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| **Financial Settlement Center**  **of Renewable Energy** | Appendix 8  to the decision Of the Supervisory Board of “FSC of RE” LLP  dated November 02, 2022  (Protocol No. 4)    APPROVED  by the decision of the Supervisory Board of “FSC of RE” LLP  dated November 02, 2022  (Protocol No. 4) |

**CODE OF BUSINESS ETHICS**

**OF “FINANCIAL SETTLEMENT CENTER OF RENEWABLE ENERGY” LLP**

**Astana, 2022**

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**1. General provisions**

1. This Code of Business Ethics of “FSC of RE” LLP (hereinafter referred to as – The Code and the Partnership, respectively) were developed in accordance with the legislation of the Republic of Kazakhstan, ST RK ISO 26000-2011 Guidelines on Social Responsibility (ISO 26000-2010 "Guidance on Social Responsibility", IDT), the Charter of “FSC of RE” LLP and other internal documents of the Partnership, taking into account recognized international standards of business conduct and is a set of rules that establish values, basic principles and standards of conduct aimed at developing corporate culture and strengthening the reputation of the Partnership.
2. The Code is mandatory for familiarization, execution and strict compliance by all officials and employees of the Partnership, as well as persons engaged under a contract for the provision of civil services.

3. The purpose of the Code are:

development of a unified corporate culture based on high ethical standards;

maintaining an atmosphere of trust, mutual respect and decency in the Partnership;

consolidation of the fundamental values and principles, norms of corporate (business) ethics and behavior that guide the officials and employees of the Partnership in their activities;

building effective interaction with stakeholders by applying the best practices of corporate (business) behavior.

4. The following concepts and terms are used in the Code:

1) The only participant - Ministry of Energy of the Republic of Kazakhstan, exercising the rights of ownership and use of one hundred percent state participation in the authorized capital of the Partnership;

2) Supervisory Board – the organ acting in the interests of the Partnership and the Sole Participant exercising general management over the activities of the Partnership, except for resolving issues referred by the current legislation of the Republic of Kazakhstan and the Charter of the Partnership to the competence of the Sole Participant, the audit commission (auditor) and the General Director.

3) General manager – the executive organ of the Partnership, accountable to the Sole participant of the Partnership and organizing the implementation of its decisions.

4) Officials - members of the Supervisory Board of the Partnership, members of the executive organ of the Partnership or a person solely performing the functions of the executive organ of the Partnership, as well as a person performing managerial functions in the Partnership (organizational and administrative or administrative and

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economic functions) and a person authorized to make decisions on the organization and conduct of procurement, holding a position not lower than the head of an independent structural unit in Partnership;

5) Business Ethics - a set of ethical principles and norms of business conduct, which are guided in their activities by officials and employees of the Partnership;

6) Conflict of interest - a situation in which the personal interest of an employee/official of the Partnership affects or may affect the impartial performance of his official duties, in which his personal interests may lead to non-performance and (or) improper performance of his official duties, and (or) entails or may entail a contradiction between such personal interest and legitimate interests of the Partnership, or the threat of a contradiction that could lead to harm to the legitimate interests and (or) business reputation of the Partnership;

7) Corporate culture – this is a set of behavioral models, norms and management methods based on values shared by all employees and officials and aimed at achieving the strategic goals of the Partnership;

8) Corporate conflict - disagreements or disputes between the bodies of the Partnership (Sole participant, Supervisory Board, audit commission (auditor), General Director of the Partnership);

9) Employee – a person who is in an employment relationship with a Partnership and directly performs work under an employment contract, as well as persons engaged under a contract for the provision of civil services;

**1. Values and principles of business ethics**

5. The core corporate values of the company are:

1) competence and professionalism – employees must have appropriate education, work experience, and the ability to make informed and responsible decisions. The Partnership creates conditions for its employees to increase the level of professional knowledge and skills, realize professional and creative abilities, develop potential and career opportunities. The Partnership values its employees and their work:

focus on achieving the goals of the Partnership;

professionalism and the desire to improve their professional level;

initiative and activity in the performance of official duties;

mutual support between employees;

