



HELLENiQ
ENERGY

Whistleblowing Policy

April 24, 2024



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ENERGY

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1. Introduction

The present policy (the "Policy") aims at ensuring that executives and employees of the HELLENiQ ENERGY Group, or external partners thereof, who become aware of issues affecting the rights or interests of natural persons associated with the Group, the Group Companies or even public interest, are able to report breaches of European Union law (hereinafter "EU law") through the right channels and in accordance with the procedure that ensures proper investigation and management, as well as the protection of the reporting persons from potential retaliation.

"HELLENiQ ENERGY Anonymous Holding Company" (hereinafter the "**Company**"), seeking to adopt a clear and specific whistleblowing framework by the Companies of the HELLENiQ ENERGY Group (hereinafter the "**Group**") and to promote the Group's lawful operation, implements this Policy, in line with the applicable provisions of Greek legislation and, in particular, the provisions of Law 4990/2022 (hereinafter the "**Law**"), wherewith the European Union Directive 2019/1937 was incorporated into Greek law.

It is pointed out that the Policy provisions do not apply to issues concerning incidents of violence, harassment or conflict of interests, which are regulated by a special Group Policy, neither to issues concerning the Code of Conduct or human resources issues, with regard to which the special procedures in force apply.

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2. Purpose

The purpose of this Policy is:

- to set up channels for reporting breaches of EU law concerning the activity of the HELLENiQ ENERGY Group Companies,
- to establish appropriate procedures for managing such reports,
- to establish an appropriate protective framework for the persons reporting breaches of EU legislation ("whistleblowers") concerning the activity of the HELLENiQ ENERGY Group Companies and the fundamental principles about the reports' confidentiality,
- to promote the eponymous or anonymous reporting of such breaches,
- to link the issues covered by the present Policy with other Group Policies and Procedures.

3. Definitions

Person Concerned: a natural or legal person named in the report as a person to which the breach falling within the scope of the present is attributed.

Reporting Person: a natural person who makes a report of breaches of which he/she has become aware in the course of his/her work duties in Group Companies or of his/her employment in the Group or of his/her collaboration therewith.

Retaliation: any direct or indirect act or omission, which is related to an internal or external report or public disclosure, occurring within the work context, which causes or is likely to cause unjustified harm to the Reporting Person, or place the Reporting Person at a disadvantage.



Reasonable Grounds: the reasonable belief of a person with similar knowledge, training and experience as the Reporting Person that the information provided is true and constitute a breach of EU law falling within the scope of the present.

Public Disclosure: the direct release of information to the public about breaches.

NTA: means the National Transparency Authority.

Breaches: acts or omissions related to the HELLENiQ ENERGY Group Companies' activities that are unlawful under EU law or contrary to the subject matter or purpose of EU law rules that are set out in detail under Article 4 hereof.

Information on breaches: information, including reasonable suspicions, about breaches related to the HELLENiQ ENERGY Group Companies' activities and which are unlawful under EU law or contrary to the subject matter or purpose of EU law rules that are set out in detail under Article 4 hereof.

Responsible for Receiving and Monitoring Reports (R.R.M.R.): the person responsible for receiving reports regarding breaches the fall within the scope of the present Policy, for taking the necessary actions to investigate their report and for duly informing the Reporting Person and the Person Concerned. The R.R.M.R.'s detailed responsibilities are stated in Annex B of the Policy.

4. Scope

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1. This Policy applies to HELLENiQ ENERGY Group companies operating in Greece and concerns the protection of persons who, with the assistance of the Reasonable Grounds defined above, report or disclose Breaches of EU law relating to the HELLENiQ ENERGY Group Companies' activities and concern matters regulated by EU legislation.

The potential breaches falling within the scope of this Policy relate to the following areas and concern, indicatively, the issues listed below:

- i. public procurement
- ii. financial services, products and markets, and prevention of money laundering and terrorist financing
- iii. product safety and compliance
- iv. transport safety
- v. protection of the environment, as well as public health
- vi. consumer protection
- vii. protection of privacy and personal data, and security of network and information systems
- viii. breaches affecting the financial interests of the European Union
- ix. breaches relating to the internal market, including breaches of European Union rules on competition and State aid¹, as well as breaches relating to acts which breach the rules the taxation of corporations or arrangements the purpose of which is to secure a tax advantage that defeats the subject matter or purpose of the applicable legislation on corporate taxation.

¹State aid means action by a public authority, using public resources, to favor certain undertakings. Not all State aid is allowed, as some of it may give an undertaking an unfair advantage over its competitors.



A detailed list of the EU legislation issues that fall within the scope of the present Policy, as such are stated in detail in Part I of Law 4990/2022, is included in Annex A of the Policy.

2. The provisions of the Policy shall not apply in the following cases:

2.a. Special cases of differentiation from implementing the Policy and the reports' management procedure

Breaches relating to contracts pertaining to National defense or security issues (e.g. issues relating to the security of the Group's facilities, the security of supplying the market with fuel and energy security, in general), in accordance with article 5 of Law 4990/2022.

Moreover, in accordance with same article, the Policy shall not apply to:

(a) the case of classified or redacted information or procedures provided by the law,

(b) issues covered by attorney or medical privilege,

(c) issues covered by the secrecy of court deliberations or concerning other procedures which are defined as confidential by the applicable legislation,

(d) issues concerning the exercise of the employees' representatives' rights to information, consultation and participation in collective negotiations and in defending their labor rights.

Furthermore, it does not apply in the cases of the financial services, products and markets sector, the prevention of money laundering and the financing of terrorism, as well as transport security and environmental protection, for which specific rules on reporting breaches apply (see Annex A).

2.b. Issues regulated by other special Policies or Procedures

In case the report concerns issues regulated by other Group Policies and Procedures, its management shall be taking place in accordance with the provisions of such special Policies and Procedures and the R.R.M.R shall be forwarding the report to the appropriate persons under such Policies and Procedures. The issues exempted from the scope of the present Policy include the following:

- i. Reports on issues of Violence and Harassment, which shall be managed in accordance with the Policy in force for the prevention and treatment of incidents of violence and harassment at workplace.
- ii. Reports on issues of conflict of interest, which shall be managed in accordance with the Conflict of Interest Policy in force.
- iii. Reports on issues regulated by the Code of Conduct, which shall be managed in accordance with its provisions.
- iv. Reports on human resources issues, which shall be managed in accordance with the relevant applicable procedures.

2.c. Other issues exempted from the Policy



Reports should not concern the following issues:

- i. Disagreements on issues concerning policies and decisions of the Management of the Group companies.
- ii. Issues and information that have been already publicly disclosed.
- iii. Personal issues and disagreements with colleagues or supervisors.
- iv. Rumours.

