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**CODE OF ETHICS AND INTEGRITY OF THE
EMPLOYEES OF
EnergoNuclear S.A.**

Rev. 3

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EnergoNuclear S.A.

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Chapter 1

GENERAL PROVISIONS

- 1.1 The purpose of the Code of Ethics and Integrity (Cod) is to establish the fundamental principles, values of ethics and integrity that must be the basis of the conduct of the employees of EnergoNuclear S.A.
- 1.2 The provisions of the Code shall apply to all employees of EnergoNuclear S.A., regardless of the duties they perform - type of work, place of work and duration of the employment contract.
- 1.3 The implementation of the Code of Ethics and Integrity in EnergoNuclear S.A. is useful for promoting ethical professional conduct and avoiding the occurrence of situations that could affect the company's reputation.
- 1.4 EnergoNuclear S.A. ensures the necessary conditions for the employees to be aware of the regulations that govern their behaviour, the prevention and reporting of frauds and irregularities, though this Code.
- 1.5 This Code illustrates the commitment of Energonuclear S.A. to the creation and development of the culture of compliance, by applying the highest standards of ethical conduct in carrying out the company's activities.

Chapter 2

DEFINITIONS, BASIC TERMS

In this Code, the basic terms are defined as follows:

- a) **investigation**: The initial stage of investigations on the fact, which starts after notification. The purpose of the investigation is to verify whether the notification has a real basis or not and is carried out by a small number of people;
- b) **employees**: Persons employed under an employment contract;
- c) **conflict of interest**: The situation of incompatibility in which a person is who has a personal interest that influences the impartiality and objectivity of the performance of official duties;
- d) **personal interest**: Any advantage for the person in question, the husband/wife, relatives up to the fourth degree inclusive;
- e) **disciplinary investigation**: The second stage of investigations on misconduct;
- f) **confidentiality**: Keeping the secrecy of some documents, reports, contracts, etc. in progress or recently completed, on the person accused of fraud and on the person who made a notification;
- g) **error**: Unintentional mistake, due to insufficient information, insufficient professional experience, professional negligence or exaggerated enthusiasm; detecting the error imposes on its author the obligation to notify the direct hierarchical superior and the General Manager.
- h) **evaluation**: Annual assessment of an employee's results;
- i) **forgery**: Misrepresentation, counterfeiting or knowingly omitting works, reports, contracts, equipment, processes or results;
- j) **integrity**: The company's employee policy for respecting human dignity and the environment;
- k) **legal norm**: Legal provision that regulates the carrying out of certain activities within the

company, laws for respecting human dignity, prohibiting the use of drugs, chemical or radioactive substances, etc.;

- l) **notice:** The written communication made to a person against whom the investigation procedure is to be started;

Chapter 3

VALUES AND PRINCIPLES

3.1 In their activity, the persons covered by this Code will fulfil the following general values and principles:

- a) Lawfulness;
- b) Independence;
- c) Objectivity;
- d) Impartiality;
- e) Transparency;
- f) Personal responsibility;
- g) Professionalism;
- h) Openness to progress;
- i) Dialogue and consensus;
- j) Confidentiality;
- k) Integrity.

3.2 The commitment to this set of values implies that each person involved in the activities of EnergoNuclear S.A. accepts and applies these principles:

- a) **Knows, understands and fully complies with the laws**, regulations and norms applicable to the field of activity of EnergoNuclear S.A.
- b) Proves **independence** in their activity, does not surrender to political, religious, economic or other pressures, accepting only legal, scientific and ethical constraints. Clearly dissociate themselves from any personal relationship and formulates conclusions independent of any kind of personal institutional commitment.
- c) Has an **objective** attitude in his/her activities. Provides correct information, makes statements and expresses opinions only in possession of the necessary data and information, beyond any individual emotional appreciation based on prejudices and impressions. Makes recommendations and makes decisions based exclusively on factual data and accurate, thoroughly verified information.
- d) Makes statements and or express opinions in an **honest, neutral and impartial** way. Does not apply double standards in evaluation and is not biased towards or against an action, persons or institutions involved. Does not discriminate based on gender, ethnicity, age, religion, etc. in carrying out the activities.
- e) Makes efforts for maximum **transparency** as regards rules, procedures, requirements etc. Can always provide motivations based on consistent and correct information for the opinions expressed and the decisions made. Does not hide or distort the findings.
- f) Takes **personal responsibility** for the statements and opinions expressed and can prove at any time the agreement between them and the applicable legal regulations, the internal rules of EnergoNuclear S.A., the required standards and the factual data. Accepts the obligation to account for the activities undertaken, opinions and conclusions formulated and to bear the consequences for possible non-fulfilments.