2) openness - The Partnership strives for maximum transparency, openness and reliability of information about the Partnership. At the same time, the Partnership monitors the non-disclosure of information and information constituting commercial and other secrets protected by the legislation of the Republic of Kazakhstan;

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1. responsibility and integrity - The Partnership responsibly and conscientiously treats its obligations established by the requirements of the legislation of the Republic of Kazakhstan, contractual relations, business practices and moral principles. The Partnership is aware of its social responsibility to the state and society;
2. honesty and decency - The Partnership does not allow a conflict between personal interests and professional activities. Deception, silence and false statements are not compatible with the status of an official and/or employee of the Partnership;
3. non-discrimination - no one may be subjected to any discrimination based on origin, social, official and property status, gender, race, nationality, language, attitude to religion, beliefs, place of residence, age or physical disabilities, as well as membership in public associations;

6) sustainable development - in which the Partnership manages the impact of its activities on the environment, economy, society and ensures its sustainable development in the long term, observing the balance of interests of stakeholders.

6. When carrying out its activities, the Partnership ensures:

1) compliance with the legislation of the Republic of Kazakhstan, decisions of the Sole Participant and the Supervisory Board of the Partnership, as well as other internal regulatory documents related to the activities of the Partnership;

2) consistency of their economic, environmental and social goals for sustainable development in the long term.

3) observance and respect for the rights, honor, dignity of man and citizen;

4) striving to ensure that all his relationships with interested parties are mutually beneficial;

5) creating equal conditions for improving the professional qualifications of employees seeking self-education and professional development in accordance with the training and professional development programs of employees;

6) provides employees with remuneration for work, depending on the level of qualification, complexity and quality of the work performed;

7) takes all measures to ensure the safety and labor protection of employees in accordance with the legislation, and also creates safe working conditions for employees;

8) ensures non-disclosure of confidential information within the limits established by the legislation of the Republic of Kazakhstan and internal documents of the Partnership;

9) creates conditions for an open and trusting dialogue between officials and employees;

10) evaluates and encourages initiative ideas and suggestions of employees, the implementation of which has a positive effect for the Partnership;

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11) does not allow the granting of any privileges and benefits to individual officials and employees except on a legal basis, with the mandatory provision of equal opportunities to all;

12) is responsible for making decisions that are free from conflicts of interest at any stage of the process, from an official to any decision-making employee.

**3. Ethical standards of business relationships**

**Officials and employees**

7. Officials and employees of the Partnership must:

1) respect the state symbols – the National Flag, the National Emblem, the National Anthem;

2) observe generally accepted moral and ethical norms, respect the state language and other languages, traditions and customs of peoples;

3) show commitment and contribute to the sustainable development of the Partnership;

4) be polite and correct;

5) be intolerant of indifference and rudeness;

6) provide support and assistance to colleagues;

7) be attentive to other people's opinions;

8) to ensure the unity of word and deed, to fulfill promises;

8. Officials and employees assume the following obligations in relation to the Partnership Code:

1) carefully study, understand and faithfully follow its requirements. To express consent/confirm adherence to the established principles and norms of the Code, officials and employees fill out the appropriate form set out in Annex 1 to the Code, and if they have doubts about business ethics, they are guided by the memo developed for these cases, which is Annex 2 to the Code;

2) perform their official functions and duties in good faith, professionally, effectively and impartially;

3) be responsible for the obligations assumed, regardless of the status and position;

4) assist in conducting investigations on violations of the principles of business ethics;

5) comply with information security requirements and procedures.

