>Type 1 alert ?</b>  <b>Type 2 alert ?</b>	<b>Any natural person employed by KEM ONE</b>	<b>Any natural person</b> belonging to one of the following categories : <ul style="list-style-type: none"> <li>- <b>KEM ONE current and former employees</b> (provided that the information was obtained in the context of this former employment relationship) ;</li> <li>- <b>Individuals who have applied for employment with KEM ONE</b> (provided that the information was obtained as part of that application) ;</li> <li>- <b>Shareholders, partners and holders of voting rights</b> in the general meeting of KEM ONE ;</li> <li>- <b>Members of the administrative, management or supervisory bodies</b> of KEM ONE ;</li> <li>- <b>External and occasional collaborators</b> (such as temporary workers or individuals made available by a service provider) ;</li> <li>- <b>Employees and members of the administrative,</b></li> </ul>

	<p align="center"><b>KEM ONE ALERT SYSTEM PROCEDURE</b> Articles 6 et seq. and 17 of the Sapin II Law</p>	<p align="right">PAGE 3/13</p>
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		<p align="center"><b>management or supervisory bodies of KEM ONE's co-contractors</b> and their subcontractors ;</p> <p><b>provided that the information</b> relating to the fact(s) listed above <b>was obtained in the framework of his/her professional activity.</b></p>
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## 2.2. Uses excluded from the scope of the whistleblowing system

Under no circumstances may the system be used, whether as part of a Type 1 or Type 2 alert, to report facts, information or documents, regardless of their form or medium, that are covered by :

- national defense secrecy,
- medical secrecy,
- the secrecy of judicial deliberations,
- the secrecy of the investigation or the judicial inquiry,
- and the secrecy of relations between a lawyer and his client.

## 3. PROCEDURES FOR ACTIVATING THE INTERNAL WHISTLEBLOWING SYSTEM

### 3.1. Referral to the Ethics Referent or the Compliance Committee

Internal whistleblowing can be carried out by referring the matter to the KEM ONE Ethics Referent or the KEM ONE Compliance Committee.

#### Who is the Ethics Referent?

The KEM ONE Ethics referents are the following members of the KEM ONE Legal Department:

- Damien Saunier
  - Claire Garrigue-Guyonnaud.
- (hereafter the « **Ethics Referent** »)

#### What is the Compliance Committee?

Established on 24 June 2024 with the aim of strengthening the review, monitoring and implementation of ethics and compliance policies within the KEM ONE Group, the Compliance Committee is informed of, collects and decides on the action to be taken on alerts raised by management or by the various internal alert mechanisms deployed within the KEM ONE Group.

It has four members:


- The Chairman of Lune Bidco,
  - The General Counsel of KEM ONE Group.
  - The Administrative and Financial Director of KEM ONE Group,
  - The Director of Human Resources and Communication of the KEM ONE Group.
- (hereinafter the « **Compliance Committee** »)

The referral to the Ethics Referent or the Compliance Committee may be made either by post or by e-mail, as follows:

- Postal address: Immeuble le Quadrille, 19 rue Jacqueline Auriol 69008 Lyon. The envelope must be clearly and legibly marked with the words « **To the Exclusive Attention of KEM ONE Ethics Referent/ Compliance Committee (as applicable) - CONFIDENTIAL** ».
- E-mail address: [referent.ethique@kemone.com](mailto:referent.ethique@kemone.com) or [comite.conformite@kemone.com](mailto:comite.conformite@kemone.com).

If the alert can be made to both the Ethics Referent and the Compliance Committee, the Compliance Committee will centralise the alerts made and ensure that they are dealt with, in collaboration, if it so wishes, with the Ethics Referent.

If one of the members of the Compliance Committee is implicated, directly or indirectly, in the alert raised, his or her membership of the Compliance Committee will be suspended for the time required to deal with the alert.

