



Conformity

**REPORTING COLLECTION PROCEDURE**

Procedure




**CONF-PRO-001001**

Revision : 02

**30/11/2020**


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## 1. Purposes and principles

This procedure was created to describe the reporting procedures within the GTT Group, so that its employees, as well as its external or occasional collaborators, wherever they are located, can report any event or information that could:

- harm the interests of the Group and/or one or multiple of their employees;
- breach of the local laws, regulations, or Ethics Charter of GTT Group;
- affect his/their reputation, or cause him/them liability.

This procedure relies on the following key principles:

- protecting the **confidentiality** of the person who makes the alert to the extent permissible by law;
- the guarantee of the **presumption of innocence** of the person implicated by the alert;
- information of the person who made the alert;
- **protection of the reporter from retaliation in GTT Group**, even if his/her alert is subsequently proven to be unfounded;
- **protection of personal data**.

## 2. Applicability

This procedure is applicable within each entity of the Group, in all of the countries where the Group is located or has economic interests.

This procedure is not intended to deal with requests for information related to market conduct.

## 3. Context


This reporting procedure is part of the regulations in force in the different countries where GTT Group is located.

The ability to make a good faith alert is a right, but not an obligation of employees. Any person acting in bad faith or with the sole purpose of harming another person may be subject to disciplinary measures and/or judicial proceedings.

This procedure is not to be substituted for other alert channels that already exist within the different entities of the Group (ex.: employee representative bodies, etc.).

This alert procedure concerns, but is not limited to:

- ethics, as defined by our Ethics Charter;
- bribery and influence peddling;
- conflicts of interest;
- anti-competitive practices;
- human rights;

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- protection of the environment;
- money laundering and financing of terrorism;
- protection of intellectual property;
- breach of privacy or data security.

#### 4. The extent of the alert procedure

##### 4.1. Issues that may be reported

The following are possible subjects of alert by a collaborator with personal knowledge who is acting in **good faith**:

- a crime or an offense;
- a serious and manifest violation of a law, regulation, or international undertaking duly ratified and approved by France, or a unilateral act of an international organization taken on the base of such undertaking;
- a serious infringement of human rights and fundamental liberties, health, privacy and the security of persons and the environment, resulting from the Group's or other's activities, including harassment and other discriminatory practices;
- a situation or behavior contrary to the Group's Ethics Charter;
- a threat or serious harm to the public interest;
- any event that could harm the interests of the Group and/or the interests of one or more of its employees, affect his/their reputation, or incur his/their responsibility.

##### 4.2. Issues that are excluded from the alert procedure


The facts, information or documents, whatever their format or support, covered by national defense confidentiality, medical confidentiality, or lawyer-client confidentiality cannot be the subject of an alert.

#### 5. Recipient of the alert

Are in charge of the collection and processing of alerts within the Group, unless the relevant persons are subjects of the alert:

- the direct hierarchy of the person who made the alert;
- the indirect hierarchy of the person who made the alert;
- the Ethics & Compliance Officer of the Group; the General Counsel & Compliance Officer of the Group is also informed of the alerts;
- where applicable, an Internal Audit ad hoc team, dedicated to this task;
- where applicable, external service providers.

##### 5.1. Direct hierarchy

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The direct hierarchy is the first level of responsibility to which a collaborator of GTT may make a report in application of the present procedure.

## 5.2. Indirect hierarchy

The indirect hierarchy is the different levels of responsibility, beyond the direct hierarchy, to which a collaborator of GTT may make a report in application of the present procedure.

## 5.3. Ethics & Compliance Officer

This is the person specifically designated by the Chairman to receive the alerts in application of the present procedure, when these alerts cannot be treated by the direct or indirect hierarchy, or when the person making the alert does not want the alert to be treated by his/her hierarchy.

From the adoption of the present procedure, this duty is guaranteed by the Ethics & Compliance Officer of the Group. The General Counsel & Compliance Officer of the Group is also informed of the alerts in order to guarantee the permanence of the function and the continuity of the service by the Compliance team. Access to the alert e-mail box is strictly limited to the above Compliance team in order to guarantee the confidentiality of the whistleblower.

The Ethics & Compliance Officer will:

- assure regulatory vigilance;
- lead, when appropriate, compliance plans of action;
- decide what happens after an alert, in particular, any verification to be made and propose the disciplinary sanctions to be taken by the competent persons and/or whether a lawsuit should be filed.