In addition, cases where it is found that the report does not concern issues related to activities of the HELLENiQ ENERGY Group Companies shall not be investigated.

5. Covered Persons (Reporting Person – Person Concerned)

The following persons submitting reports fall within the scope of this Policy:

- Members of the Group Companies' Management
- Executives and employees of Group Companies
- external associates employed in Group projects or providing services to the Group, irrespective of the form of their contractual collaboration
- any other person provided by the Law.

Those who report a breach covered by this Policy are entitled to the protection provided for in clause 8 of the Policy, if, at the time of the report, they had Reasonable Grounds to believe that the information about the reported breaches was true and within the scope of this Policy.

The report could concern a breach by members of the HELLENiQ ENERGY Group Companies' Management, Group executives and employees, as well as by third parties collaborating with the Group (the Persons Concerned).

6. Reporting

6.1 Internal Reporting Chanel

6.1.1 Designation of a Responsible for Receiving and Monitoring Reports (R.R.M.R.)

In the framework of compliance with the provisions of Article 9 of the Law, the responsibilities of the Responsible for Receiving and Monitoring Reports shall be exercised by the person serving as the HELLENiQ ENERGY Group Regulatory Compliance Officer each time. Further information on the R.R.M.R.'s responsibilities is included in Annex B of the Policy.



6.1.2 Reporting channels

The Group has taken care to establish channels that allow for the submission of eponymous or anonymous reports, in writing or orally. In particular, the Group encourages the submission of reports, which is possible in the following ways:

1. through the online platform [helleniqenergy](https://helleniqenergy.com), which is accessible at the Group's website,
2. by sending an email to compliance@helleniq.gr
3. by correspondence, by sending a written report to HELLENiQ ENERGY Group's Compliance Department, 8 Himarras 8A, Maroussi, P.O. Box 15125
4. by calling at 210 6302333, with the call being answered by an answering machine and the Reporting Person submitting a recorded message, after consenting to the call's recording.

Reports are saved by the R.R.M.R. for a reasonable and necessary time period, in order to be retrievable and for complying with the requirements set by the legislation; in any event, at least until each investigation or court proceedings commenced as a result of the report against the Person Concerned, the Reporting Person or third parties is concluded.

Subject to the exceptions provided by the legislation and the present Policy, the report and its accompanying documents and information, to the extent to which the lead, directly or indirectly to identifying the Reporting Person, shall not be disclosed to anyone else other than the authorized persons that are responsible to receive or monitor the reports, unless the Reporting Person consents otherwise.

6.1.3 Report content

Without excluding the possibility of submitting anonymous reports, the submission of eponymous reports is particularly encouraged. Nonetheless, it is noted that the management and processing of an anonymous report, as well as the confirmation of its reliability, are often more difficult.

The Reporting Person does not have to prove the truth of its allegation. Nevertheless, s/he has to show that there is sufficient cause for concern based on the information available to him/her at the time of the report. The Reporting Persons are under an obligation to act responsibly when submitting a report. Each report must provide sufficient, accurate and relevant information regarding names, dates, locations, witnesses, numbers, actual or potential breaches to allow for a reasonable investigation.

If a report is incomprehensible or improperly submitted or does not contain facts that would constitute a breach of EU law or there are no serious indications of such a breach, the Group companies may, at their discretion, decide not to conduct further investigation, while in the case of a knowingly false report, the Group companies may, where appropriate, impose sanctions on the Reporting Person, in accordance with the provisions of their internal procedures and/or legislation. In case of a knowingly false report, the Person Concerned has the right to have recourse before the criminal or civil courts against the Reporting Person to be indemnified for any damage sustained on account of the false report.

The Group ensures the proper and secure operation of the above reporting mechanisms, as well as the protection and confidentiality of the Reporting Person.

6.1.4 Reporting investigation

In accordance with the above the R.R.M.R. is the recipient of the reports submitted through the appropriate Group channels and manages them by going through the following stages:

- Receiving and keeping the report in a special record.
- Acknowledging receipt of the report by writing to the Reporting Person within seven (7) days from receiving it (in case of an eponymous report).
- Checking if the subject matter of the Report falls within the scope of the present Policy, with the assistance of the Group Legal Services General Division.
- Setting the report aside in case it is incomprehensible or does not contain facts that would constitute a breach of EU law or there are no serious indications of such a breach and communicating the relevant decision to the Reporting Person
- In case the report falls within the scope of the present Policy, informing the Reporting Person in writing about the protection measures to which s/he is entitled.
- Provided the report is specific and falls within the scope of the Policy, the R.R.M.R. forwards it to the Reports Evaluation Committee provided in article 20 of the HELLENiQ ENERGY Group Code of Conduct, which is exclusively responsible for investigating the Reports that fall within the scope of the present Policy.
- The Reports Evaluation Committee investigates the report in accordance with the procedure set out in article 20 of the Code of Conduct.
- The R.R.M.R. informs the Reporting Person in writing on how the investigation progresses (in case of an eponymous report). Such information is provided within a reasonable period of time, which cannot exceed three months after notifying the Reporting Person of having received the relevant report.
- The R.R.M.R. collaborates with the Appropriate Authorities, if required.
- The R.R.M.R. keeps a record of the conclusion of the investigation, together with the report and its accompanying documentation.

6.2 External Reference Channel

The NTA has been designated as an external reporting channel and all persons subject to the Policy have the right to submit their reports directly to it. In addition, all the above-mentioned persons have the right to resubmit their report to the NTA if they consider that their report was not effectively dealt with by the R.R.M.R. The external reporting channel operates in accordance with the provisions of Article 11 of the Law.

7. Confidentiality / Privacy

7.1 Confidentiality Protection

The Group companies undertake that they will make every effort and take all appropriate technical and organizational measures to protect the identity of the Reporting Person and will not disclose it to anyone other than the persons who are authorized to receive, monitor and investigate the reports, without the express consent of the Reporting Person. The same applies to personal data



and any other information from which the identity of the Reporting Person can be inferred, directly or indirectly.

It is noted, however, that the identity of the Reporting Person, as well as any other information related to the Report, may be disclosed only in cases required by national or EU law, in the context of investigations by State or Judicial Authorities, if necessary to safeguard the rights of defence of the Reporting Person or to serve the purposes of the law.

Disclosures made in the above cases will be subject to the safeguards provided by law and shall be made following a reasoned demand in writing by the Authority requesting the disclosure (unless such information undermines the investigation or judicial procedures) in order for the Reporting Person to be able to submit in writing its objections or observations to the Authority requesting the disclosure. If the Authority does not accept the objections of the Reporting Person, the disclosure of the Reporting Person's identity or any other information shall not be prevented. Reporting Persons shall be informed care of the R.R.M.R. of the reasons of disclosing their identity.

