

**Report of the Commission for consideration of appeals at Kazatomprom JSC for the period: December 2016 – June 2017**

No. of application	Date of receipt	Source of the appeal	Subject of the appeal	Means of appeal	Category	Short information on violation	Commission report date	Status of the appeal	Responsible division	Result
1	30.11.2016	Director General of Shymkentdorstroy LLP	Tender commission of Kazatomprom-SaUran LLP, Stepnoye-RU branch	email	Procurement complaints	Disagreement with the decision of the tender commission, unreasonable refusal from participation in the tender	30.11.2016	Reviewed	Procurement division	An investigation was conducted by the Procurement division. The violation was not confirmed.
2	03.12.2016	Representative of employees	Management of Kyzylkum LLP	email	Labor conflicts	Illegal dismissal and violation of the rights of 2 employees	07.12.2016	Reviewed	HR Department	The Department for Human Resources has prepared a response to the representative of employees (PL-A-73 dd. 06/01/2017)
3	13.12.2016	Law firm «Defence & Law» - representative of Resurs JSC	APPAK LLP	email	Other	Non-fulfillment of contractual obligations of APPAK LLP, delay in payment	20.12.2016	Declined	----	The message was received by the Work-flow Department of the Company and will be reviewed in accordance with the Law on Appeals.
4	22.12.2017	Employee of S&A	IHT LLP Director General	phone	Labor conflicts	Complaints against the Director General of IHT LLP on non-compliance with obligations on payment of remuneration for the use of intellectual property of employees of IHT LLP	21.12.2016	Declined	----	This employee applied earlier on the same issue and received an official response from experts of Kazatomprom JSC.
5	22.12.2017	Representative of Resurs JSC	APPAK LLP	email	Procurement complaints	Disagreement with the results of tenders of APPAK LLP for the supply of ion exchange resin	22.12.2016	Declined	----	The message was received by the Work-flow Department of the Company and will be reviewed in accordance with the Law on Appeals.
6	19.01.2017	Wellspring LLP	Semizbay-U LLP	email	Procurement complaints	Disagreement with the claim of Semizbay-U LLP about the non-compliance of the goods with technical specifications and the request for settlement of the dispute	24.01.2017	Declined	----	The message was received by the Work-flow Department of the Company and will be reviewed in accordance with the Law on Appeals.
7	16.02.2017	Anonymous	Potential party of the deal	email	Other	About risks in the forthcoming transaction of Kazatomprom JSC in Mongolia	16.02.2017	Reviewed	Department of protection of state secrets and security	A Report of Department of protection of state secrets and security was formed. The Management was given further measures.
8	21.02.2017	Gamma-Kolor LLP	UMP JSC	email	Procurement complaints	On the violation during the bidding process and the legitimacy of the rejection of the application for bidding in the Ulbinsk Metallurgical Plant (UMP) JSC	22.02.2017	Declined	----	The appeal was forwarded to the Work-flow Department for consideration in accordance with the Law on Appeals.

9	25.02.2017	Anonymous	Director General deputy of JV Inkai LLP	email	Misuse of official position	Use of the office auto by the Deputy Director General of JV Inkai LLP for personal purposes	06.03.2017	Reviewed	Department of protection of state secrets and security	An investigation was carried out, the fact was not confirmed.
10	03.03.2017	Anonymous	UMP JSC	email	Other	Infringements on Beryllium manufacture of Ulbinsk Metallurgical Plant (UMP) JSC	06.03.2017	Declined	-----	Rejected - the essence of violations was not clarified.
11	15.03.2017	Kazizotop LLP, Director	MAEK-Kazatomprom JSC	email	Other	Violations of the terms of the contract of MAEK-Kazatomprom JSC	24.03.2017	Reviewed	Department of protection of state secrets and security	The fact of violation was not confirmed
12	03.04.2017	Anonymous	Director of GRE-7	email	Labor conflicts	Abuse of office by the director of GRE-7, harassment of personnel, violation of ethics	10.04.2017	Reviewed	HR Department	Volkovgeology JSC established a commission, an investigation was carried out. In conclusion, there is a confirmation of the dismissive attitude of the manager with employees. Director resigned at his own request.
13	13.04.2017	Anonymous	Head of the Akdala section, JV SMCC LLP	email	Property theft	Property theft	14.04.2017	Reviewed	Department of protection of state secrets and security	The facts of violation of financial discipline were partially confirmed. Reprimands were announced.
14	26.04.2017	Director of Centre of education Astana-Gold LLP	Kazatomprom JSC employee	phone	Procurement complaints	Request for the supply of a price offer with a predetermined amount for the selection of another provider to study abroad	02.05.2017	Reviewed	Department of protection of state secrets and security	The violation was confirmed. Management brought employees involved to disciplinary action.
15	18.05.2017	Employee of S&A	Head of PDU-2 of Kazatomprom-SaUran LLP	email	Property theft	Property theft	22.05.2017	Reviewed	Department of protection of state secrets and security	An investigation was carried out, the fact was not confirmed.
16	19.05.2017	Remplats Invest LLP, Director General	Baiken-U LLP	email	Procurement complaints	Non-posting of a purchase advertisement	22.05.2017	Reviewed	Procurement division	Based on the results of the audit, violations of the procurement rules were confirmed. It is recommended to bring responsible persons to disciplinary punishment.
17	23.05.2017	Raza-stroi LLP, Director General	RU-6 LLP	email	Procurement complaints	Infringement of procurement rules	26.05.2017	Reviewed	Procurement division	Violations were confirmed, the Office of Procurement has recommended the management to specify the personal responsibility of the manager in charge of procurement
18	22.06.2017	Natonal company employee (Samruk-Kazyna group)	Bailanys-NAK LLP employee	email	Other	Unethical behaviour	27.06.2017	Declined	-----	The former Chief Transformation Officer confirmed that there was a reconciliation of the parties.

19	23.06.2017	Anonymous	Management of Geotechnical Service LLP	email	Misuse of official position	Conclusion of fictitious contracts with individuals, purchases from affiliated companies, purchases at inflated prices	27.06.2017	Declined	-----	This message was received for the second time. In 2015, the same message was investigated, the facts were not confirmed.
20	23.06.2017	Sales Manager, Toyota Tsusho	JV Inkai LLP	email	Procurement complaints	Infringement of procurement rules	28.06.2017	Declined	-----	The message does not specify the nature of the violation.
21	23.06.2017	Sapa-Kurylys LLP Director	RU-6 LLP	email	Procurement complaints	Infringement of procurement rules	28.06.2017	Declined	-----	The message was received by the Work-flow Department of the Company and will be reviewed in accordance with the Law on Appeals. In addition, this message was received by the Authorized body for Procurements of Samruk-Kazyna JSC.

#### Statistical data

Procurement complaints	43%
Labor conflicts	14%
Property theft	10%
Misuse of official position	10%
Other	24%