9. The officials of the Partnership must:

1) to make management decisions that comply with the requirements of the legislation of the Republic of Kazakhstan, internal documents of the Partnership on the principles of transparency and impartiality;

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2) by personal example, to demonstrate adherence to the requirements of the Code, including through the formation of a culture of behavior in which employees freely express concern about non-compliance with the requirements of business ethics;

3) to devote time to creating team spirit among subordinates, team building into a team united by a common mission, values and principles of Camaraderie;

4) advise and mentor subordinates;

5) to provide, including in cases provided for by the legislation of the Republic of Kazakhstan, reliable information in a timely manner, without violating confidentiality standards, taking into account the decisions of the Sole Participant and internal documents of the Partnership.

10. Officials are responsible for creating a system of prevention, detection and resolution of situations related to violations of business ethics and rules of conduct.

**The only participant**

11. Relations with the Sole Participant are based on the principles of transparency, accountability and responsibility in accordance with the requirements of the legislation of the Republic of Kazakhstan, the Charter and other internal regulatory documents of the Partnership.

12. The procedure for the exchange of information between the executive organ, the Supervisory Board and the Sole Participant is regulated by the legislation of the Republic of Kazakhstan, the Charter and other internal regulatory documents of the Partnership.

**Government agencies**

1. The Partnership's interaction with state bodies is carried out in accordance with the requirements of the legislation of the Republic of Kazakhstan, the Charter and other internal documents of the Partnership, on the basis of the independence of the parties, in compliance with the principle of preventing corruption and other illegal actions, both on the part of state bodies and officials and employees.

**Business partners**

1. The Partnership interacts with business partners on the principles of legality, honesty, transparency and full responsibility for the obligations assumed in accordance with the terms of contracts and the requirements of the legislation of the Republic of Kazakhstan.
2. The Partnership complies with the terms of contracts with business partners and fulfills its obligations towards them.

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**4. Ethical standards for the implementation of the Partnership's activities**

**Privacy**

1. Officials and employees show a special degree of responsibility when working with data constituting confidential information, including personal data in accordance with the legislation of the Republic of Kazakhstan, internal documents of the Partnership and take all necessary measures to protect such information.
2. Officials and employees must take care to prevent unauthorized access and disclosure of confidential information to other employees who do not have access to confidential information, as well as to any third parties outside the Partnership, as well as to prevent the loss or destruction of data.
3. Officials and employees are obliged not to disclose confidential information during their employment, except in cases provided for by the legislation of the Republic of Kazakhstan, as well as after termination of their employment in the Partnership in accordance with their obligations.
4. Upon receiving information about a violation of the rules of confidentiality of information or a violation of the security of systems or devices, the employee must immediately report this fact in accordance with the procedure established by the internal document of the Partnership.

**Conflict of interest and corporate conflict**

1. Prevention of a conflict of interests is an important condition for ensuring the protection of: the interests of the Sole Participant, the Partnership, its officials and employees. All officials and employees are responsible for making transparent, timely and adequate decisions, free from conflicts of interest..

21. Officials and employees, in order to prevent a conflict of interests, must:

1. avoid any actions and relationships that could potentially cause a conflict of interest or the appearance of such a conflict;
2. refrain from providing benefits to legal entities that are managed or owned by a spouse, close relatives;
3. immediately report any commercial or other interest (direct or indirect) in transactions, contracts, projects related to the Partnership, or in connection with other issues in accordance with the procedure provided for by the Policy on Conflict of Interest Settlement in “FSC of RE” LLP;
4. notify in a timely manner about the performance of work and /or occupation of a position(s) in other organizations, about a change in the permanent (main) place of work;
5. not to use for personal purposes the resources, intellectual property, equipment and communications of the Partnership (including computer programs);

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1. if the employee is not sure of the correct decision, consult with the direct supervisor.
2. In the event of a conflict of interest, officials and employees are obliged to notify the anti-corruption compliance service (compliance officer), as well as their immediate supervisor or a superior head of the Partnership, in writing about the conflict of interest or the possibility of its occurrence, as soon as they become aware of it.
3. In case of corporate conflicts, its participants seek ways to resolve them through negotiations in order to ensure effective protection of both the rights of the Sole Participant and the business reputation of the Partnership. The main task of the Partnership's bodies in the process of resolving a corporate conflict is to find a solution that, being legitimate and justified, would meet the interests of the Partnership.

