

# Whistleblowing guidelines

Whistleblowing enables individuals working in or connected a Cloetta entity to report about assumed or possible acts contrary to, or omissions to adhere to, specific external or internal rules that have occurred in in a work-context without risk of retaliation for his or her report. These actions cover a wide array of situations, from corruption, environmental crimes to serious manufacturing safety issues. However, clearly exempted from these rules are individual employment issues, dissatisfaction in the workplace, or similar matters. Any individual that makes a whistleblowing report in good faith to highlight assumed breaches against the rules set out in the Cloetta whistleblowing policy, and provided the individual had reasonable grounds to believe that the report is true, is protected from retaliation.

The aim of whistleblowing is to create a forum in which risks, and shortcomings are quickly identified, investigated, and rectified. This will contribute to a sustainable business and a high level of business ethics.

These guidelines provide a summary of the relevant provisions set out in the Cloetta Whistleblowing Policy which is available on Cloetta's intranet.

## 1. Whistleblowing at Cloetta – reporting channels

Cloetta maintains multiple ways of whistleblowing internally. Internal reporting can either be done centrally or, for entities within the Cloetta group that are based within the EU, to the local entity that you work for or have a relationship with. Central reporting is made to a group-wide reporting channel which is investigated on the most senior level of Cloetta. Local reporting on the other hand is conducted within the entity that you are employed by, supply to or have another relationship with.

Cloetta preference is that you put your name to allegations, however, you are always free to report anonymously if you prefer. Further, Cloetta recommends that reports are made in writing through the electronic service to ensure a good documentation of the report and also enable easier follow-up.

### **The central reporting channel can be reached by:**

The whistleblowing team comprise of Regina Ekström and Nathalie Redmo.

- Alternative 1: Written report through electronic service (<https://report.whistleb.com/en/Cloetta>).
- Alternative 2: Submit your contact details through the electronic service (<https://report.whistleb.com/en/Cloetta>) and a member of the whistleblowing team will revert to you.

### **The local reporting channels can be reached by:**

- Alternative 1: Written report through electronic service listed next to the relevant entity.
- Alternative 2: Submit your contact details the electronic service and a member of the whistleblowing team will revert to you.

Entity	Whistleblowing team	Link to reporting service
Cloetta Belgie N.V.	Tamara Thaels, Debby Tjon-Sien-Fat	[Joint channel]
Cloetta Danmark ApS	Marianne Nielsen, Therese Draftner	[Joint channel]

Cloetta Finance Holland B.V.	Natasja Deelen Debby Tjon-Sien-Fat	[Joint channel]
Cloetta Holland B.V.	Anneriek Sijperda, Annouk Bruggeling	[Dutch channel]
Cloetta Ireland Ltd.	Skirmante Miseviciene, Debby Tjon-Sien-Fat	[Joint channel]
Cloetta Slovakia s.r.o.	Martina Zomborska, Andrea Csonkova	[Slovak channel]
Cloetta Suomi Oy	Sari Mannerjärvi, Marjut Kahilainen	[Joint channel]
Cloetta Sverige AB	Regina Ekström, Nathalie Redmo	[SE channel]
Pickalot AB	Gabriella Svensson, Tove Parot	[Joint channel]

## 2. What rules are covered by whistleblowing rules?

Under the Cloetta whistleblowing policy, assumed breaches against three main rulesets that can be reported under the whistleblowing rules:

- 1) Assumed breaches against EU-legislation relating to among other food safety, protection of personal data and money laundering (a full list is available in [Article 2 here](#)),
- 2) Assumed breaches against national legislation which might for example cover bribery and corruption, fraud, conflict of interest and theft and embezzlement (see appendix 1 for a full list per country), and
- 3) Assumed breaches against i) Cloetta's Code of Conduct, ii) Cloetta's Supplier Code of Conduct or iii) product safety, integrity, quality and legality in production facilities at a Cloetta manufacturing site under BRCGS Global Food Safety Standard and SMETA certifications.

## 3. Who can file a report?

A number of categories of individuals are permitted to file reports under Cloetta's whistleblowing policy:

Working with Cloetta: employees, former employees, job seekers and trainees of Cloetta,

Members of supervisory bodies: shareholders and persons belonging to the administrative, management or supervisory body of an undertaking, including non-executive members,

Contractors: any persons working under the supervision and direction of contractors, subcontractors and suppliers.

## 4. What happens after a report?

The whistleblowing team will acknowledge receipt of a report as soon as practically possible and no later than 7 days from the day of the report. All reported concerns are taken seriously, and we will take appropriate action on each report. If a particular report does not fulfill our statutory obligations or covers any other assumed breaches set out in Cloetta's whistleblowing policy, if the matter has already been resolved or you are unable to provide sufficient information for an investigation, the whistleblowing team may opt not to investigate the report or might direct you to another function to make your report (e.g. issues with your immediate manager might render a recommendation to discuss the complaint with local HR).