7.2 Privacy

Any processing of personal data in the context of the application of this Policy is carried out in accordance with the provisions of the Group's Personal Data Protection Policy.

The Group companies take appropriate technical and organizational measures to ensure that the necessary personal data are collected during the submission and monitoring of reports. Personal data that are not relevant to the handling of a specific report, or are excessive, shall not be collected, or if collected accidentally, shall be deleted without delay.

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8. Protection Measures

8.1 Prohibition of Retaliation

No conduct that constitutes Retaliation for reporting, as provided in the Policy, is permitted. If retaliation occurs, a report should be submitted immediately to the R.R.M.R. for investigation and resolution, along with any information substantiating the report.

Retaliation, in the context of this Policy, is defined as including the following, without limitation:

- termination of the employment contract;
- demotion, omission or withholding of promotion;
- transfer of duties, change of location of workplace, salary reduction, change in working hours;
- withholding of training;
- a negative performance assessment;

- imposition of disciplinary sanctions;
- coercion, intimidation, harassment or ostracism;
- discrimination or unfair treatment;
- failure to convert a temporary employment contract into a permanent one for retaliatory reasons;
- failure to renew, or early termination of, a temporary employment contract for retaliatory reasons;
- intentional harm, including but not limited to damage to reputation, particularly in social media, or financial loss, including loss of business and loss of income.

8.2 Protection Against Retaliation

It is a fundamental principle and obligation of the Group's companies to protect whoever may be Reporting Person each time and to ensure a framework of open communication and transparency.

The Group Companies shall ensure the protection of the persons submitting a report, regardless of its merits, if at the time of its submission the Reporting Person had reasonable grounds to believe that it is true and that it concerns a breach of EU law, and shall apply the measures provided for in the Law for protecting the Reporting Person against retaliation.

The framework of protection applies even if the reports made are not confirmed, following investigation of the reports concerned, and in any event, if they are not malicious.

The measures for the Reporting Persons' protection provided in the present Policy also apply, as per case, to:

- Third parties related to the Reporting Persons that may suffer retaliation in the field of employment relations, such as colleagues or relatives of the Reporting Persons,
- private businesses or legal entities in which the Reporting Persons have vested interests, or in which they are employed, or with which they are related other than by an employment relationship.

A person that makes a Public Disclosure regarding breaches that fall within the scope of the Law is entitled to the protection provided by the Policy, provided one of the following conditions apply:

- the person first submitted a report internally to the Company and externally to the NTA, or directly externally to the NTA, but there was no reaction to the report within the time period prescribed by the Law, considering the circumstances and the nature of the rules breached; or
- the person has Reasonable Grounds to believe that the breach may be a risk to the public interest, or when the other instances of article 13b of the Law apply.

8.3 Remedies in case of Retaliation

If they consider that there is Retaliation, Reporting Persons are entitled to claim full compensation for the damage caused to them by the Retaliation and restoration of the status quo ante the



Retaliation, if this is objectively possible and does not become disproportionately burdensome for the Group companies.

The Group companies shall also take the necessary steps to restore the working environment in which any employee who is found to have been subjected to Retaliation is working. The act of Retaliation, if confirmed, will result in sanctions against the offender, commensurate with the gravity and severity of the act, including the termination of the contract between the offender and the respective Group Company.

In this context, measures imposed in retaliation are considered invalid, while any termination of an employment contract in the form of Retaliation is considered invalid in any case.

In addition, it is noted that any clause or agreement by which the rights and remedies provided by the Law in favour of the Reporting Person are waived or limited, is void.

8.4 Measures for the protection of the Reporting Persons

The Group acknowledges that the Persons Concerned enjoy the presumption of innocence and the rights of defence, as defined in Article 21 of the Law, and undertakes to maintain a framework for protecting them similar to that of the Reporting Persons throughout the relevant investigation.

The identity of the Persons Concerned shall be protected throughout any investigation initiated by the report or Public Disclosure, with the exceptions set out in the Law and under 7.1 above regarding the protection of the identity of the Reporting Persons, which shall apply *mutatis mutandis*.

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9. Validity and Review

The Policy shall enter into effect immediately upon its approval by the Board of Directors of HELLENiQ ENERGY Holdings S.A. The Group shall adopt adequate measures for the provisions of this Policy to be communicated and effectively implemented of by all its personnel, using all appropriate means, depending on the employees' category and accessibility of. HELLENiQ ENERGY Holdings S.A. will periodically review this Policy's compliance of with the regulatory/legislative framework and the possible need for its revision, in order to ensure the effective achievement of its objectives and submit it for approval to the Board of Directors. Any amended version of the Policy shall be communicated to all personnel in an appropriate manner at the discretion of the Group companies and posted on the Group's intranet.

10. Annex

10.1 Annex A - Scope of EU acts

A. Point (a)(i) of Article 4(1) — public procurement:

1. Rules of procedure for public procurement and the award of concessions, for the award of contracts in the fields of defence and security, and for the award of contracts by entities operating in the fields of water, energy, transport and postal services and any other contract, as set out in:

(i) Directive 2014/23/EU of the European Parliament and of the Council of 26 February 2014 on the award of concession contracts (OJ L 94, 28.3.2014, p. 1);



- (ii) Directive 2014/24/EU of the European Parliament and of the Council of 26 February 2014 on public procurement and repealing Directive 2004/18/EC (OJ L 94, 28.3.2014, p. 65);
- (iii) Directive 2014/25/EU of the European Parliament and of the Council of 26 February 2014 on procurement by entities operating in the water, energy, transport and postal services sectors and repealing Directive 2004/17/EC (OJ L 94, 28.3.2014, p. 243);
- (iv) Directive 2009/81/EC of the European Parliament and of the Council of 13 July 2009 on the coordination of procedures for the award of certain works contracts, supply contracts and service contracts by contracting authorities or entities in the fields of defence and security and amending Directives 2004/17/EC and 2004/18/EC (OJ L 216, 20.8.2009, p. 76).

2. Review procedures regulated by:

- (i) Council Directive 92/13/EEC of 25 February 1992 coordinating the laws, regulations and administrative provisions relating to the application of Community rules on the procurement procedures of entities operating in the water, energy, transport and telecommunications sectors (OJ L 76, 23.3.1992, p. 14);
- (ii) Council Directive 89/665/EEC of 21 December 1989 on the coordination of the laws, regulations and administrative provisions relating to the application of review procedures to the award of public supply and public works contracts (OJ L 395, 30.12.1989, p. 33).