**Corruption and other illegal actions**

1. The Partnership makes every effort to prevent corruption and other illegal actions in order to obtain or preserve unjustified benefits and advantages, both from interested parties and from officials and employees.
2. The Partnership, officials and employees are obliged to comply with the norms of the anti-corruption legislation of the Republic of Kazakhstan, as well as the principles and requirements of the Anti-Corruption Policy in FSC of RE LLP and other internal regulatory documents of the Partnership on the prevention and combating of corruption.
3. Officials and employees are prohibited from:

1) to demand, agree to accept or accept items of commercial bribery/bribes, that is, to receive or agree to receive any financial or other benefit/advantage for the performance of their official duties improperly;

2) to offer, promise or make payments, except as provided for by applicable law, to present gifts to persons authorized to perform state functions, as well as to persons equated to them, for speeding up or simplifying established procedures;

3) offer, promise or make payments to third parties if there is a suspicion that payments can be used to speed up or simplify established procedures;

4) offer, promise or provide employment in a Partnership (including on a temporary basis) in exchange for personal benefits;

5) to give or receive gifts or other signs of hospitality that contradict the requirements of the anti-corruption legislation of the Republic of Kazakhstan and the internal regulatory documents of the Partnership.

1. Employees are obliged to inform the management of the Partnership about all cases of corruption offenses that have become known to them.

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**Occupational safety and health**

1. The Partnership creates the correct organization of work, safe working conditions and preservation of health of employees and officials of the Partnership, ensures fair remuneration and respect for the rights of employees and officials of the Partnership, individual development of personnel, implementation of social programs for personnel, in accordance with the requirements of the legislation of the Republic of Kazakhstan.
2. When performing their official duties, as well as while staying in the premises of the Partnership, employees must strictly comply with the safety regulations adopted and developed by the Partnership. Violation of the established safety regulations, committed intentionally or by negligence, and at the same time creating a threat to both one's own life and health, and others is a gross violation of labor discipline.

**Sustainable development**

30. The Partnership is building a management system in the field of sustainable development, which includes, among other things, the following elements:

1) commitment to the principles of sustainable development;

2) building a map of stakeholders and determining their impact on the activities of the Partnership;

3) integration of sustainable development into key processes, including risk management, planning, human resource management, reporting, operational activities, as well as into the development plan and decision-making processes;

31. Sustainable development is integrated into:

1. control system;
2. development plan;
3. key processes, including risk management, planning (development plan), reporting, risk management, human resources, operational activities, as well as decision-making processes.

**Corporate culture**

1. The purpose of the Partnership in terms of the formation of corporate culture is to achieve the following conditions:

managers create a climate that motivates employees to make maximum efforts to achieve results;

initiative from the employees of the Partnership and innovation are encouraged;

self-improvement and self-development are a conscious necessity;

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mutual observance of the conditions of respect for the human person equally for officials in relation to employees, and for employees in relation to officials and all other employees of the Partnership;

the official and the employee focus on the final result and the success of the common cause.

1. Officials and employees should form a team spirit and maintain compliance with the requirements of the Code in the following ways:
2. personal explanatory meetings with subordinates;
3. own example, using your behavior as a model for employees;

3) to ensure a universal understanding that compliance with requirements is a mandatory factor of efficiency in the workplace.

1. Officials and employees are obliged to comply with the internal regulatory documents of the Partnership on documentation issues and keep all necessary documentation in order. All employees should keep their workplace neat and presentable.
2. Officials and employees during the performance of their professional duties are recommended to adhere to the norms of business style in choosing clothes, shoes and hairstyles, in order to maintain a decent and professional image of the Partnership.
3. Officials and employees must adhere to the rules of the culture of negotiation, including telephone. Business negotiations should be conducted in a respectful and calm tone, without allowing negative emotions and raising the voice.
4. Avoid situations when unauthorized visitors are alone in the office. In the absence of the employee to whom the visitor came, it is necessary to politely redirect him, giving detailed explanations about who can solve the visitor's problem.
5. The Partnership welcomes the initiative of employees in public life, support for corporate events with personal participation in compliance with generally accepted rules of etiquette during corporate events.
6. Employees should be aware of the impact of their behavior on the reputation of the Partnership and avoid actions that are incompatible with the image of the employee of the Partnership.