- g) Maintains a high level of **professional competence**. Offers consultancy, expertise based on well-defined and recognized standards in the field in which they work. Relies on high demands and professional solidarity, manifests moral obligation to work for the continuous improvement of activities. Professional competence also implies **responsible professional care**, as such, those involved in evaluation activities will prove to be good listeners and observers, will treat others with respect, as they want to be treated, will take into account the needs and expectations of the evaluators and persons evaluated, such as needs related to time, communication, complexity of work or costs involved.
- h) Is **open to progress**, responding to local or regional social changes, to the needs of the beneficiaries of its services. As much as possible, facilitates professional, managerial, ethical competition. The whole activity is based on an open and participatory attitude.
- i) Promotes **dialogue**, adequately evaluates the different points of view of the involved parties and tries to harmonize them by promoting personal dedication and team spirit.
- j) Is faithful to the principle of **confidentiality** in providing, completing, using and ensuring access to information in accordance with accepted rules and procedures. Acts with discretion and protects personal and intellectual property data in self-assessment activities.
- k) In his/her conduct, is guided by dignity, justice, scrupulosity and honesty, that is, he/she is integral, honest and incorruptible.

Chapter 4

RESPONSIBILITIES

4.1. CEO

- guarantees that all the company's employees will take note of the provisions of the Code of Ethics and Integrity of the Employees of EnergoNuclear S.A.
- supports the principles incorporated in this document through personal example.
- guarantees the fact that violations of ethical conduct rules, reported by any employee, are analysed promptly and objectively and are followed by appropriate preventive/corrective measures.
- takes measures to prevent retaliation following good faith reports regarding potential violations of laws, regulations or policies and ethical conduct rules of the company.
- orders, by administrative act, the creation of the ethics and integrity commission to be activated when cases of misconduct are reported
- approves the proposals for disciplinary actions resulting from the report of the ethics and integrity commission and orders their concrete application.

4.2. Deputy CEO

- guarantees that all the company's employees will take note of the provisions of the Code of Ethics and Integrity of the Employees of EnergoNuclear S.A.
- supports the principles incorporated in this document through personal example.
- guarantees the fact that violations of ethical conduct rules, reported by any employee, are analysed promptly and objectively and are followed by appropriate preventive/corrective measures.
- takes measures to prevent retaliation following good faith reports regarding potential

violations of laws, regulations or policies and ethical conduct rules of the company.

- at the proposal of the heads of departments/directions under his/her subordination, based on supporting documents, in agreement with the General Manager, decides to apply, concretely, disciplinary measures, in accordance with the legal provisions in the matter

4.3. Project Director

- ensures compliance with the provisions of the Code of Ethics and Integrity of the Employees of EnergoNuclear S.A. within the Project Management Department;
- supports the principles incorporated in this document through personal example;
- guarantees that accusations of discrimination reported by an employee and/or collaborator are analysed promptly and objectively and the necessary corrective measures are applied;
- at the proposal of the heads of departments under his/her subordination, based on supporting documents and after carrying out careful checks, proposes to the General Manager/Deputy General Manager, as the case may be, to apply, concretely, disciplinary measures, in accordance with the legal provisions in the matter.

4.4. Heads of organizational structures

- comply and ensure compliance with the provisions of the Code of Ethics and Integrity of the Employees of EnergoNuclear S.A. in the subordinated department.
- supports the principles incorporated in this document through personal example.
- analyse the situation in case of conduct and integrity problems and report them, using the ethics line of EnergoNuclear S.A., for ethical advice.
- guarantees that accusations of violations of ethical conduct laws, regulations or policies, reported by any employee, are analysed promptly and objectively by notification to the General Manager of EnergoNuclear S.A.