B. Point (a)(ii) of Article 4(1) — financial services, products and markets, and prevention of money laundering and terrorist financing:

Rules on the establishment of a regulatory and supervisory framework and on consumer and investor protection in the fields of financial services and capital markets, banking, credit, investment, insurance and re-insurance, occupational or personal pension products, securities, investment funds, payment services in the EU and of the activities listed in Annex I to Directive 2013/36/EU of the European Parliament and of the Council of 26 June 2013 on access to the activity of credit institutions and the prudential supervision of credit institutions and investment firms, amending Directive 2002/87/EC and repealing Directives 2006/48/EC and 2006/49/EC (OJ L 176, 27.6.2013, p. 338), as set out in:

- (i) Directive 2009/110/EC of the European Parliament and of the Council of 16 September 2009 on the taking up, pursuit and prudential supervision of the business of electronic money institutions amending Directives 2005/60/EC and 2006/48/EC and repealing Directive 2000/46/EC (OJ L 267, 10.10.2009, p. 7);
- (ii) Directive 2011/61/EU of the European Parliament and of the Council of 8 June 2011 on Alternative Investment Fund Managers and amending Directives 2003/41/EC and 2009/65/EC and Regulations (EC) No 1060/2009 and (EU) No 1095/2010 (OJ L 174, 1.7.2011, p. 1);
- (iii) Regulation (EU) No 236/2012 of the European Parliament and of the Council of 14 March 2012 on short selling and certain aspects of credit default swaps (OJ L 86, 24.3.2012, p. 1);
- (iv) Regulation (EU) No 345/2013 of the European Parliament and of the Council of 17 April 2013 on European venture capital funds (OJ L 115, 25.4.2013, p. 1);
- (v) Regulation (EU) No 346/2013 of the European Parliament and of the Council of 17 April 2013 on European social entrepreneurship fund (OJ L 115, 25.4.2013, p. 18);



(vi) Directive 2014/17/EU of the European Parliament and of the Council of 4 February 2014 on credit agreements for consumers relating to residential immovable property and amending Directives 2008/48/EC and 2013/36/EU and Regulation (EU) No 1093/2010 (OJ L 60, 28.2.2014, p. 34);

(vii) Regulation (EU) No 537/2014 of the European Parliament and of the Council of 16 April 2014 on specific requirements regarding statutory audit of public-interest entities and repealing Commission Decision 2005/909/EC (OJ L 158, 27.5.2014, p. 77);

(viii) Regulation (EU) No 600/2014 of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Regulation (EU) No 648/2012 (OJ L 173, 12.6.2014, p. 84);

(ix) Directive (EU) 2015/2366 of the European Parliament and of the Council of 25 November 2015 on payment services in the internal market, amending Directives 2002/65/EC, 2009/110/EC and 2013/36/EU and Regulation (EU) No 1093/2010, and repealing Directive 2007/64/EC (OJ L 337, 23.12.2015, p. 35);

(x) Directive 2004/25/EC of the European Parliament and of the Council of 21 April 2004 on takeover bids (OJ L 142, 30.4.2004, p. 12);

(xi) Directive 2007/36/EC of the European Parliament and of the Council of 11 July 2007 on the exercise of certain rights of shareholders in listed companies (OJ L 184, 14.7.2007, p. 17);

(xii) Directive 2004/109/EC of the European Parliament and of the Council of 15 December 2004 on the harmonisation of transparency requirements in relation to information about issuers whose securities are admitted to trading on a regulated market and amending Directive 2001/34/EC (OJ L 390, 31.12.2004, p. 38);

(xiii) Regulation (EU) No 648/2012 of the European Parliament and of the Council of 4 July 2012 on OTC derivatives, central counterparties and trade repositories (OJ L 201, 27.7.2012, p. 1);

(xiv) Regulation (EU) 2016/1011 of the European Parliament and of the Council of 8 June 2016 on indices used as benchmarks in financial instruments and financial contracts or to measure the performance of investment funds and amending Directives 2008/48/EC and 2014/17/EU and Regulation (EU) No 596/2014 (OJ L 171, 29.6.2016, p. 1);

(xv) Directive 2009/138/EC of the European Parliament and of the Council of 25 November 2009 on the taking-up and pursuit of the business of Insurance and Reinsurance (Solvency II) (OJ L 335, 17.12.2009, p. 1);

(xvi) Directive 2014/59/EU of the European Parliament and of the Council of 15 May 2014 establishing a framework for the recovery and resolution of credit institutions and investment firms and amending Council Directive 82/891/EEC, and Directives 2001/24/EC, 2002/47/EC, 2004/25/EC, 2005/56/EC, 2007/36/EC, 2011/35/EU, 2012/30/EU and 2013/36/EU, and Regulations (EU) No 1093/2010 and (EU) No 648/2012, of the European Parliament and of the Council (OJ L 173, 12.6.2014, p. 190);

(xvii) Directive 2002/87/EC of the European Parliament and of the Council of 16 December 2002 on the supplementary supervision of credit institutions, insurance undertakings and investment firms in a financial conglomerate and amending Council Directives 73/239/EEC, 79/267/EEC,



92/49/EEC, 92/96/EEC, 93/6/EEC and 93/22/EEC, and Directives 98/78/EC and 2000/12/EC of the European Parliament and of the Council (OJ L 35, 11.2.2003, p. 1);

(xviii) Directive 2014/49/EU of the European Parliament and of the Council of 16 April 2014 on deposit guarantee schemes (OJ L 173, 12.6.2014, p. 149);

(xix) Directive 97/9/EC of the European Parliament and of the Council of 3 March 1997 on investor-compensation schemes (OJ L 84, 26.3.1997, p. 22);

(xx) Regulation (EU) No 575/2013 of the European Parliament and of the Council of 26 June 2013 on prudential requirements for credit institutions and investment firms and amending Regulation (EU) No 648/2012 (OJ L 176, 27.6.2013, p. 1).

C. Point (a)(iii) of Article 4(1) — product safety and compliance:

1. Safety and compliance requirements for products placed in the EU market, as defined and regulated by:

(i) Directive 2001/95/EC of the European Parliament and of the Council of 3 December 2001 on general product safety (OJ L 11, 15.1.2002, p. 4);

(ii) EU harmonisation legislation concerning manufactured products, including labelling requirements, other than food, feed, medicinal products for human and veterinary use, living plants and animals, products of human origin and products of plants and animals relating directly to their future reproduction as listed in Annexes I and II to Regulation (EU) 2019/1020 of the European Parliament and of the Council of 20 June 2019 on market surveillance and compliance of products and amending Directive 2004/42/EC and Regulations (EC) No 765/2008 and (EU) No 305/2011 (OJ L 169, 25.6.2019, p. 1);

(iii) Directive 2007/46/EC of the European Parliament and of the Council of 5 September 2007 establishing a framework for the approval of motor vehicles and their trailers, and of systems, components and separate technical units intended for such vehicles (Framework Directive) (OJ L 263, 9.10.2007, p. 1).