	<p style="text-align: center;"><b>KEM ONE ALERT SYSTEM PROCEDURE</b> <b>Articles 6 et seq. and 17 of the Sapin II Law</b></p>	<p style="text-align: right;">PAGE 4/13</p>
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### 3.2. Contents of the whistleblowing

All whistleblowings must contain detailed and precise information to allow the Compliance Committee to deal with them.

The information given shall include, but not be limited to:

- Any proof that the whistleblower belongs to one of the categories of persons authorized to report the alert (see article 2.1 « Who can report a Type 1 and Type 2 alert? »)
- The identity and, to the extent possible, the position and contact information of the person(s) to whom the alert relates;
- The reported facts, accurately and objectively described, regardless of the form and support of the elements transmitted.  
Only facts shall be communicated that are:
  - (i) directly related to the scope of the whistleblowing system as specified in article 2 above
  - (ii) and of such a nature as to explain the purpose of the whistleblowing issued;
- Any element likely to support the alert made and, as far as possible, all supporting documents facilitating its examination.

The whistleblower may report anonymously, but it is strongly recommended that he/she identifies himself/herself by communicating his/her identity, position and contact details, in order to allow communication with the persons who will deal with the alert and thus facilitate its processing.

The confidentiality of the identity of the whistleblower is strictly ensured under the conditions set out in article 5.2 below. In the event of an anonymous alert, the Compliance Committee will be released from all its obligations to respond to the author of the alert.

A template letter for the Type 1 alert is attached as Appendix 1.

A template letter for the Type 2 alert is attached as Appendix 2.

## 4. PROCEDURES FOR HANDLING ALERTS

### 4.1. Acknowledgement of receipt

The Compliance Committee must acknowledge receipt of the alert in writing to the whistleblower within seven (7) working days of its receipt, and indicate the expected time required to examine its admissibility as well as the practical procedures by which the whistleblower will be informed of the action taken.


### 4.2. Analysis of admissibility

The Compliance Committee then analyzes the admissibility of the alert to determine whether it falls within the scope of the system.

To this end, the Compliance Committee may request any additional information from the whistleblower.

Should the alert not be admissible, the Compliance Committee will inform the whistleblower about the reasons why the alert does not fall within the scope of the system.

Should an alert be considered, upon receipt, as not falling within the scope of the system, all data transmitted in this context will be immediately destroyed or anonymized; the Compliance Committee will inform the whistleblower by any means.

	<p style="text-align: center;"><b>KEM ONE ALERT SYSTEM PROCEDURE</b> <b>Articles 6 et seq. and 17 of the Sapin II Law</b></p>	<p style="text-align: right;">PAGE 5/13</p>
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### 4.3. Investigation of the alert

Should the Compliance Committee consider the alert to be admissible, it may decide to investigate the alert by itself or to set up an *ad hoc* committee to do so.

The Compliance Committee, as well as the *ad hoc* committee, if any, are required to carry out their mission in an even-handed manner.

The membership of this committee, as established by the Compliance Committee, will depend on the nature of the facts reported. In any event, the members of this committee will only be provided with the necessary data to carry out their missions and will be bound by a strict confidentiality obligation.

The Compliance Committee (and, if any, the *ad hoc* committee) may request any additional information from the whistleblower.

The whistleblower will be informed, in writing, of the measures planned or taken to evaluate the accuracy of the allegations and, if necessary, to remedy the issue, as well as the reasons for the said measures.

This communication shall be made no later than three (3) months following the acknowledgement of receipt of the alert (see article 4.1 above) (or, in the absence of acknowledgement of receipt, within three (3) months following the expiry of a period of seven (7) working days following receipt of the alert), even if the investigation of the alert is not yet complete.

Upon completion of the investigation :

**(i) If the alert is substantiated and the allegations are proven :**

- KEM ONE will do everything in its power to remedy the situation;
- The Human Resources Department (HRD) may be notified and disciplinary and/or legal proceedings may be initiated if necessary.

**(ii) If the alert is proven to be unfounded, the facts reported are found to be inaccurate or unsubstantiated, or when the alert has become irrelevant:** the alert is closed (see point iv hereafter).