4.5. Executive personnel

- comply with the provisions of the Code of Ethics and Integrity of the Employees of EnergoNuclear S.A.
- act with responsibility in the fulfilment of work duties and behave in such a way as to contribute to the elimination of irregularities from the provisions of this Code, at their place of work.
- bring to the attention of the hierarchical superior any manifestation of violation of the provisions of this Code that is likely to affect the personal image, the image of the organizational structure to which they belong or the image of the company.
- use the ethics line established in EnergoNuclear S.A, to report deviations from the provisions of the Code of Ethics, policies regarding discrimination and integrity at work.

Chapter 5.

CONDUCT

5.1 General Principles

Employees must demonstrate honesty, integrity and availability both in the activity carried out during the working hours and in their free time, in the case of addressing work-related problems. This includes the responsibility of employees to avoid activities and influences that could be contrary to these obligations.

Employees must comply with the letter and spirit of the regulations in force applicable in the activity. The General Manager can make recommendations and can offer interpretations of the legal requirements. It is the responsibility of each employee to make sure that they understand the legal responsibilities of their position.

At workplaces, self-discipline must be established and accepted as the usual way of carrying out current activities.

The behaviour of each employee regarding self-discipline must take into account the evaluation of the following aspects:

- a) good or poor activity;
- b) arriving on time or late to work;
- c) compliance with the rules and procedures or deviation from them;
- d) compliance or non-compliance with agreements;
- e) they depend on themselves and that is why the employees are fully responsible for their conduct and performance.

Employees who knowingly do not disclose or falsely present interests, relationships or involvement in potential conflict activities are subject to disciplinary measures.

Employees involved in transactions and financial operations must ensure that all records are correct and up to date. The acquisition, use, disposal or movement of funds and goods must be done in strict compliance with the applicable regulations.

The employees are responsible for keeping the company's assets used in carrying out the activities and which belong to the company, including measures to prevent theft and/or damage. The equipment, tools, materials and supplies shall be used only in the activities related to the job duties. Company assets must not be taken, sold, loaned, destroyed or thrown away without the necessary legal approvals.

The company management undertakes to comply with the principle of eliminating discrimination in the workplace. Each employee is expected to behave in such a way as to contribute to complying with the principle of teamwork.

Employees who believe that they have been subjected to discrimination can bring the case to the attention of their superior, being assured that they will find support.

The integrity of the employees is not only a matter of honesty towards the company's funds and assets, but also consists in honesty towards the use of working time. It is expected that the employees comply with all the rules regarding the working time by carrying out a daily activity corresponding to the remuneration they receive, reducing to a minimum absenteeism, lateness, leaves without pay and similar, established by legislation or company regulations.

The company's records resulting from the performance of specific activities must be drawn up in a real and correct way. This is of particular importance to fulfil the company's legal and management commitments and obligations. Records containing personal data of employees are confidential. They must be well protected and kept up to date, relevant and correct. Records can only be made available to authorized employees or legally qualified personnel in accordance with the applicable legal

procedures.

5.2 Behaviours

The organizational influences and of the heads of organizational structures on human behaviour, both equally important, are often either overestimated or underestimated. The superior performance of human resources depends on the alignment and harmonization of behaviours in all three components: of the organization, of the heads of organizational structures and of employees.

5.2.1 Organizational behaviours

The strategies of EnergoNuclear S.A., the policy, processes and practices directly influence the performance of human resources, being necessary to create a code of shared understanding of the norms and values of ethics and integrity for the company's employees.

EnergoNuclear S.A. continuously seeks to eliminate the conditions in which human error is promoted, while strengthening actions to reduce the consequences of error, which are based on the following principles:

- **The organization that continuously learns manages to achieve permanent improvements.**
 - a) The methods of critical self-evaluation are carried out periodically to identify the areas that lend themselves to improvement and to reduce self-satisfaction.
 - b) The employees are able to recognize the conditions specific to the activities that could lead to errors, as well as the effective methods of eliminating or minimizing potential errors.
- **The organization that ensures the immediate detection of weak points always achieves notable results.**
 - a) Preventive/corrective actions that do not solve the problem will be thoroughly investigated, as well as the events in question. Intolerance towards repetitive human errors is a permanent concern within the organization.
 - b) The preventive/corrective actions implemented must prevent the repetition of inappropriate actions.