3. Rules on marketing and use of sensitive and dangerous products, as set out in:

(i) Directive 2009/43/EC of the European Parliament and of the Council of 6 May 2009 simplifying terms and conditions of transfers of defence-related products within the Community (OJ L 146, 10.6.2009, p. 1);

(ii) Council Directive 91/477/EEC of 18 June 1991 on control of the acquisition and possession of weapons (OJ L 256, 13.9.1991, p. 51);

(iii) Regulation (EU) No 98/2013 of the European Parliament and the Council of 15 January 2013 on the marketing and use of explosives precursors (OJ L 39, 9.2.2013, p. 1).

D. Point (a)(iv) of Article 4(1) — transport safety:



1. Safety requirements in the railway sector, as regulated by Directive (EU) 2016/798 of the European Parliament and of the Council of 11 May 2016 on railway safety (OJ L 138, 26.5.2016, p. 102).

2. Safety requirements in the civil aviation sector, as regulated by Regulation (EU) No 996/2010 of the European Parliament and of the Council of 20 October 2010 on the investigation and prevention of accidents and incidents in civil aviation and repealing Directive 94/56/EC (OJ L 295, 12.11.2010, p. 35).

3. Safety requirements in the road sector, as regulated by:

(i) Directive 2008/96/EC of the European Parliament and of the Council of 19 November 2008 on road infrastructure safety management (OJ L 319, 29.11.2008, p. 59);

(ii) Directive 2004/54/EC of the European Parliament and of the Council of 29 April 2004 on minimum safety requirements for tunnels in the Trans-European Road Network (OJ L 167, 30.4.2004, p. 39);

(iii) Regulation (EC) No 1071/2009 of the European Parliament and of the Council of 21 October 2009 establishing common rules concerning the conditions to be complied with to pursue the occupation of road transport operator and repealing Council Directive 96/26/EC (OJ L 300, 14.11.2009, p. 51).

4. Safety requirements in the maritime sector, as regulated by:

(i) Regulation (EC) No 391/2009 of the European Parliament and of the Council of 23 April 2009 on common rules and standards for ship inspection and survey organisations (OJ L 131, 28.5.2009, p. 11);

(ii) Regulation (EC) No 392/2009 of the European Parliament and of the Council of 23 April 2009 on the liability of carriers of passengers by sea in the event of accidents (OJ L 131, 28.5.2009, p. 24);

(iii) Directive 2014/90/EU of the European Parliament and of the Council of 23 July 2014 on marine equipment and repealing Council Directive 96/98/EC (OJ L 257, 28.8.2014, p. 146);

(iv) Directive 2009/18/EC of the European Parliament and of the Council of 23 April 2009 establishing the fundamental principles governing the investigation of accidents in the maritime transport sector and amending Council Directive 1999/35/EC and Directive 2002/59/EC (OJ L 131, 28.5.2009, p. 114);

(v) Directive 2008/106/EC of the European Parliament and of the Council of 19 November 2008 on the minimum level of training of seafarers (OJ L 323, 3.12.2008, p. 33);

(vi) Council Directive 98/41/EC of 18 June 1998 on the registration of persons sailing on board passenger ships operating to or from ports of the Member States of the Community (OJ L 188, 2.7.1998, p. 35);

(vii) Directive 2001/96/EC of the European Parliament and of the Council of 4 December 2001 establishing harmonised requirements and procedures for the safe loading and unloading of bulk carriers (OJ L 13, 16.1.2002, p. 9).



5. Safety requirements, as regulated by Directive 2008/68/EC of the European Parliament and of the Council of 24 September 2008 on the inland transport of dangerous goods (OJ L 260, 30.9.2008, p. 13).

E. Point (a)(v) of Article 4(1) — protection of the environment:

1. Any criminal offence against the protection of the environment as regulated by Directive 2008/99/EC of the European Parliament and of the Council of 19 November 2008 on the protection of the environment through criminal law (OJ L 328, 6.12.2008, p. 28) or any unlawful conduct infringing the legislation set out in the Annexes to Directive 2008/99/EC.

2. Rules on the environment and climate, as set out in:

(i) Directive 2003/87/EC of the European Parliament and of the Council of 13 October 2003 establishing a scheme for greenhouse gas emission allowance trading within the Community and amending Council Directive 96/61/EC (OJ L 275, 25.10.2003, p. 32);

(ii) Directive 2009/28/EC of the European Parliament and of the Council of 23 April 2009 on the promotion of the use of energy from renewable sources and amending and subsequently repealing Directives 2001/77/EC and 2003/30/EC (OJ L 140, 5.6.2009, p. 16);

(iii) Directive 2012/27/EU of the European Parliament and of the Council of 25 October 2012 on energy efficiency, amending Directives 2009/125/EC and 2010/30/EU and repealing Directives 2004/8/EC and 2006/32/EC (OJ L 315, 14.11.2012, p. 1);

(iv) Regulation (EU) No 525/2013 of the European Parliament and of the Council of 21 May 2013 on a mechanism for monitoring and reporting greenhouse gas emissions and for reporting other information at national and Union level relevant to climate change and repealing Decision No 280/2004/EC (OJ L 165, 18.6.2013, p. 13);

(v) Directive (EU) 2018/2001 of the European Parliament and of the Council of 11 December 2018 on the promotion of the use of energy from renewable sources (OJ L 328, 21.12.2018, p. 82).

3. Rules on sustainable development and waste management, as set out in:

(i) Directive 2008/98/EC of the European Parliament and of the Council of 19 November 2008 on waste and repealing certain Directives (OJ L 312, 22.11.2008, p. 3);

(ii) Regulation (EU) No 1257/2013 of the European Parliament and of the Council of 20 November 2013 on ship recycling and amending Regulation (EC) No 1013/2006 and Directive 2009/16/EC (OJ L 330, 10.12.2013, p. 1);

(iii) Regulation (EU) No 649/2012 of the European Parliament and of the Council of 4 July 2012 concerning the export and import of hazardous chemicals (OJ L 201, 27.7.2012, p. 60).