**(iii) If the alert is found to have been carried out in bad faith<sup>3</sup>,** the Compliance Committee -or the *ad hoc* committee- may notify the Human Resources Department, which may, if necessary, initiate disciplinary and/or legal proceedings against the whistleblower.

**(iv) Upon completion of the investigation,** regardless of its outcome: the Compliance Committee - or the *ad hoc* committee - informs the whistleblower, as well as the person(s) accused, in writing of this closure.

**(v) The Compliance Committee - or the *ad hoc* committee - may recommend the measures and actions that it deems necessary to implement following the handling of the alert.**

## 5. DUTIES AND PROTECTION OF THE WHISTLEBLOWER


### 5.1. Duties of the whistleblower

To benefit from whistleblower protection, the author of an internal alert must meet the following conditions:

- **Be a natural person:** the author of an internal alert cannot be a legal entity.
- **Report the alert without direct financial compensation:** although the whistleblower should not receive any direct financial compensation in exchange for the alert made, he/she may, on the other hand, find

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<sup>3</sup> See article 5.1 page 6 on the conditions of qualification of bad faith.

	<p style="text-align: center;"><b>KEM ONE ALERT SYSTEM PROCEDURE</b> <b>Articles 6 et seq. and 17 of the Sapin II Law</b></p>	<p style="text-align: right;">PAGE 6/13</p>
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another interest in it: for example, he/she is in conflict with his/her employer or a he/she is a victim of the reported offence.

**- Act in good faith:** any whistleblower must act in good faith. **Any misuse of the whistleblowing system in bad faith may expose its author to disciplinary sanctions as well as legal proceedings, it being understood that bad faith can only result from the knowledge of the falsity of the facts reported, and not from the mere fact that the facts reported are not established.**<sup>4</sup>

The use of the said system in good faith, even if the facts are subsequently proven to be inaccurate or do not give rise to any follow-up, will therefore not expose its author to any disciplinary sanction.

**- The reported information has been collected as part of his/her professional activity**, either on the basis:

- of a personal knowledge of the reported facts,
- or on facts reported by a third party, provided that their truthfulness does not seem to be questionable.

## 5.2. Whistleblower protection

Since the author of an internal alert meets all the conditions defined in article 5.1 above, he/she benefits from the following protections:

### 5.2.1. Guarantee of confidentiality

The procedures implemented to collect and process alerts guarantee the integrity and confidentiality of the information collected and processed in the context of an alert, and in particular the identity of the whistleblower, the persons targeted by the alert and any third party mentioned in it, at all stages of the alert processing and by all of its recipients.

Only members of the Ethics Referent and the Compliance Committee have access to the Ethics Referent/ Compliance Committee's e-mail, and all necessary elements for handling the alert will be stored in a directory only accessible to these members and ensuring traceability of access.

The number of people who handle alerts (the Ethics Referent and/or the Compliance Committee and, if any, the members of the *ad hoc* committee, members of the HRD and/or any experts assigned to the investigation) is limited and they are all subject to a strict confidentiality obligation.

Any access to information gathered in the context of an alert by other staff members is strictly prohibited.

Any person other than those designated above who receives such a report must immediately forward it to the Ethics Referent and/or the Compliance Committee.


The elements likely to identify the whistleblower cannot thus:

- never be disclosed to the person to whom the alert relates (even if that person would exercise his/ her right of access under the applicable regulations on personal data),
- be disclosed only with the prior consent of the whistleblower, except to the judicial authority if the latter so requests, in which case the whistleblower shall be duly informed (unless such information would jeopardize the judicial proceedings).

Any disclosure of such confidential information is punishable by two years' imprisonment and a €30,000 fine.

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<sup>4</sup> Court of Cassation, Social Chamber, July 8, 2020, appeal no. 18-13.593.