The whistleblowing team may ask you to provide additional information if needed. It is possible to remain anonymous for as long as you want throughout this dialogue if you choose to report via our internal reporting channels.

If a breach of law or a serious violation of any other internal rules is deemed to have taken place, the whistleblowing team will recommend appropriate follow-up measures to the relevant legal entity's board. Such measures typically concern improved internal routines and working procedures, but also disciplinary sanctions (including formal warnings, dismissals and terminations of hire) in case of more severe misconduct. Food safety issues might be implemented without involvement of the relevant legal entity.

The whistleblower team will send appropriate feedback within three months of receiving the report.

The whistleblowing teams are under a legal obligation to keep your identity confidential and may only under very specific circumstances, normally with your consent, disclose your identity.

## **5. External reporting**

In accordance with whistleblowing legislation in the respective countries, it is possible to submit whistleblowing reports to certain authorities. The relevant authorities that can accept reports is listed for each country in Appendix 1. However, please note that for companies incorporated within EU, only assumed breaches against EU law and national legislation can be reported and for companies incorporated outside of the EU, only assumed breaches against national legislation can be reported. If you want to report an assumed breach against EU law, you may also report it to an EU body. Therefore, it is not possible to report assumed breaches of internal Cloetta rules or certifications to these authorities.

If you submit a report using these external channels, the protection from retaliation still applies.

## **6. Personal data**

By submitting a whistleblowing report, the relevant Cloetta entities may collect personal information about the person specified in a message, the person submitting the message (if not sent anonymously) and any third party involved, to investigate facts of possible breaches and misconduct under our code of conduct or other internal rules. The processing is based on the data controller's statutory obligations and the legitimate interest in preventing risks to the reputation and in promoting an ethical business activity. Processing is limited to competent and authorised persons that must handle this information confidentially. You may exercise your rights of access, rectification and objection, as well as limited processing of your personal data in accordance with data protection law, including the general data protection regulation (GDPR). These rights are subject to the security measures put in place to prevent destruction of evidence or other obstruction of the processing and investigation of the case. All data is stored within the EU. For further questions or complaints, you can address your request to [privacy@cloetta.com](mailto:privacy@cloetta.com).

Personal data included in whistleblower messages and investigation documentation is deleted within two years from closure of an investigation, with the exception of personal data that must be stored for a longer period to comply with applicable legislation. Investigation documentation and whistleblower files that are archived are anonymised according to the GDPR, they may not contain personal data through which persons can be directly or indirectly identified.

The data controller for the central whistleblowing service is Cloetta AB (publ) and for the respective local reporting channels it is the entity listed in the table. For the joint local channel, the local entities are joint controllers.

WhistleB Whistleblowing Center AB (org.no. 556873-2753, World Trade Center, Klarabergsviadukten 70, SE-107 24 Stockholm), is responsible for the whistleblower application, including processing of encrypted data, such as whistleblower messages. Neither WhistleB nor any subcontractors can

decrypt and read messages. That is, neither WhistleB nor its subordinates have access to readable content.

#### **7. Contact details to relevant Cloetta entities**

Cloetta AB (publ), P.O. Box 2052, SE-174 02 Sundbyberg, Sweden, +46 8 527 28 800, [privacy@cloetta.com](mailto:privacy@cloetta.com)

Cloetta Sverige AB, 205 42 Malmö, Sweden , +46 40 32 42 00, [info@cloetta.se](mailto:info@cloetta.se)

Cloetta België N.V., Everdongenlaan 25, 2300 Turnhout België, Belgium

Cloetta Denmark ApS, Vallensbækvej 18F, 2605 Brøndby, Danmark, +45 58 56 55 55

Cloetta Deutschland GmbH, Neutorplatz 3, 46395 Bocholt, Germany, +49 (0) 2871 / 27 24 10, [de\\_service@cloetta.com](mailto:de_service@cloetta.com)

Cloetta Finance Holland BV, Hoeverstein 26, 4903SC Oosterhout, Netherlands, +31 162 485 485

Cloetta Holland BV, Hoeverstein 26, 4903SC Oosterhout, Netherlands, +31 162 485 485

Cloetta Ireland Limited, The Jelly Bean Factory Ida Business & Technology Park Snugborough Road Blanchardstown Dublin 15, Dublin, Ireland

Cloetta Slovakia s.r.o., Ul. Zeppelina 5, 934 01 Levice, Slovakia, [cloetta@cloetta.sk](mailto:cloetta@cloetta.sk)

Cloetta Suomi Oy, Joukahaisenkatu 7, 20520 Turku, Finland, +358 010 303 41

Pickalot AB, Brogatan 7, 211 44 Malmö, Sweden, [privacy@cloetta.com](mailto:privacy@cloetta.com)

## Appendix 1 – Country-specific rules and external reporting channels

Please note that for the countries that have listed “delay transposition” the EU directive has yet to be transposed. These will be updated once legislation has been issued.