4. Rules on marine, air and noise pollution, as set out in:

(i) Directive 1999/94/EC of the European Parliament and of the Council of 13 December 1999 relating to the availability of consumer information on fuel economy and CO₂ emissions in respect of the marketing of new passenger cars (OJ L 12, 18.1.2000, p. 16);

(ii) Directive 2001/81/EC of the European Parliament and of the Council of 23 October 2001 on national emission ceilings for certain atmospheric pollutants (OJ L 309, 27.11.2001, p. 22);

(iii) Directive 2002/49/EC of the European Parliament and of the Council of 25 June 2002 relating to the assessment and management of environmental noise (OJ L 189, 18.7.2002, p. 12);



- (iv) Regulation (EC) No 782/2003 of the European Parliament and of the Council of 14 April 2003 on the prohibition of organotin compounds on ships (OJ L 115, 9.5.2003, p. 1);
- (v) Directive 2004/35/EC of the European Parliament and of the Council of 21 April 2004 on environmental liability with regard to the prevention and remedying of environmental damage (OJ L 143, 30.4.2004, p. 56);
- (vi) Directive 2005/35/EC of the European Parliament and of the Council of 7 September 2005 on ship-source pollution and on the introduction of penalties for infringements (OJ L 255, 30.9.2005, p. 11);
- (vii) Regulation (EC) No 166/2006 of the European Parliament and of the Council of 18 January 2006 concerning the establishment of a European Pollutant Release and Transfer Register and amending Council Directives 91/689/EEC and 96/61/EC (OJ L 33, 4.2.2006, p. 1);
- (viii) Directive 2009/33/EC of the European Parliament and of the Council of 23 April 2009 on the promotion of clean and energy-efficient road transport vehicles (OJ L 120, 15.5.2009, p. 5);
- (ix) Regulation (EC) No 443/2009 of the European Parliament and of the Council of 23 April 2009 setting emission performance standards for new passenger cars as part of the Community's integrated approach to reduce CO₂ emissions from light-duty vehicles (OJ L 140, 5.6.2009, p. 1);
- (x) Regulation (EC) No 1005/2009 of the European Parliament and of the Council of 16 September 2009 on substances that deplete the ozone layer (OJ L 286, 31.10.2009, p. 1);
- (xi) Directive 2009/126/EC of the European Parliament and of the Council of 21 October 2009 on Stage II petrol vapour recovery during refuelling of motor vehicles at service stations (OJ L 285, 31.10.2009, p. 36);
- (xii) Regulation (EU) No 510/2011 of the European Parliament and of the Council of 11 May 2011 setting emission performance standards for new light commercial vehicles as part of the Union's integrated approach to reduce CO₂ emissions from light-duty vehicles (OJ L 145, 31.5.2011, p. 1);
- (xiii) Directive 2014/94/EU of the European Parliament and of the Council of 22 October 2014 on the deployment of alternative fuels infrastructure (OJ L 307, 28.10.2014, p. 1);
- (xiv) Regulation (EU) 2015/757 of the European Parliament and of the Council of 29 April 2015 on the monitoring, reporting and verification of carbon dioxide emissions from maritime transport, and amending Directive 2009/16/EC (OJ L 123, 19.5.2015, p. 55);
- (xv) Directive (EU) 2015/2193 of the European Parliament and of the Council of 25 November 2015 on the limitation of emissions of certain pollutants into the air from medium combustion plants (OJ L 313, 28.11.2015, p. 1).

5. Rules on the protection and management of water and soil, as set out in:

- (i) Directive 2007/60/EC of the European Parliament and of the Council of 23 October 2007 on the assessment and management of flood risks (OJ L 288, 6.11.2007, p. 27);
- (ii) Directive 2008/105/EC of the European Parliament and of the Council of 16 December 2008 on environmental quality standards in the field of water policy, amending and subsequently repealing Council Directives 82/176/EEC, 83/513/EEC, 84/156/EEC, 84/491/EEC, 86/280/EEC and



amending Directive 2000/60/EC of the European Parliament and of the Council (OJ L 348, 24.12.2008, p. 84);

(iii) Directive 2011/92/EU of the European Parliament and of the Council of 13 December 2011 on the assessment of the effects of certain public and private projects on the environment (OJ L 26, 28.1.2012, p. 1).

6. Rules relating to the protection of nature and biodiversity, as set out in:

(i) Council Regulation (EC) No 1936/2001 of 27 September 2001 laying down control measures applicable to fishing for certain stocks of highly migratory fish (OJ L 263, 3.10.2001, p. 1);

(ii) Council Regulation (EC) No 812/2004 of 26 April 2004 laying down measures concerning bycatches of cetaceans in fisheries and amending Regulation (EC) No 88/98 (OJ L 150, 30.4.2004, p. 12);

(iii) Regulation (EC) No 1007/2009 of the European Parliament and of the Council of 16 September 2009 on trade in seal products (OJ L 286, 31.10.2009, p. 36);

(iv) Council Regulation (EC) No 734/2008 of 15 July 2008 on the protection of vulnerable marine ecosystems in the high seas from the adverse impacts of bottom fishing gears (OJ L 201, 30.7.2008, p. 8);

(v) Directive 2009/147/EC of the European Parliament and of the Council of 30 November 2009 on the conservation of wild birds (OJ L 20, 26.1.2010, p. 7);

(vi) Regulation (EU) No 995/2010 of the European Parliament and of the Council of 20 October 2010 laying down the obligations of operators who place timber and timber products on the market (OJ L 295, 12.11.2010, p. 23);

(vii) Regulation (EU) No 1143/2014 of the European Parliament and of the Council of 22 October 2014 on the prevention and management of the introduction and spread of invasive alien species (OJ L 317, 4.11.2014, p. 35).

7. Rules on chemicals, as set out in Regulation (EC) No 1907/2006 of the European Parliament and of the Council of 18 December 2006 concerning the Registration, Evaluation, Authorisation and Restriction of Chemicals (REACH), establishing a European Chemicals Agency, amending Directive 1999/45/EC and repealing Council Regulation (EEC) No 793/93 and Commission Regulation (EC) No 1488/94 as well as Council Directive 76/769/EEC and Commission Directives 91/155/EEC, 93/67/EEC, 93/105/EC and 2000/21/EC (OJ L 396, 30.12.2006, p. 1).

8. Rules relating to organic products, as set out in Regulation (EU) 2018/848 of the European Parliament and of the Council of 30 May 2018 on organic production and labelling of organic products and repealing Council Regulation (EC) No 834/2007 (OJ L 150, 14.6.2018, p. 1).