	<p style="text-align: center;"><b>KEM ONE ALERT SYSTEM PROCEDURE</b> <b>Articles 6 et seq. and 17 of the Sapin II Law</b></p>	<p style="text-align: right;">PAGE 7/13</p>
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### **5.2.2. Protection under labour law**

A whistleblower shall not be subject to any retaliatory action, threat or attempt to retaliate, based on the fact that he or she has reported an alert.

The whistleblower is thus protected, in particular against any disciplinary measure or prosecution in connection with the alert made, and against any direct or indirect discriminatory measure, relating to remuneration, training or professional development.<sup>5</sup>

### **5.2.3. Civil and criminal protection**

The whistleblower may also benefit from:

- Civil immunity: as long as the whistleblower had reasonable grounds to believe that the reporting of the facts was necessary to safeguard the interests at stake, he or she cannot be held civilly liable for any damage caused by the reporting (e.g. moral or financial damage suffered by the person targeted by the alert).
- Criminal irresponsibility<sup>6</sup> in case of :
  - o infringement of a secret protected by law,
  - o or the removal, misappropriation or concealment of documents or any other medium containing the information of which he has had lawful knowledge,
 provided that such disclosure was necessary and proportionate to the safeguarding of the interests in question.

### **5.2.4. Extension of the whistleblower's protection to those who helped him/her**

The following persons benefit from the same protection as the whistleblower:

- Any "facilitator", i.e. (i) any natural person or legal entity under private non-profit law (e.g. trade unions and associations), (ii) who helps the whistleblower to make a report ;
- Any individual in contact with a whistleblower who may be subject to retaliation in the course of his/her professional activity, whether by his or her employer, client or recipient of his/her services because of such reporting ;
- Any legal entity controlled by the whistleblower, for which he/she works or with which he/she is linked in a professional context.

## **6. RIGHTS OF THE COLLABORATOR TARGETED BY THE ALERT**

The Compliance Committee will inform the collaborator targeted by the alert of the recording of the data concerning him/her.

This information will specify :

- The existence of the alert,
- The facts of the alert,
- The possible recipients of the alert, in addition to the Ethics Referent and the Compliance Committee
- and how to exercise its rights of access and rectification.


This information must be sent to the collaborator within thirty (30) days of the collection of the data concerning him/her, unless protective measures are necessary (in particular to prevent the destruction of evidence) : in this case, the information of the targeted collaborator can only be sent after these measures have been taken.

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<sup>5</sup> Article 10-1 of the Sapin II Law

<sup>6</sup> Article 122-9 of the French Criminal Code



	<p style="text-align: center;"><b>KEM ONE ALERT SYSTEM PROCEDURE</b> <b>Articles 6 et seq. and 17 of the Sapin II Law</b></p>	<p style="text-align: right;">PAGE 8/13</p>
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The targeted collaborator may put forward his/her point of view to the Compliance Committee or to the *ad hoc* committee, if any.

The elements likely to identify the person targeted by an alert can only be disclosed (except to the judicial authority) once the validity of the alert has been established.

Any disclosure of such confidential information is punishable by two years' imprisonment and a fine of €30,000.

## 7. PROCESSING THE PERSONAL DATA COLLECTED

The personal data collected in the context of an alert will be processed by KEM ONE, as the controller, for the sole purpose of analyzing and processing the alert.

The Type 1 alert may only be used to report situations or behaviours that violate the Code of Conduct implemented within KEM ONE in the fight against corruption and influence peddling.

The Type 2 alert can only be used to report a crime, an offence, a threat or harm to the general interest, a violation or an attempt to conceal a violation of an international commitment ratified or approved by France, of an act of an international organization taken on the basis of such a commitment, of the law of the European Union, of the law or of the regulations.

If an alert is considered, upon collection, as not falling within the scope of the system, all data transmitted in this context will be immediately destroyed.

The alert system is purely optional : under no circumstance may a KEM ONE employee be blamed for not having exercised it.

The recipients of the data processed in the context of an alert are the Ethics Referent and the Compliance Committee.