Country	Covered breaches / misconduct	External Reporting
Belgium	<i>Delayed transposition</i>	
Denmark	<p>"1 § Loven finder anvendelse på følgende: [...]</p> <p>2) Indberetninger, som i øvrigt vedrører alvorlige lovovertrædelser eller øvrige alvorlige forhold</p> <p>§ 3. I denne lov forstås ved:</p> <p>1) Overtrædelser: Handlinger eller undladelser, der</p> <p>a) [...] udgør en alvorlig lovovertrædelse eller et i øvrigt alvorligt forhold, jf. § 1, stk. 1, nr. 2, eller</p> <p>b) gør det muligt at omgå formålet med de regler, som henhører under lovens anvendelsesområde, jf. § 1, stk. 1.</p> <p>2) Oplysninger om overtrædelser: Enhver oplysning, herunder rimelig mistanke, om faktiske eller potentielle overtrædelser, som har fundet sted eller med stor sandsynlighed vil finde sted i den organisation, hvor whistlebloweren arbejder eller har arbejdet, eller i en anden organisation, som whistlebloweren er eller var i kontakt med via sit arbejde, og om forsøg på at skjule sådanne overtrædelser." (<a href="#">source</a>)</p>	<a href="#">Datatilsynet</a>
Finland	<i>Delayed transposition</i>	
Germany	<i>Delayed transposition</i>	
Ireland	<i>Delayed transposition</i>	
Netherlands	<i>Delayed transposition</i>	
Slovakia	<i>Delayed transposition</i>	
Sweden	<p>“rapportering i ett arbetsrelaterat sammanhang av information om missförhållanden som det finns ett allmänintresse av att de kommer fram” (<a href="#">source</a>)</p>	<a href="#">Link to relevant authorities</a>

Country	Rule	
Norway	<p>2 A-1. Rett til å varsle om kritikkverdige forhold i virksomheten</p> <p>(1) Arbeidstaker har rett til å varsle om kritikkverdige forhold i arbeidsgivers virksomhet. Innleid arbeidstaker har også rett til å varsle om kritikkverdige forhold i virksomheten til innleier.</p> <p>(2) Med kritikkverdige forhold menes forhold som er i strid med rettsregler, skriftlige etiske retningslinjer i virksomheten eller etiske normer som det er bred</p>	<p>A worker can always report directly to a public supervisory authority or other public authority. (No: "Arbeidstaker kan alltid varsle eksternt til en offentlig tilsynsmyndighet eller en annen offentlig myndighet).</p>

	<p>tilslutning til i samfunnet, for eksempel forhold som kan innebære</p> <ul style="list-style-type: none"> <li>a. fare for liv eller helse</li> <li>b. fare for klima eller miljø</li> <li>c. korrupsjon eller annen økonomisk kriminalitet</li> <li>d. myndighetsmisbruk</li> <li>e. uforsvarlig arbeidsmiljø</li> <li>f. brudd på personopplysningssikkerheten.</li> </ul> <p>(3) Ytring om forhold som kun gjelder arbeidstakers eget arbeidsforhold regnes ikke som varsling etter kapitlet her, med mindre forholdet omfattes av andre ledd.</p> <p><a href="#">(source)</a></p>	
<p>United Kingdom</p>	<p><i>Disclosures qualifying for protection.</i></p> <p>(1) In this Part a “qualifying disclosure” means any disclosure of information which, in the reasonable belief of the worker making the disclosure, tends to show one or more of the following—</p> <ul style="list-style-type: none"> <li>(a) that a criminal offence has been committed, is being committed or is likely to be committed,</li> <li>(b) that a person has failed, is failing or is likely to fail to comply with any legal obligation to which he is subject,</li> <li>(c) that a miscarriage of justice has occurred, is occurring or is likely to occur,</li> <li>(d) that the health or safety of any individual has been, is being or is likely to be endangered,</li> <li>(e) that the environment has been, is being or is likely to be damaged, or</li> <li>(f) that information tending to show any matter falling within any one of the preceding paragraphs has been, is being or is likely to be deliberately concealed.</li> </ul> <p>(2) For the purposes of subsection (1), it is immaterial whether the relevant failure occurred, occurs or would occur in the United Kingdom or elsewhere, and whether the law applying to it is that of the United Kingdom or of any other country or territory. <a href="#">(source)</a></p>	<p><a href="#">Link to relevant authorities</a></p>