F. Point (a)(vi) of Article 4(1) — radiation protection and nuclear safety

Rules on nuclear safety, as set out in:

(i) Council Directive 2009/71/Euratom of 25 June 2009 establishing a Community framework for the nuclear safety of nuclear installations (OJ L 172, 2.7.2009, p. 18);



(ii) Council Directive 2013/51/Euratom of 22 October 2013 laying down requirements for the protection of the health of the general public with regard to radioactive substances in water intended for human consumption (OJ L 296, 7.11.2013, p. 12);

(iii) Council Directive 2013/59/Euratom of 5 December 2013 laying down basic safety standards for protection against the dangers arising from exposure to ionising radiation, and repealing Directives 89/618/Euratom, 90/641/Euratom, 96/29/Euratom, 97/43/Euratom and 2003/122/Euratom (OJ L 13, 17.1.2014, p. 1);

(iv) Council Directive 2011/70/Euratom of 19 July 2011 establishing a Community framework for the responsible and safe management of spent fuel and radioactive waste (OJ L 199, 2.8.2011, p. 48);

(v) Council Directive 2006/117/Euratom of 20 November 2006 on the supervision and control of shipments of radioactive waste and spent fuel (OJ L 337, 5.12.2006, p. 21);

(vi) Council Regulation (Euratom) 2016/52 of 15 January 2016 laying down maximum permitted levels of radioactive contamination of food and feed following a nuclear accident or any other case of radiological emergency, and repealing Regulation (Euratom) No 3954/87 and Commission Regulations (Euratom) No 944/89 and (Euratom) No 770/90 (OJ L 13, 20.1.2016, p. 2);

(vii) Council Regulation (Euratom) No 1493/93 of 8 June 1993 on shipments of radioactive substances between Member States (OJ L 148, 19.6.1993, p. 1).

G. Point (a)(vii) of Article 4(1) — food and feed safety, animal health and animal welfare:

1. EU legislation on food and feed governed by the general principles and requirements as laid down in Regulation (EC) 178/2002 of the European Parliament and of the Council of 28 January 2002 laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety (OJ L 31, 1.2.2002, p. 1).

2. Animal health, as regulated by:

(i) Regulation (EU) 2016/429 of the European Parliament and of the Council of 9 March 2016 on transmissible animal diseases and amending and repealing certain acts in the area of animal health ('Animal Health Law') (OJ L 84, 31.3.2016, p. 1);

(ii) Regulation (EC) No 1069/2009 of the European Parliament and of the Council of 21 October 2009 laying down health rules as regards animal by-products and derived products not intended for human consumption and repealing Regulation (EC) No 1774/2002 (Animal by-products Regulation) (OJ L 300, 14.11.2009, p. 1).

3. Regulation (EU) 2017/625 of the European Parliament and of the Council of 15 March 2017 on official controls and other official activities performed to ensure the application of food and feed law, rules on animal health and welfare, plant health and plant protection products, amending Regulations (EC) No 999/2001, (EC) No 396/2005, (EC) No 1069/2009, (EC) No 1107/2009, (EU) No 1151/2012, (EU) No 652/2014, (EU) 2016/429 and (EU) 2016/2031 of the European Parliament and of the Council, Council Regulations (EC) No 1/2005 and (EC) No 1099/2009 and Council Directives 98/58/EC, 1999/74/EC, 2007/43/EC, 2008/119/EC and 2008/120/EC, and repealing



Regulations (EC) No 854/2004 and (EC) No 882/2004 of the European Parliament and of the Council, Council Directives 89/608/EEC, 89/662/EEC, 90/425/EEC, 91/496/EEC, 96/23/EC, 96/93/EC and 97/78/EC and Council Decision 92/438/EEC (Official Controls Regulation) (OJ L 95, 7.4.2017, p. 1).

4. Rules and standards on the protection and well-being of animals, as set out in:

(i) Council Directive 98/58/EC of 20 July 1998 concerning the protection of animals kept for farming purposes (OJ L 221, 8.8.1998, p. 23);

(ii) Council Regulation (EC) No 1/2005 of 22 December 2004 on the protection of animals during transport and related operations and amending Directives 64/432/EEC and 93/119/EC and Regulation (EC) No 1255/97 (OJ L 3, 5.1.2005, p. 1);

(iii) Council Regulation (EC) No 1099/2009 of 24 September 2009 on the protection of animals at the time of killing (OJ L 303, 18.11.2009, p. 1);

(iv) Council Directive 1999/22/EC of 29 March 1999 relating to the keeping of wild animals in zoos (OJ L 94, 9.4.1999, p. 24);

(v) Directive 2010/63/EU of the European Parliament and of the Council of 22 September 2010 on the protection of animals used for scientific purposes (OJ L 276, 20.10.2010, p. 33).

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H. Point (a) (viii) of Article 4(1) — public health:

1. Measures setting high standards of quality and safety of organs and substances of human origin, as regulated by:

(i) Directive 2002/98/EC of the European Parliament and of the Council of 27 January 2003 setting standards of quality and safety for the collection, testing, processing, storage and distribution of human blood and blood components and amending Directive 2001/83/EC (OJ L 33, 8.2.2003, p. 30);

(ii) Directive 2004/23/EC of the European Parliament and of the Council of 31 March 2004 on setting standards of quality and safety for the donation, procurement, testing, processing, preservation, storage and distribution of human tissues and cells (OJ L 102, 7.4.2004, p. 48);

(iii) Directive 2010/53/EU of the European Parliament and of the Council of 7 July 2010 on standards of quality and safety of human organs intended for transplantation (OJ L 207, 6.8.2010, p. 14).

2. Measures setting high standards of quality and safety for medicinal products and devices of medical use, as regulated by:

(i) Regulation (EC) No 141/2000 of the European Parliament and of the Council of 16 December 1999 on orphan medicinal products (OJ L 18, 22.1.2000, p. 1);

(ii) Directive 2001/83/EC of the European Parliament and of the Council of 6 November 2001 on the Community code relating to medicinal products for human use (OJ L 311, 28.11.2001, p. 67);



(iii) Regulation (EU) 2019/6 of the European Parliament and of the Council of 11 December 2018 on veterinary medicinal products and repealing Directive 2001/82/EC (OJ L 4, 7.1.2019, p. 43);

(iv) Regulation (EC) No 726/2004 of the European Parliament and of the Council of 31 March 2004 laying down Community procedures for the authorisation and supervision of medicinal products for human and veterinary use and establishing a European Medicines Agency (OJ L 136, 30.4.2004, p. 1);

(v) Regulation (EC) No 1901/2006 of the European Parliament and of the Council of 12 December 2006 on medicinal products for paediatric use and amending Regulation (EEC) No 1768/92, Directive 2001/20/EC, Directive 2001/83/EC and Regulation (EC) No 726/2004 (OJ L 378, 27.12.2006, p. 1);

(vi) Regulation (EC) No 1394/2007 of the European Parliament and of the Council of 13 November 2007 on advanced therapy medicinal products and amending Directive 2001/83/EC and Regulation (EC) No 726/2004 (OJ L 324, 10.12.2007, p. 121);

(vii) Regulation (EU) No 536/2014 of the European Parliament and of the Council of 16 April 2014 on clinical trials on medicinal products for human use, and repealing Directive 2001/20/EC (OJ L 158, 27.5.2014, p. 1).