The following will also be able to access this data :


- Any person authorized by virtue of his/her functions to be involved in the handling of the alert (in particular, where applicable, the *ad hoc* committee mentioned above), provided that this communication is necessary for the assessment or handling of the alert ;
- Where appropriate, external service providers specially entrusted with such tasks by KEM ONE, the Compliance Committee or the *ad hoc* committee, as well as members of the Human Resources Department.

In any case, prior to any communication of data to one of the above-mentioned recipients, a selection will be made among these data to ensure that the recipient only has access to the necessary data for the purpose of the communication.

Any person whose personal data is processed within the framework of this system has a right of access, rectification and opposition to the data regarding him/her, by contacting the Compliance Committee.

All useful precautions will be taken to ensure data security, either during their collection, communication or storage.




	<p align="center"><b>KEM ONE ALERT SYSTEM PROCEDURE</b> <b>Articles 6 et seq. and 17 of the Sapin II Law</b></p>	<p align="center">PAGE 9/13</p>
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Upon completion of the alert processing :

- If the alert does not result in disciplinary or legal proceedings, all data related to the alert will be destroyed or filed after anonymization.
- If disciplinary and/or legal proceedings are initiated, all personal data relating to the alert will be kept until completion of the proceedings.
- Data subject to filing measures are kept in a separate information system with restricted access for a period that cannot exceed the duration of litigation.

However, data relating to alerts may be kept beyond these periods, provided that the natural persons concerned are neither identified nor identifiable.

Any person whose personal data is collected and processed under this system has the right to lodge a complaint with the CNIL, 3 Place de Fontenoy - TSA 80715 - 75334 Paris Cedex 07.

	<p align="center"><b>KEM ONE ALERT SYSTEM PROCEDURE</b> Articles 6 et seq. and 17 of the Sapin II Law</p>	<p align="right">PAGE 10/13</p>
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## APPENDIX 1 – Template Letter - Type 1 Alert



### ALERT SET UP

#### AS PART OF THE FIGHT AGAINST CORRUPTION AND INFLUENCE PEDDLING

#### Article 17-II of the Sapin II Law

***This alert (Type 1 Alert) is exclusively intended for:***

- ***natural persons employed by KEM ONE***
- ***in order to allow them to report behaviors or situations that violate KEM ONE's anti-corruption and influence peddling code of conduct.***

First name, last name, position of the whistleblower: \_\_\_\_\_

KEM ONE Site of affiliation: \_\_\_\_\_

E-mail address and/or phone number (or any other contact information that allows the alert recipient to contact you) : \_\_\_\_\_

Description of the observed facts (in a precise, detailed and **factual** way):

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First name, last name, position of the person(s) involved in the reported facts: \_\_\_\_\_


If possible: KEM ONE Site of affiliation, e-mail address and/or phone number (or any other contact detail) : \_\_\_\_\_

You are kindly requested to attach to this form any supporting documents that you may have in order to substantiate the alert.

#### **This alert should be addressed to the Ethics Referent or the Compliance Committee:**

- (i) By e-mail : [referent.ethique@kemone.com](mailto:referent.ethique@kemone.com) or [comite.conformite@kemone.com](mailto:comite.conformite@kemone.com)
- (ii) Or by mail to the following address: To the exclusive attention of the Ethics Referent/ Compliance Committee, Immeuble le Quadrille, 19 rue Jacqueline Auriol 69008 Lyon, **The envelope must be clearly and legibly marked with the words « To the exclusive attention of KEM ONE Ethics Referent/Compliance Committee (as appropriate) - CONFIDENTIAL ».**