They must be adequate to the error: error that can be due to skill, non-compliance with rules/procedures or lack of adequate knowledge. For example, training can be an effective remedy for errors involving lack of knowledge, but has little impact on errors due to non-compliance with the rules.

5.2.2 Behaviours of the heads of organizational structures

In order to obtain positive results in the management of human resources, the heads of organizational structures are characterized by the following behavioural traits:

- a) They specify clearly, in exact terms, the roles, responsibilities, expectations and standards, in order to prevent ambiguity and/or misunderstanding of the tasks, activities, actions that they convey orally or in writing;
- b) Analyse works with the support of employees with execution tasks, to identify potential sources of error. The organization of work, the working conditions, the availability of resources and information, ensuring operations with qualified personnel are analysed compared to the expectations and requirements of the work;
- c) Know the factors that influence human behaviour in order to improve the abilities to make decisions based on information about the organization and administration of work.

For example, tasks are assigned to employees in accordance with individual skills, without violating the provisions of the job description in question;

- d)** They solve conflicts between individuals or work groups, to reduce the impact on the safety and reliability of the company.

5.2.3 Employees' behaviours

Each employee is expected to demonstrate the following individual behaviours:

- a)** To demonstrate a sense of personal responsibility, by raising the level of knowledge, skills and attitudes necessary for their success in the activity.
- b)** To apply self-verification and accept being verified by others (cross-verification). Employees must follow and check each other's actions and thinking carefully. To apply the STAR principle – Stop, Think, Analyse, Revise”
- c)** To obtain appropriate information along the way, before continuing. When delays or unexpected conditions occur, which are outside the scope of normal conditions or procedures.
- d)** To follow the application of the approved procedures with a well-defined purpose, in a precise manner, even if there are faster methods of solving the problems that arise.
- e)** To communicate permanently with the team members, to confirm their understanding of the messages continuously and rigorously.
- f)** To ask, in order to obtain the necessary information, to plead for their position when problems arise, to take the initiative to ensure that the required actions are carried out, to resolve conflicts in order to obtain the best solutions when working in a team.
- g)** To know and apply the spirit of teamwork and to align their behaviour with the legitimate values and objectives of the company.

5.3 Conflict of interest

It is necessary that all employees perform their tasks in a manner that best reflects the company's interests. In any situation where the employees' ability to fulfil their responsibilities can be affected by their personal interests or personal considerations, there is the possibility of conflicts of interest. Since it is difficult to present a comprehensive list of conflict of interest situations, it can be said, in general terms, that an employee must avoid any situation that could:

- a)** knowingly involve any other employee, in any activity that goes against or does not correspond to the company's interests;
- b)** harm the employees' judgment, initiative or work efficiency;
- c)** damage or be against the company's activities or reputation.

The potential conflict is not limited to the employee himself/herself; it can also appear where the employee's family members or a business firm to which the family is associated have benefits.

Another area of conflicts of interest is the use of the position, confidential information or working time and, respectively, equipment, for personal gains. Such activities are generally called "company benefits".

EnergoNuclear S.A. always relies on the judgment and moral integrity of its employees in evaluating

situations that may cause conflicts of interest.

a. Bribery

Accepting money or values with the intention of influencing the decisions that an employee makes on behalf of the Company "EnergoNuclear" S.A., constitutes a crime and a serious conflict of interest.

b. Personal Benefit of Collaboration

Obtaining personal advantages by an employee who participates and intends to influence a company decision constitutes a conflict of interest.

Examples include:

- i.** concluding contracts for the supply of goods or services with a company in which the employee has personal interests;
- ii.** the tendency to influence the decisions of EnergoNuclear S.A. for the achievement of personal advantages or of companies in which the employee holds shares;
- iii.** accepting, during the negotiations of a contract, contracts that are unfavourable for EnergoNuclear SA, in exchange for obtaining personal advantages.

e. Confidential information

A conflict of interest is the use by an employee, outside of his/her duties, of information, data or documents that:

- i.** are not intended for the public;
- ii.** were obtained during their period of employment at EnergoNuclear S.A.;
- iii.** are confidential when they are provided by a third party of EnergoNuclear S.A. with this mention;
- iv.** are declared confidential or only for the use of EnergoNuclear S.A.

f. Conclusion of employment/collaboration/service provision contracts with third parties

Employees must be careful in accepting the conclusion of employment/collaboration/service provision contracts with third parties, even when they are free of charge.