**Public and media relations**

1. The Partnership strives to raise the level of public awareness both inside Kazakhstan and outside of its borders about its activities. This can contribute to the formation of a positive public opinion and strengthen the confidence of investors and the public.
2. The Partnership monitors compliance with high ethical standards in relations with the public and the media, does not allow the dissemination of false

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information, concealment and/or distortion of facts in public speeches of officials and employees, its information and advertising materials or other public relations events.

1. Only authorized officials and employees have the right to speak publicly, comment on the events of the Partnership or make any statements on behalf of the Partnership in the mass media, including social networks and the Internet.
2. When speaking on behalf of the Partnership, officials and employees are obliged to comply with generally accepted standards of professional conduct and business ethics, to disseminate only reliable information, and also to prevent the disclosure of confidential information.

44. Officials and employees should not publicly express their opinion on issues of professional activity and the activities of the Partnership in general, if it:

does not correspond to the main activities of the Partnership;

discloses proprietary information;

contains unethical statements addressed to officials or employees.

**Control measures**

1. Officials and employees are obliged to strictly adhere to the requirements of the Code and report any violations thereof.
2. Officials, in order to achieve the goals of the Partnership, make business decisions taking into account the fundamental values and principles of business ethics, and bear full responsibility for the implementation of the tasks assigned to them.
3. Officials and employees, according to their competence, are obliged to respond to problems related to violations of business ethics requirements by:
4. taking timely measures to correct the situation and eliminate deficiencies;
5. adoption/proposal of effective disciplinary measures in accordance with the procedure established by law;
6. consultations with the relevant structural units/bodies of the Partnership with the provision of necessary information to them.

**5. Practical application of the Code of Business Ethics**

1. The Partnership encourages employees to openly discuss the Code and positively treats any constructive proposals for its improvement.
2. For questions concerning the provisions of the Code and/or ethical issues that have arisen in the course of work, as well as for violations of the provisions of the Code, corruption and other illegal actions, employees, as well as business partners and interested persons have the right to contact:

to the immediate supervisor;

to the next level direct manager;

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the audit commission (to the auditor);

anti-corruption compliance service (compliance officer);

to the Secretary of the Supervisory Board (in the case when the facts of violation of the principles of business ethics and rules of conduct by officials are considered by the Supervisory Board of the Partnership);

to the head of the functional unit, whose responsibilities include the administration of business ethics issues.

1. The rights of the person who applied should not be infringed upon by any method of his treatment.
2. The structural unit responsible for the development of the Code ensures familiarization with the Code, after its entry into force, of all employees of the Partnership.
3. When hiring new employees, familiarization with the Code is carried out by the structural unit of the Partnership responsible for personnel work.
4. The Partnership conducts regular explanatory work, consulting, receiving requests and appeals from employees on ethics and conflicts of interest, instructs employees in cases of real conflicts of interest in order to resolve them correctly.
5. The Partnership keeps records of employee appeals (internal appeals), requests and appeals of third parties (external appeals - clients, partners, and other interested parties) on issues of ethics violations and legislation.

