

Compliance

Speak Up

What is our Speak Up Policy?

FCI is committed to conducting business based on our core values of honesty, prudence, and responsibility driving our daily professional conduct and respecting applicable laws and regulations. No matter how committed we all are, we may fall short of living up to these core values under the circumstances. If and when you are confronted with deviant conduct, you are encouraged to speak up. Speaking Up is necessary to sustain our reputation, success, and commitment to our organisation's high standards of honesty, prudence, and responsibility.

Why 'Speak Up'

You are encouraged to speak up if you observe or suspect any misconduct. By doing so, you allow FCI to investigate the matter and take the necessary course of action.

Who can 'Speak up'?

Our Speak Up Policy is available to everyone working for or on behalf of FCI. It also applies to members of FCI who wish to address their concerns about possible misconduct within FCI.

What concerns are covered by this Speak Up Policy?

This Speak Up Policy should be used to report any suspected misconduct within FCI concerning:

- Bribery and corruption;
- Money Laundering;
- Violation of Financial Sanctions;
- Unethical or unprofessional business conduct;
- Violation of anti-trust laws;
- Insider trading and/or market manipulation;
- Facilitation of fraud or tax evasion also for members and Third Parties;
- Harassment;
- Sexual misconduct;
- Bullying;
- Incorrect adherence to the principles of Diversity and inclusion;
- Fraud;
- Misuse of confidential customer and Company data;
- Violations of applicable laws and regulations;
- Non-compliance with FCI policies and procedures;
- Violation of the FCI Code of Conduct;
- Other illegal or improper practices or behaviors.

Compliance

When to ‘Speak Up’?

FCI encourages you to Speak Up as soon as possible, ideally when the potential misconduct can still be prevented, or a situation escalates. If you know about or suspect misconduct, please Speak Up with the facts that are known to you.

Please avoid investigating the matter yourself.

How to Speak Up?

We strongly encourage you to raise concerns through one of the below functions:

- to the (deputy) Secretary General
- should you feel you cannot address the concern with your (deputy) Secretary General (e.g. because they are the subject of the disclosure), or if you are dissatisfied with the outcome of your disclosure, refer the matter to the Chairman of the Executive Committee (the Chairman has an oversight responsibility for making sure that complaints are dealt with independently and in an impartial and unbiased manner)
- should you not feel comfortable with reporting your disclosure to the above two functions, please address your concerns to the Internal Audit Committee (a fully independent FCI body, reporting solely and directly to the Council)
- as a last resort recipient, the External Auditors may also be approached with relevant disclosures.

In case of conflict of interest, the function that receives the Whistleblowing, must promptly escalate the subject according to channels laid out in this Policy.

Reports can be sent by the reporting party either indicating his/her identity or anonymously through the whistleblowing channels put in place by FCI. Whistleblowing channels provided are:

- Secretary General – email, physical meeting
- Chairman of the Executive Committee – email, physical meeting
- Internal Audit Committee – email
- External Auditors - email

All Reports, both oral or in writing, will be taken into serious consideration by FCI and the recipient of such disclosure has to send an acknowledgment of receipt to the whistleblower within no more than seven days receipt. If there is not sufficient evidence of Unacceptable Conduct, the whistleblower will be informed of the decision.

Once the investigation is finalized, the investigating party will prepare a report that should:

- Summarize the conduct of the investigation and the evidences
- Draw conclusions about the extent of any non-compliance
- Provide recommendations and suggest actions to remedy the non-compliance, which aim to ensure that it does not recur in the future

The reporting party will receive feedback about the follow-up to the Report, within three months from the acknowledgment of receipt of it or, if no acknowledgement was sent to the reporting person, three months from the expiry of the seven-day period after the report was made.

Compliance

External Whistleblowing

When can you blow the whistle?

We strongly encourage you to raise concerns internally through one of the available channels. Speaking Up internally allows FCI to investigate the matter and take the necessary action. However, in the event that you do not receive a response or support, you are entitled to report externally to the relevant authorities as set out in Dutch law.

What are FCI's Protection Measures for Persons Involved in Speak Up Process?¹

FCI grants the protection of the whistleblower and of the witness against any form of retaliation, including threats of retaliation and attempts of retaliation, discrimination or penalization as a result of having made the Report in good faith.

Any act of retaliation or discrimination against the whistleblower and the witness is forbidden and, if ascertained, it may lead to a disciplinary proceeding against the responsible individual and it could lead to sanctions and criminal proceeding by Authorities according to local laws.

FCI ensures that the person reporting the misconduct is not adversely affected in terms of work assignments or other work-related activities as a consequence.

FCI ensures the confidentiality of the personal information of the whistleblower, of the witness and of the concerned person (natural or legal person who is referred to in the disclosure as a person to whom the breach is attributed or with which he/she is associated) in all phases of the reporting procedure. FCI will maintain the confidentiality of whistleblowers, unless:

- the whistleblower consents to the disclosure;
- the disclosure is required by local laws (e.g. the need to involve authorities/police or it is essential for the defense of the concerned person); or
- the disclosure is necessary to prevent or lessen a serious threat to a person's health or safety.

¹ According to EU Directive 1937/2019, retaliation and attempts of retaliation include in particular the form of: a) suspension, lay-off, dismissal or equivalent measures; b) demotion or withholding of promotion; c) transfer of duties, change of location of place of work, reduction in wages, change in working hours; d) withholding of training; e) negative performance assessment or employment reference; f) imposition or administering of any disciplinary measure, reprimand or other penalty, including a financial penalty; g) coercion, intimidation, harassment or ostracism; h) discrimination, disadvantageous or unfair treatment; i) failure to convert a temporary employment contract into a permanent one, where the worker had legitimate expectations that he or she would be offered permanent employment; j) failure to renew, or early termination of, a temporary employment contract; k) harm, including to the person's reputation, particularly in social media, or financial loss, including loss of business and loss of income; l) blacklisting on the basis of a sector or industry-wide informal or formal agreement, which may entail that the person will not, in the future, find employment in the sector or industry; m) early termination or cancellation of a contract for goods or services; n) cancellation of a licence or permit; o) psychiatric or medical referrals.