3. Patients' rights, as regulated by Directive 2011/24/EU of the European Parliament and of the Council of 9 March 2011 on the application of patients' rights in cross-border healthcare (OJ L 88, 4.4.2011, p. 45).

4. Manufacture, presentation and sale of tobacco and related products, as regulated by Directive 2014/40/EU of the European Parliament and of the Council of 3 April 2014 on the approximation of the laws, regulations and administrative provisions of the Member States concerning the manufacture, presentation and sale of tobacco and related products and repealing Directive 2001/37/EC (OJ L 127, 29.4.2014, p. 1).

I. Point (a)(ix) of Article 4(1) — consumer protection:

Consumer rights and consumer protection, as regulated by:

(i) Directive 98/6/EC of the European Parliament and of the Council of 16 February 1998 on consumer protection in the indication of the prices of products offered to consumers (OJ L 80, 18.3.1998, p. 27);

(ii) Directive (EU) 2019/770 of the European Parliament and of the Council of 20 May 2019 on certain aspects concerning contracts for the supply of digital content and digital services (OJ L 136, 22.5.2019, p. 1);

(iii) Directive (EU) 2019/771 of the European Parliament and of the Council of 20 May 2019 on certain aspects concerning contracts for the sale of goods, amending Regulation (EU) 2017/2394 and Directive 2009/22/EC, and repealing Directive 1999/44/EC (OJ L 136, 22.5.2019, p. 28);

(iv) Directive 1999/44/EC of the European Parliament and of the Council of 25 May 1999 on certain aspects of the sale of consumer goods and associated guarantees (OJ L 171, 7.7.1999, p. 12);



(v) Directive 2002/65/EC of the European Parliament and of the Council of 23 September 2002 concerning the distance marketing of consumer financial services and amending Council Directive 90/619/EEC and Directives 97/7/EC and 98/27/EC (OJ L 271, 9.10.2002, p. 16);

(vi) Directive 2005/29/EC of the European Parliament and of the Council of 11 May 2005 concerning unfair business-to-consumer commercial practices in the internal market and amending Council Directive 84/450/EEC, Directives 97/7/EC, 98/27/EC and 2002/65/EC of the European Parliament and of the Council and Regulation (EC) No 2006/2004 of the European Parliament and of the Council ('Unfair Commercial Practices Directive') (OJ L 149, 11.6.2005, p. 22);

(vii) Directive 2008/48/EC of the European Parliament and of the Council of 23 April 2008 on credit agreements for consumers and repealing Council Directive 87/102/EEC (OJ L 133, 22.5.2008, p. 66);

(viii) Directive 2011/83/EU of the European Parliament and of the Council of 25 October 2011 on consumer rights, amending Council Directive 93/13/EEC and Directive 1999/44/EC of the European Parliament and of the Council and repealing Council Directive 85/577/EEC and Directive 97/7/EC of the European Parliament and of the Council (OJ L 304, 22.11.2011, p. 64);

(ix) Directive 2014/92/EU of the European Parliament and of the Council of 23 July 2014 on the comparability of fees related to payment accounts, payment account switching and access to payment accounts with basic features (OJ L 257, 28.8.2014, p. 214).

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J. Point (a)(x) of Article 4(1) — protection of privacy and personal data, and security of network and information systems:

(i) Directive 2002/58/EC of the European Parliament and of the Council of 12 July 2002 concerning the processing of personal data and the protection of privacy in the electronic communications sector (Directive on privacy and electronic communications) (OJ L 201, 31.7.2002, p. 37);

(ii) Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation) (OJ L 119, 4.5.2016, p. 1);

(iii) Directive (EU) 2016/1148 of the European Parliament and of the Council of 6 July 2016 concerning measures for a high common level of security of network and information systems across the Union (OJ L 194, 19.7.2016, p. 1);

1.2 Annex B - R.R.M.R. (Responsible for Receiving and Monitoring Reports) Responsibilities.

The R.R.M.R. may be either an employee of the HELLENiQ ENERGY Group or a third party and reports directly to the Board of Directors. The term of office of the R.R.M.R. shall be at least one (1) calendar year and shall be automatically renewed unless good cause for termination arises.

The R.R.M.R. must:

- perform his/her duties with integrity, objectivity, impartiality, transparency and social responsibility,

- respect and observe the rules of confidentiality and secrecy on matters of which he/she has become aware in the course of his/her duties,
- abstain from managing certain cases, declaring an impediment where there is a conflict of interest. In this case, he/she must nominate a substitute who will meet the requirements of integrity, objectivity and confidentiality provided in Article 9 of Law 4990/2002 and who will not be subject to the impediments set out in the aforementioned article.

The R.R.M.R. shall have the following responsibilities:

- a) to provide appropriate information on the possibility of reporting within the Group and to communicate such information at a prominent place,
- b) to receive reports on breaches that fall within the scope of this Policy,
- c) to acknowledge receipt of the report to the Reporting Person within seven (7) working days from the date of receipt,
- d) to take the necessary steps in order for the Reports Evaluation Committee, provided in article 20 of the HELLENiQ ENERGY Group Code of Conduct, to be seized of the report, in accordance with the reports' investigation procedure provided in the same article or to conclude the procedure, by setting aside the report if it is incomprehensible or does not contain facts that would constitute a breach of EU law or there are no serious indications of such a breach,
- e) ensure that the confidentiality of the identity of the Reporting Person and any third party named in the report is protected, preventing access to it by unauthorised persons,
- f) to monitor the reports and stay in contact with the Reporting Person and, if requested by the Reports Evaluation Committee, request further information from him/her,
- g) to inform the Reporting Person of the actions taken within a reasonable period of time, which shall not exceed three (3) months from the acknowledgement of receipt, or if no acknowledgement has been sent to the Reporting Person, three (3) months from the expiry of seven (7) working days from the submission of the report,
- h) to provide clear and easily accessible information on the procedures under which reports may be submitted to the NTA and, where appropriate, to public bodies or to institutional and other organs or agencies of the European Union; and
- i) to plan and coordinate training activities on ethics and integrity, to participate in the development of internal policies to enhance the integrity and transparency of the HELLENiQ ENERGY Group companies.

The R.R.M.R. shall ensure that performance of these duties shall not affect his or her independence and shall not give rise to a conflict of interest in relation to his or her duties in this capacity vis-à-vis any other duties.

The R.R.M.R. is also designated to be responsible for investigating any report of an incident of Retaliation, as defined in Chapter 8 of this Policy.