

GUIDE TO THE USE OF THE ALERT SYSTEM

POMONA GROUP

1. Definition and purpose of the alert system

Independently of the specific and confidential whistleblowing system set up by the POMONA Group and described in this procedure, Employees retain the possibility of reporting a serious violation of the laws and regulations in force, which now constitutes behaviour contrary to the Code of Business Ethics, to their direct or indirect line manager, who must ensure, at all times, that his or her team complies with the applicable regulations and the ethical rules laid down by the Group.

Staff members (managers and employees) and external and occasional collaborators of POMONA may report any conduct or situation that they believe to be a clear violation of the POMONA Group's Code of Ethics falling within the scope of this alert system to the POMONA Ethics Committee, using the secure address : <https://pomona.signalement.net>

Law n°2022-401 of 21 March 2022 aimed at improving the protection of whistleblowers has also opened up this option to Pomona's co-contractors and former employees for information obtained in the context of their relationship with Pomona, as well as to any person who has applied for a job with Pomona.

The Pomona Group has appointed the Ethics Committee to collect and process these alerts in a secure and confidential manner.

The use of the alert system is optional. Failure to make use of the right to alert will not expose its author to any disciplinary sanction.

2. Scope of application of the whistleblowing system

The whistleblowing system allows any member of staff or external and occasional collaborator of POMONA to exercise his right to alert for any breach of the Code of Ethics and any violation or attempted concealment of a violation :

- of the laws or regulations in force,
- or international commitments duly ratified or approved by France,
- or of a unilateral act of an international organisation taken on the basis of a regularly ratified international commitment,
- or for any offence or crime,
- or for any threat or harm to the general interest,

All the above-mentioned persons may, in particular, use the whistleblowing mechanism to report any breach concerning corruption or influence peddling.

Facts, information or documents, whatever their form or medium, which are covered by national defence secrecy, medical secrecy, the secrecy of relations between a lawyer and his client, the secrecy of judicial deliberations, the secrecy of investigations and enquiries are excluded from the alert system.

3. Exercising a right to alert

3.1. Persons to contact

As part of the procedure for collecting and processing alerts, people wishing to exercise their right to alert must make their report via a dedicated and secure platform accessible at the following address: <https://Pomona.signalement.net>

In order to ensure the confidentiality of exchanges between the author of the alert and the Ethics Committee, exchanges will be made using this secure platform.

The Ethics Committee receives alerts. It is made up of a limited number of people responsible for collecting and processing professional alerts, who are specially trained and bound by a contractually defined obligation of confidentiality.

The Ethics Committee undertakes not to use the data for improper purposes, to ensure their confidentiality, to respect the limited period for which the data is kept and to destroy or return all manual or computerised personal data once the alert has been processed.

The following persons are members of the Ethics Committee

- Legal Director of the POMONA Group
- Director of Internal Audit of the POMONA Group
- Head of Social Affairs of the POMONA Group
- Compliance lawyer

3.2 Content of an alert

As far as possible, an alert should contain the following information

- Name of the person(s) involved and, if possible, their function and contact details,
- Description of the violation or incident concerned, including date, place and means used,
- Names of any witnesses who may be relevant to the internal investigation,
- Description and communication of any element or written document relating to the violation of the POMONA Group's Code of Business Ethics or making it possible to establish the existence of one of the facts mentioned in 2 of this User Guide.

3.3 Identification of the whistleblower

Any person who issues an alert may identify him/herself when issuing an alert by indicating his/her identity, position and contact details. Their identity will then be treated in strict confidence by the POMONA Group Ethics Committee under the conditions detailed in Article 4 below.

An alert from a person who wishes to remain anonymous may be processed provided that the seriousness of the facts mentioned is clearly established and the factual elements sufficiently detailed. Particular precautions shall be taken when dealing with such a warning.

3.4 Information to the whistleblower

The Ethics Committee shall inform the whistleblower as soon as possible of the receipt of the alert, as well as of the reasonable and foreseeable time needed to examine its admissibility and to process the alert. Confidential and secure communication is carried out using the reporting platform.

4. Confidentiality of the alert

The POMONA Group shall take steps to ensure strict confidentiality of the identity of the author of the alert, the persons concerned by it and the information gathered by all the recipients of the alert.

In the event that a member of staff or an occasional external collaborator of POMONA wishes to report an alert in writing, the written report must be provided in an envelope marked "Personal and Confidential". The Ethics Committee will then store it in a safe.

In the event that the envelope is given to a recipient other than the Ethics Committee as designated above, the latter shall deliver it to the Ethics Committee as soon as possible. The Ethics Committee will then store the letter in the safe mentioned above.