Conflict of interest may arise if the employment determines obligations that could affect the employee's judgment or abilities to act in the interest of the company.

g. Political activities

As free citizens, employees have the right to carry out political activity, but not as representatives of EnergoNuclear S.A. and not within the company or during working hours.

Professional advancement based on political criteria is strictly prohibited in EnergoNuclear S.A.

5.4 Incompatibilities

Incompatibility is the prohibition (expressly provided by the law) to combine two or more positions/duties which, through their simultaneous exercise, could alter the objectivity with which the employee is required to perform his/her duties.

While, for the existence of a conflict of interest, the persons must make a decision that influences a personal interest, in order to be in a situation of incompatibility, a public official does not have to make any decision, but it is sufficient to exercise simultaneously two or more positions whose

accumulation is prohibited by law.

The regime of incompatibilities in the exercise of public dignities and positions is established in the national legislation, mainly by:

- Law no. 161/2003, regarding measures to ensure transparency in the exercise of public dignities, public positions and in the business environment, the prevention and sanctioning of corruption,
- Government Emergency Ordinance 57/2019 on the Administrative Code,
- LAW no. 176/2010 regarding integrity in the exercise of public positions and dignities, for amending and supplementing Law no. 144/2007 regarding the establishment, organization and operation of the National Integrity Agency, as well as for amending and supplementing other regulatory documents.

5.4.1 Incompatibility situations - examples:

- a) The position of mayor and vice-mayor, general mayor and vice-mayor of Bucharest, president and vice-president of the county council is incompatible with:
- the status of public official or employee under individual employment contract, regardless of its duration;
 - the position of president, vice president, chief executive officer, executive, manager, director, member of the board of directors or censor or any management or executive position in companies, including banks or other credit institutions, insurance and financial companies, in public companies or national or local interest, in national companies and undertakings, as well as public institutions;
 - the position of chairman or secretary of the general meetings of shareholders in a business company;
- b) The status of public official is incompatible with any other public position than that in which they were appointed, as well as with public dignity positions.
- c) Public officials may not hold other positions and may not carry out other activities, remunerated or not:
- ✓ in public authorities or institutions;
 - ✓ in the public official's office, except for the case where the public official is suspended from public office, under the law, for the duration of his/her appointment;
 - ✓ in public companies, business companies or in other profit-making units, from the public or private sector, in a family association or as a self-employed person;
 - ✓ **as member of a group of economic interest.**

The public official who is appointed by an administrative document, issued under the law, to represent the interests of the State in relation to the activities carried out by the economic operators with full or majority State capital or assets under the regulatory documents in force is not in a situation of incompatibility provided for by letters a) and c).

5.4.2 Measures to prevent situations of incompatibility

Employees of the company who are in a management or similar position, (according to NIF EN) managers with mandate contract and persons who are members of the Board of Directors shall fill in

the declarations of wealth and the declarations of interests, according to Law 176/2010.

The declarations of wealth and the declarations of interests shall be filled in and submitted:

- within 30 days from the date of appointment/election to the position, the start/end of the mandate or the start/cessation of the activity
- annually, by June 15th;
- upon suspension from the position for a period that fully covers a fiscal year, within 30 days from the date of termination of the suspension;

Failure to submit the declaration of wealth and declarations of interests by the EN personnel within the legal deadlines constitutes an offence and is sanctioned according to the legal provisions in force.

The activity of assessment of the declarations of wealth, the data, information and patrimonial changes occurred, the interests and incompatibilities, is carried out in the National Integrity Agency, established by Law no. 144/2007 regarding the establishment, organization and operation of the National Integrity Agency, as republished.

Employees who are in a situation of incompatibility shall contact the person responsible for the implementation of the provisions relating to declarations of wealth and declarations of interests for advice and implementation of the legal provisions within a maximum of 15 days from the date when they are in this situation.

According to the Labor Code, the individual employment contract is suspended by law, among others, in the case of holding a position within an executive, legislative or judicial authority, for the entire duration of the mandate, unless the law provides otherwise or in the case of holding a remunerated management position in the trade union.