This form can only be used to report situations or behaviours that violate the code of conduct set up within the KEM ONE company in terms of the fight against corruption and influence peddling in accordance with the law n°2016-1691 of December 9, 2016. The information collected through this form will be processed by KEM ONE (Immeuble Le Quadrille, 19 rue Jacqueline Auriol – 69008 Lyon) for analysis and processing of the alert. The information provided in this form is purely optional ; under no circumstances may a KEM ONE employee be blamed for not having provided this data. The data is kept for the necessary period of time to process the alert, as well as, if necessary, until the end of the disciplinary and/or legal proceedings initiated as a result. The data is intended for the Ethics Referent, the Compliance Committee and any other person authorized by virtue of his or her duties to be involved in the processing of this alert. You have the right to access and rectify any information about yourself by sending an e-mail to the following address : [referent.ethique@kemone.com](mailto:referent.ethique@kemone.com) or [comite.conformite@kemone.com](mailto:comite.conformite@kemone.com). You are also authorized to lodge a complaint with the CNIL (3, Place de Fontenoy - TSA 80715 - 75334 Paris Cedex 07).

	<p style="text-align: center;"><b>KEM ONE ALERT SYSTEM PROCEDURE</b> Articles 6 et seq. and 17 of the Sapin II Law</p>	<p style="text-align: right;">PAGE 11/13</p>
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## APPENDIX 2 – Template Letter - Type 2 Alert

**ALERT SET UP**  
**AS PART OF THE PROTECTION OF WHISTLEBLOWERS**  
**Articles 6 et seq. of the Sapin II Law**



***This alert (Type 2 Alert) is exclusively intended for :***

***- to the natural persons listed below :***

- \* Current and former employees of KEM ONE***
- \* Individuals who have applied for employment with KEM ONE***
- \* Shareholders, partners and holders of voting rights in the General Meeting of KEM ONE,***

***\* Members of the administrative, management or supervisory bodies of KEM ONE,***  
***\* External and occasional collaborators,***  
***\* Employees and members of the administrative, management or supervisory bodies of KEM ONE's co-contractors and their subcontractors ;***

***+ if they have knowledge of the facts reported in the professional context.***

***- in order to allow them to report a crime, an offence, a threat or harm to the general interest, a violation or an attempt to conceal a violation of an international commitment ratified or approved by France, of an act of an international organization taken on the basis of such a commitment, of European Union law, or of a law or regulation.***

First name, last name, position of the whistleblower: \_\_\_\_\_

KEM ONE Site of affiliation: \_\_\_\_\_

E-mail address and/or phone number (or any other contact information that allows the alert recipient to contact you) \_\_\_\_\_

Description of the observed facts (in a precise, detailed and **factual** way) :

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First name, last name, position of the person(s) involved in the reported facts: \_\_\_\_\_

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If possible: KEM ONE Site of affiliation, e-mail address and/or phone number (or any other contact detail) : \_\_\_\_\_

You are kindly requested to attach to this form any supporting documents that you may have in order to substantiate the alert.

### **This alert should be addressed to the Ethics Referent or the Compliance Committee :**

- (i) By e-mail : [referent.ethique@kemone.com](mailto:referent.ethique@kemone.com) or [comite.conformite@kemone.com](mailto:comite.conformite@kemone.com)
- (ii) Or by mail to the following address : To the exclusive attention of the Ethics Referent/Compliance Committee, Immeuble le Quadrille, 19 rue Jacqueline Auriol 69008 Lyon, **The envelope must be clearly and legibly marked with the words « To the Exclusive Attention of KEM ONE Ethics Referent/Compliance Committee (as appropriate) - CONFIDENTIAL ».**

This form can only be used to report situations or behaviours that violate the code of conduct set up within the KEM ONE company in terms of the fight against corruption and influence peddling in accordance with the law n°2016-1691 of December 9, 2016. The information collected through this form will be processed by KEM ONE (Immeuble Le Quadrille, 19 rue Jacqueline Auriol – 69008 Lyon) for analysis and processing of the alert. The information provided in this form is purely optional ; under no circumstances may a KEM ONE employee be blamed for not having provided this data. The data is kept for the necessary period of time to process the alert, as well as, if necessary, until the end of the disciplinary and/or legal proceedings initiated as a result. The data is intended for the Ethics Referent, the Compliance Committee and any other person authorized by virtue of his or her duties to be involved in the processing of this alert. You have the right to access and rectify any information about yourself by sending an e-mail to the following address : [referent.ethique@kemone.com](mailto:referent.ethique@kemone.com) or [comite.conformite@kemone.com](mailto:comite.conformite@kemone.com). You are also authorized to lodge a complaint with the CNIL (3, Place de Fontenoy - TSA 80715 - 75334 Paris Cedex 07).