The Ethics & Compliance Officer keeps the person who made the alert informed of the proper measures taken after the alert where permissible.

He or she decides whether or not to inform the members of the Executive Committee ("Comex") and/or involve internal services (internal Audit) or external services to investigate an alert.

## 5.4. Internal Audit

This is the team dedicated to directing the verifications and investigations following an alert.


It is composed of a representative of the Human Resources Department and, at least, two other members appointed on a case-by-case basis, by the Ethics & Compliance Officer, depending on the nature of the reported facts.

It is called upon by the Ethics & Compliance Officer to investigate the facts that have been reported. As such, the internal audit team is held to a strict duty of confidentiality regarding the identity of the person who made the alert and alert's content. This team acts under the supervision and responsibility of the Ethics & Compliance Officer.

## 5.5. External services

In function of the seriousness and/or complexity of the reported facts, as well as the country where they took place, the Ethics & Compliance Officer may decide to call upon an external service to lead the necessary investigations.

This service is selected for its competencies, references and ability to respect the confidentiality obligations applicable to the processing of the warnings, provided for in Section 7.

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## 6. Code of conduct and behavior

### 6.1. Person who makes the alert

The system for collecting alerts respects the values of the Group. The person who makes the alert must act in good faith, without disparagement or defamatory denunciations or any deliberate attacks on the image or reputation of any other collaborator of the Group and/or the Group itself.

Any alert that is made in bad faith and/or with the intention to cause harm, will subject the person who made the alert to disciplinary measures and/or legal action.

An abusive denunciation may give rise to a lawsuit based on Articles 226-10 and following of the French Criminal Code, or the similar provisions in the applicable regulations of other relevant jurisdictions.

### 6.2. Presumption of innocence

Any person who is the subject of an alert is presumed innocent, as long as the reported facts have not been established by a Court decision.

In order to guarantee the rights of the person who is implicated by the alert, the Ethics & Compliance Officer makes sure to inform this person, when it becomes possible, so that this person can provide his or her defense, while maintaining the reporter's confidentiality.

When protective measures are necessary, in particular to protect against the possible destruction of evidence regarding the alert, the information from the person implicated by the alert will be included in the investigation phase.

### 6.3. Confidentiality

All persons/entities in charge of the collection of alerts, listed in section 5, are held to ensure the strict confidentiality of the persons who have made an alert, the persons who are implicated by the alert and the information collected.

Pursuant to French law, it is strictly forbidden to disclose to anyone, except to the judicial authority, any information to identify:


- the person who made the alert, without his/her consent;
- the person object of the alert, before that the strength of the alert has been established

Such a divulgation is punished by two years' imprisonment and a fine of 30,000 euros, under the French Criminal Code.

## 7. Raising alerts

### 7.1. To whom should an alert be addressed?

The Group encourages its employees to address their alerts to their direct or indirect hierarchy.

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Employees can also, at their discretion, address their alert to the Ethics & Compliance Officer either by post or e-mail.

- Any alert by post must be addressed to the hierarchical superior or the Ethics & Compliance Officer:

Madame ou Monsieur le Responsable Ethique & Compliance – GTT

1, route de Versailles,

78470 Saint Rémy Lès Chevreuse (France)

The letter should include the statement that it is “Confidential”.

- those wishing to make to an alert can also address it by e-mail to the following address: [ethics@gtt.fr](mailto:ethics@gtt.fr).

Only the Ethics & Compliance Officer and the General Counsel & Compliance Officer of the Group have access to this e-mail address’s mailbox.

## 7.2. How should an alert be addressed?

GTT Group encourages alerts to be made in writing, in printed format or electronically.

There is no predefined form to use to make an alert.

The person who makes an alert is asked to provide facts, information or documents, when possible and regardless of their format or media, to support the alert, so that the alert can be processed diligently and efficiently.

It is preferable in the treatment of alerts that they are made known to the Ethics & Compliance Officer, their anonymity being strictly guaranteed (except to the judicial authorities). In this case, the Ethics & Compliance Officer can, as the case may be, keep the person who made the alert informed of its handling, and with the person’s agreement, involve him or her in the investigation when appropriate.