5.4.3 Employment interdictions – Pantouflage

Pantouflage is a measure of institutional transparency and corruption prevention, within the 2016-2020 National Anticorruption Strategy. The main objectives of a system that deals with the migration of employees from the public sector to the private sector pursue that:

- ✓ certain information obtained by employees is not used abusively;
- ✓ the exercise of responsibilities is not influenced by personal gain, including by the hope for or expectation of future employment;
- ✓ access and contacts of employees/former employees are not used for unjustified benefits.

The notion of **pantouflage** refers to the migration of civil servants from the public sector to the private sector in order to be rewarded by private entities for the decisions made for their benefit during the public mandate.

Civil servant is the person appointed, by an administrative document, under the conditions of the law, in a public position.

Public position represents the set of duties and responsibilities, established under the law, for the purpose of carrying out the prerogatives of public power by public authorities and institutions.

Civil servants who, in performing their public position, have carried out monitoring and control

activities regarding companies or other profit-making units shall not carry out their activity and shall not provide specialist consulting at these companies for 3 years after they leave the field of civil servants.

As part of the recruitment, selection and employment process, the Human Resources Department requests from the participants in the employment contests a sworn statement, by which the applicants confirm that they are not in one of the prohibited situations provided by law. As example, two prohibitions are presented below:

- Current or former civil servants who carried out monitoring and control activities regarding EN, in the last 3 years;
- Current or former employees of CNCAN who left the institution within less than 1 year and who are going to hold a management position within EN (Order 86 of 30 March 2020 of the CNCAN President).

5.5 Methods and tools for monitoring the application of the provisions of the Code of Ethics and Integrity

The General Manager of EnergoNuclear S.A. decides the creation of the ethics and integrity commission, made of 3 persons, to be activated when cases of misconduct are reported. Cases of misconduct are analysed in two successive stages: investigation and disciplinary investigation.

1. Investigation represents the first stage and has the role of ascertaining the facts regarding the misconduct. The investigation shall start following a complaint and shall be carried out within a maximum period of 10 days from the date of becoming aware of the act committed. The person concerned shall be notified of the start of the investigation; the notification shall include the reasons for incrimination. If it deems necessary, the ethics and integrity commission will request clarifications from the person concerned. During the investigation, the confidentiality of the person who filed the complaint must be ensured.

The investigation ends with a report of the ethics and integrity commission, from which it must be concluded whether the complaint is well-founded or not. If it is well-founded, it will propose a disciplinary investigation of the employee in question. The report is forwarded to the general manager of EnergoNuclear SA who, if necessary, based on the proposals made by the ethics and integrity commission, will appoint the disciplinary investigation commission within 5 days.

In case of a complaint not supported by evidence, the general manager proposes the reconciliation of the parties.

Disciplinary investigation is carried out by the disciplinary investigation commission and in accordance with the provisions of Law no. 53/2003, republished, within 10 days from the date of its establishment and no later than 6 months from committing the act. The disciplinary investigation commission will draw up a Report of the preliminary disciplinary investigation commission by which it will propose, if necessary, disciplinary sanctioning of the person in question. This report records the procedural stages completed, the conclusions, the reasons that remove or support the proposed sanction and proposes disciplinary sanction related to the offense committed in relation to the seriousness of the disciplinary offense and taking into account the circumstances in which the act was committed, the degree of guilt of the employee, the consequences of the misconduct, the employee's general behaviour at work, any disciplinary sanctions previously suffered by the employee.

2. Following the approval of the report by the General Manager, the sanctioning decision will be issued, which will be communicated to the employee by the Human Resources Department within 5 calendar days from its issuance and will take effect as of communication.

The documents and the results of the investigation and/or disciplinary investigation are confidential and are kept by the Human Resources Department, which will provide the secretariat of both the ethics and integrity commission and of the disciplinary investigation

commission.

Disciplinary measures will focus on the behaviour and not on the employee. Their purpose is to correct the inappropriate behaviour that affects the work performance of the employee or other persons at the workplace and to improve the individual contribution to the company's achievements.

Chapter 6.

FINAL PROVISIONS

All employees of EnergoNuclear S.A. will take note of the provisions of the “Code of Ethics and Integrity of the Employees of EnergoNuclear S.A.”.

**Drafted by,
Ionut NANU**

Ionut Nanu

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