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Appendix 1

to the Code of business Ethics

“FSC of RE” LLP

**Confirmation Form**

*Use this form to confirm that you have carefully studied, understood and undertake to faithfully follow the principles of business ethics and rules of conduct established by the Code of Business Ethics of “FSC of RE” LLP (hereinafter referred to as the Partnership).*

*The completed and signed confirmation form from the moment of the beginning of the performance of labor and/or official duties in the Partnership during the period of performance of labor duties in the Partnership is stored in the personal file of each employee of the Partnership.*

**Confirmation**

Please fill out this form by marking the appropriate cells:

* I confirm that I have studied and understood the Code of Business Ethics of “FSC of RE” LLP.
* I undertake to faithfully follow the principles of business ethics and the rules of conduct established by the Code of Business Ethics of “FSC of RE”LLP.
* I agree, at least once a year during the term of performance of labor and/or official duties in the Partnership, to confirm that I have studied, understood and undertake to follow the principles of business ethics and rules of conduct established by the Code of Business Ethics of “FSC of RE” LLP.

**Surname, initials \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date «\_\_\_» \_\_\_\_\_\_\_\_\_\_\_\_\_\_20\_\_\_y.**

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Appendix 2

to the Code of business Ethics

“FSC of RE” LLP

**Memo**

**how to act in case of doubts about business ethics**

* 1. Officials and employees must understand the provisions of the Code, as well as other internal regulatory documents of the Partnership and always follow them. Those who do not comply with the Code put themselves, their colleagues and the Partnership at risk. It is always necessary to remember about the ethical side of the actions performed.
  2. In case of uncertainty about the correctness of their actions, everyone can ask for advice / advice / recommendation, and first ask themselves a few simple questions:

is the action that causes concern legitimate?

does it comply with the Code? Does it correspond to the values of the Partnership?

does it expose the Partnership to any unacceptable risks?

does it meet our obligations?

is there any other way of behavior that would not lead to an ethical conflict?

will there be a feeling of awkwardness if others find out about these actions?

does it seem right?

* 1. In order to determine whether a gift or an event is acceptable or not, everyone should first ask themselves the following questions:

the intention of the giver: "what is the purpose of the gift or event: is it only to show the usual signs of attention, or is it to influence the objectivity of a business decision?";

cost and frequency: "is this gift or event modest and infrequent, or can they impose some kind of counter obligations?";

legality: "are you sure that the gift or event does not contradict the legislation of the Republic of Kazakhstan and the Code?";

transparency: "wouldn't it be a shame if it became known to the management or others outside the Partnership?".

At the same time, everyone should understand that for offenses that create conditions for corruption, as well as corruption offenses related to the illegal receipt

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of benefits and benefits, he is responsible in accordance with the legislation of the Republic of Kazakhstan.

* 1. When making a decision that may affect the ethical behavior of a particular person or the Partnership as a whole, the following actions are recommended:

before you act, you need to think and ask yourself the above questions;

to study the relevant norms of publicly available documents of the Partnership and the legislation of the Republic of Kazakhstan;

consider options for resolving the issue and their consequences;

think about who it might affect;

determine your level of responsibility;

get acquainted with all relevant facts, documents and information;

assess risks and ways to reduce them;

think over the best course of action;

consult with others;

make sure that all the provisions contained in the Code and other internal regulatory documents of the Partnership are taken into account;

bring the decision to the attention of interested parties;

analyze the acquired experience and share it with others.

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**Approval Sheet**

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| **Post** | **Full name** | **Date** | **Signature** |
| General manager “FSC of RE” LLP | Nalibayeva G.K. |  |  |
| Deputy General Director  “FSC of RE” LLP | Zheksembinov S.Zh. |  |  |
| Compliance Officer of the Anti-Corruption Compliance Service  “FSC of RE” LLP | Mukusheva M.Sh. |  |  |
| Acting Head of the Financial Department “FSC of RE” LLP | Siraeva G.V. |  |  |
| Director of the Development and Planning Department “FSC of RE” LLP | Sapargaliev M.S. |  |  |
| Director of the Contracts Department “FSC of RE” LLP | Kalimova A.M. |  |  |
| Head of the Legal department DLS and AdS “FSC of RE” LLP | Isagul K. K. |  |  |
| Director of the Department of Legal Support and Administrative Support “FSC of RE” LLP | Baktygalieva E.V. |  |  |

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**The List of Familiarization**

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