## 8. Alert processing


### 8.1. Methods to receive alerts

On the receipt of an alert and by response electronically or by post, according to the information available, the recipient of the alert transfers it to the Ethics & Compliance Officer, who informs the person who made the alert, without delay, of the alert’s reception and consideration of its admissibility.

The Ethics & Compliance Officer decides what happens next on the receipt of an alert and uses, when applicable, the internal Audit service or an external service.

Within a month from the receipt of an alert, the Ethics & Compliance Officer must decide on:

- the relevancy of the alert in terms of the overall purpose of the alert system;
- the need to inform the Comex or CEO;
- the determination of actions to be taken in order to verify the materiality of the reported facts;
- whether there it is necessary to inform the person under investigation;
- informing the person who made the alert regarding steps taken following his alert.

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## 8.2. Verification of the facts

The Ethics & Compliance Officer may form an internal audit team in order to investigate the reported facts. The Ethics & Compliance Officer may also involve the services of an external provider.

These investigations are carried out in accordance with the laws in place, in particular those laws protecting the confidentiality and the private life of a person who makes an alert, as well as the presumption of innocence.

Following this, all the necessary verifications are made regarding the confidentiality of the person who makes the report, the subject of the report and the persons implicated by the alert. This confidentiality also applies in case of communication to third parties, when it is necessary for the sole purpose of verifying or processing the alert.

## 8.3. Methods following the processing of the alert

At the end of the investigation phase, the Ethics & Compliance Officer, decides what happens after the alert is made.

The Ethics & Compliance Officer decides if it is necessary to inform the Executive Committee and/or the Chairman.

The Ethics & Compliance Officer informs the person who made the alert, and if necessary, the person implicated by the alert of the measures that may be taken.

If the reported facts are proven, the Ethics & Compliance Officer informs the Human Resources Department in order to take any necessary disciplinary measures, in accordance with the internal regulations.

Furthermore, and if necessary, the company makes a disclosure to the legal authorities and/or starts any legal proceedings it determines are appropriate.

## 8.4. Protection of personal data

Personal information is collected and treated in accordance with this alert procedure and applicable regulations regarding the protection of personal data.

In conformance with these same regulations, employees can, at any moment, access the information concerning them and/or change the data in case of errors.


Nevertheless, the person who is implicated by an alert, even though he/she has the right to access and modify the information about him/her, cannot obtain the identity of the person who originated the proceedings unless compelled by law.

This information can be accessed by contacting the Ethics & Compliance Officer by e-mail or post.

## 8.5. Maintenance of data

If disciplinary measures or a legal action must be started, then the information must be held until the end of the proceedings.



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If no further steps are envisaged, then the information must be destroyed at the latest within two months following the closing of the investigations, unless local law or standards require a longer period.

### **8.6. Protection of a person who makes an alert**

A person who makes an alert should not be subjected to any discrimination or retaliation as a result of his or her alert.

In this respect, no one who, in good faith, has reported a breach of the provisions in 4.1 in accordance with the legislation in effect can be:

- sanctioned, dismissed or be subject, directly or indirectly, to a discriminatory measure in particular regarding remuneration, incentive measures or the distribution of stock, training, redeployment, assignments, titles, categorization, career development, or contract change or renewal;
- excluded from a recruitment process or from admittance to a placement or from a professional development training period.

## **9. Implementation of the Procedure**

This procedure will enter into force after consultation with the employee representative bodies and will be the subject of a declaration in accordance with the "Data Protection" law where applicable.

## **10. Alert to judicial or administrative authority**

French law provides for a gradual reporting system that must be respected (unless otherwise provided by a local law that would be applicable, instead of French law, to the person who made an alert).

Thus, in principle, the making of an alert must be brought to the knowledge of:

- the direct or indirect hierarchical superior, or
- the advisor designated by the Group (in this case: the Ethics & Compliance Officer).

In the absence of diligence by the person who receives the alert (the hierarchical superior or the Ethics & Compliance Officer) to verify, in a reasonable period, the admissibility of the alert, this can be addressed to:

- the judicial authorities (ex.: the public prosecutor) or
- the administrative authorities (ex.: the Financial Market Authority, the French Anticorruption Agency, etc.).

The alert can be made public only as a last resort and only in the hypothetical scenario that the authority to which the alert had been made has not processed it in a period of three months. This is also the case when there is a serious and imminent danger or the risk of irreversible damages.