	<p style="text-align: center;"><b>KEM ONE ALERT SYSTEM PROCEDURE</b> <b>Articles 6 et seq. and 17 of the Sapin II Law</b></p>	<p style="text-align: right;">PAGE 12/13</p>
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### **APPENDIX 3**

#### Article 8-II of the Sapin II Law on external reporting

*« II.- Any whistleblower, as defined in I of article 6, may also send an external alert, either after having made an internal alert under the conditions provided for in I of this article, or directly :*

*1° To the competent authority among those designated by the decree provided for in the sixth paragraph of this II ;*

*2° To the Rights Defender, who will direct the complainant to the authority or authorities best able to deal with it ;*

*3° To the judicial authority ;*

*4° To an institution, body or agency of the European Union qualified to collect information on violations falling within the scope of the aforementioned Directive (EU) 2019/1937 of the European Parliament and of the Council of 23 October 2019.*

*A decree in the Council of State shall draw up a list of the authorities mentioned in 1° of this II, chosen from among the administrative authorities, independent public authorities, independent administrative authorities, professional orders and legal entities entrusted with a public service mission to collect and process alerts falling within their field of competence. This decree sets out the guarantees of independence and impartiality of the procedure and the time limits for the feedback carried out by these authorities to the authors of external alerts, under the conditions provided for in the aforementioned Directive (EU) 2019/1937 of the European Parliament and of the Council of 23 October 2019. It also specifies the procedures for closing alerts, the conditions for evaluating procedures and the training obligations of the persons involved.*

*The authorities referred to under 1° of this article II shall report annually to the Rights Defender on their activities. They shall provide him/her with the information required to draw up the report provided for in the penultimate paragraph of II of article 36 of the organic law n° 2011-333 of 29th March 2011 relating to the Rights Defender. The nature of this information shall be specified by decree in the Council of State.*

*When an external authority to which an alert has been referred considers that the alert does not fall within its competence or that it also falls within the competence of other authorities, it shall forward the alert to the competent external authority or to the Rights Defender, in accordance with the conditions set by decree of the Council of State. This decree also specifies the conditions under which the external authorities may exchange information in order to handle the alert. »*

#### Article 8-III of the Sapin II Law on public disclosure

*« III.- The protections provided for in this chapter shall benefit any whistleblower, as defined in article 6 I of this law, who publicly discloses information mentioned in the same I :*

*1° After reporting an external alert, whether or not preceded by an internal alert, without any appropriate measures having been taken in response to this alert at the end of the period for the feedback mentioned in the sixth paragraph of II of this article or, when an authority mentioned under 2° to 4° of the same II has been seized, at the end of a period set by decree in the Council of State ;*

*2° In the event of serious and imminent danger ;*

*3° Or when referring the matter to one of the competent authorities mentioned under 1° to 4° of the said II would put the author at risk of retaliation or would not allow the subject of the disclosure to be effectively remedied, due to the particular circumstances of the case, in particular if evidence may be*

*concealed or destroyed or if the whistleblower has serious grounds for believing that the authority may be in a conflict of interest, in collusion with the author of the facts or implicated in those facts.*

*Notwithstanding 2° of this III, the protections mentioned in the first paragraph of this III benefit any whistleblower, as defined in I of article 6, who publicly discloses information obtained in the course of his or her professional activities in the event of imminent or obvious danger to the general interest, in particular where there is an emergency situation or a risk of irreversible harm.*

*The 2° and 3° as well as the penultimate paragraph of this III shall not apply when the public disclosure is detrimental to the interests of national defense and security. »*