Information identifying the whistleblower may only be disclosed with the whistleblower's consent.

Information identifying the person concerned by the alert may only be disclosed once it has been established that the alert is well founded.

By way of exception, information relating to the identity of the whistleblower and the person to whom the whistleblowing relates may be communicated to the judicial authority. The whistleblower shall then be informed, unless such information would jeopardise the judicial proceedings.

In the event that, in order to deal with a whistleblower, the Ethics Committee is obliged to use the services of third parties, the POMONA Group shall take all necessary measures, in particular by requesting a strict commitment of confidentiality from those involved to guarantee the confidentiality of the information transmitted.

5. Internal investigations

The members of the Ethics Committee have the power to conduct an internal investigation into an alleged or potential violation of the Code of Business Ethics. They may be assisted by a lawyer or an expert third party who is bound by a strict obligation of confidentiality.

Each alert will give rise to a preliminary assessment treated confidentially by one or more members of the Ethics Committee in order to determine, prior to any investigation, whether it falls within the scope of the procedure. Any alert which is clearly outside the scope of the procedure, which is not serious, which is made in bad faith or which constitutes an abusive or slanderous denunciation, as well as any alert relating to unverifiable facts, shall be destroyed without delay. The author will then be informed.

An internal investigation shall be carried out in strict compliance with the applicable laws. In particular, the employee in question will be asked for his or her point of view on the facts reported. Similarly, the Ethics Committee ensures that the data collected is adequate, relevant and not excessive in relation to the purposes for which it is collected.

In this respect, the information collected by the Ethics Committee on the facts reported may be communicated to the Executive Board of the POMONA Group for the purposes of processing the alert.

All POMONA employees are obliged to cooperate fully with the internal investigation. This includes (i) cooperating in an interview by being honest, and (ii) keeping all information and documents necessary for the internal investigation confidential.

These provisions apply without prejudice to the legal provisions applicable to internal investigations, particularly in view of the prerogatives of the CHSCT in the area of prevention of occupational risks, accidents at work or occupational illnesses, and harassment.

6. Absence of sanctions or reprisals in the event of good faith use of the alert system

Persons authorised by law to make a report in good faith shall not be entitled to any remuneration, nor shall they be subject to any sanction or reprisal, even if the facts subsequently prove to be inaccurate or do not give rise to any follow-up.

POMONA's employees and external and occasional collaborators are invited to inform the Ethics Committee of any action that they consider to constitute a sanction or reprisal.

The POMONA Group undertakes to ensure that the whistleblower will not be sanctioned, dismissed or subjected to any direct or indirect discriminatory measure, particularly in terms of remuneration, training, reclassification, assignment, qualification, classification, professional promotion, transfer or renewal of contract, for having reported a whistleblowing incident in compliance with the law.

On the other hand, misuse (in a self-interested manner or in bad faith) of the system may expose its author to disciplinary sanctions, particularly if he or she is an employee, as well as to legal proceedings, particularly for slanderous denunciation.

7. Information and rights of persons identified in the context of the whistleblowing system

In accordance with the legislation in force on the protection of personal data, persons identified within the framework of the whistleblowing system have the right to access information concerning them and, if it is inaccurate, incomplete, ambiguous or out of date, to request its correction or deletion by contacting the Ethics Committee.

These persons may also, for legitimate reasons, oppose the processing of data concerning them.

These persons may not be given information concerning the identity of the whistleblower.

The person concerned by the alert is informed by the POMONA Group as soon as the personal data concerning him or her is recorded, whether or not by computer.

However, when protective measures are necessary, in particular to prevent the destruction of evidence relating to the alert, the person concerned is only informed once these measures have been adopted.

The information given to the person concerned by the alert specifies the entity responsible for the system, i.e. the POMONA Ethics Committee, the facts of which he or she is accused, the departments to which the alert is addressed and the procedures for exercising his or her rights of access and rectification.

8. Use and conservation of personal data collected

Data relating to alerts will be destroyed, kept or archived in accordance with the provisions in force.

As soon as they are collected, the data relating to an alert considered as not falling within the scope of the system are destroyed or archived without delay.

When the alert is not followed by a disciplinary or legal procedure initiated by the POMONA Group, the data relating to this alert is destroyed or archived within two months of the closure of the verification operations.

The author of the alert and the persons concerned by it shall be informed of the closure of the verification operations.

Where disciplinary or judicial proceedings are initiated against the respondent or the author of an unlawful alert, the data relating to the alert shall be kept by the organisation responsible for managing alerts until the proceedings are completed.

Where data are archived, they are kept in a separate information system with restricted access, for a period not exceeding the time limits of litigation.