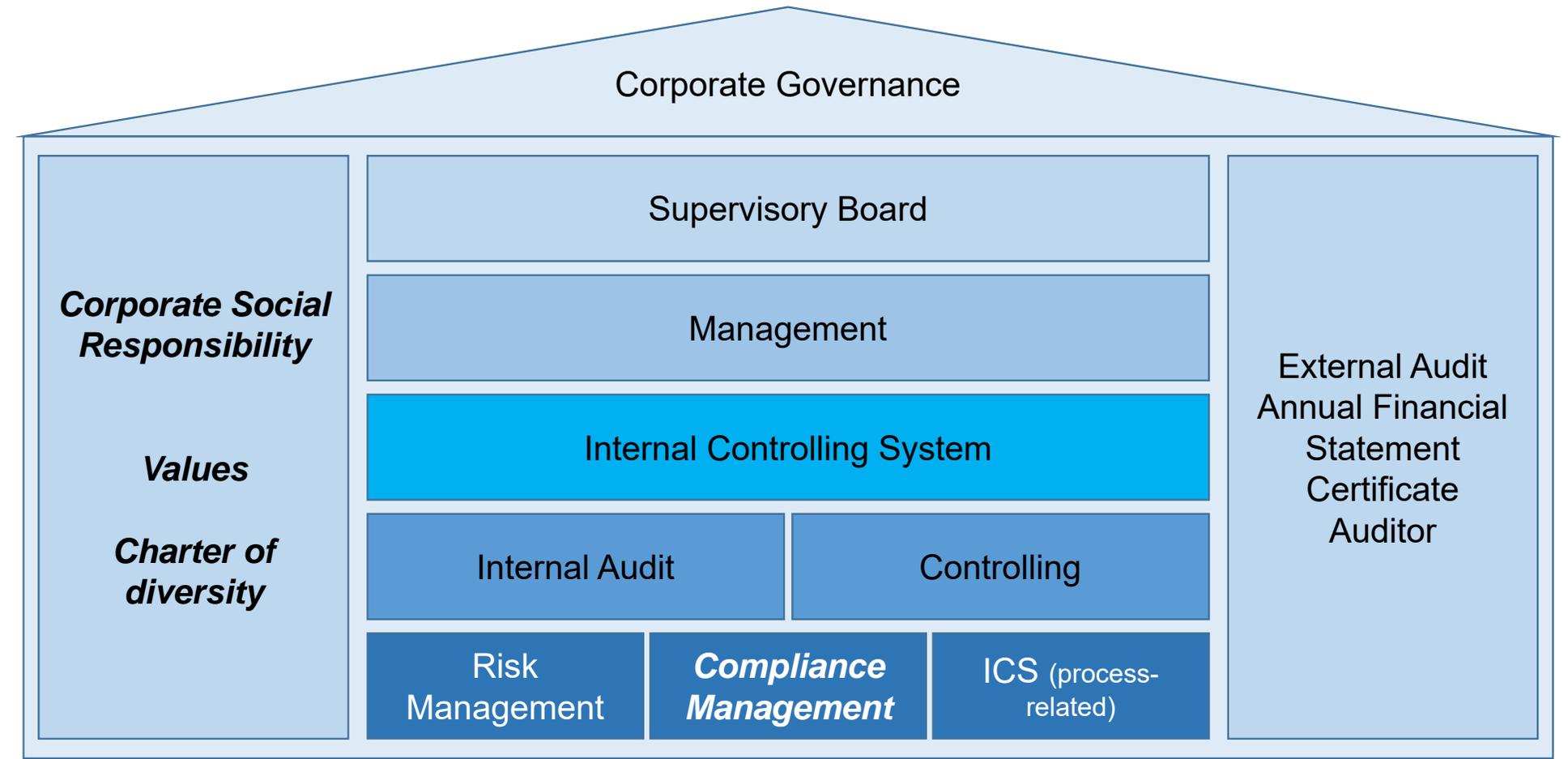


Creating Value

Compliance Management 2021

Corporate Governance der RWTÜV Group



Compliance Management System

What is our approach?

- ✓ Compliance is a basic element of solid corporate governance. Compliance with the law and internal rules is part of our corporate culture.
- ✓ We pursue a preventive compliance approach and strive for a corporate culture that excludes potential breaches of rules and anchors a sustainable culture of values.
- ✓ Violations, especially cartel or corruption violations, are not tolerated in the sense of "zero tolerance".
- ✓ All indications of misconduct are investigated. An external ombudsman is additionally available as a contact person
- ✓ Regular compliance reporting covers all levels of our Group up to the supervisory board.

Our goal is the sustainable and integrated compliance culture

Code of Conduct

General

- ✓ All employees and the legal representatives of the Group companies are bound by the provisions of this Code of Conduct.
- ✓ The Code of Conduct lays down the values, principles and practices with regard to entrepreneurial action.
- ✓ In all business decisions and actions, the Group companies shall comply with the applicable laws and other relevant provisions in Germany and abroad.
- ✓ The Group companies and in particular the Group parent company RWTÜV GmbH with the name "TÜV" are obliged to act in an economically, socially and environmentally conscious manner.
- ✓ Violations of this Code of Conduct will lead to consequences. In serious cases, this can lead to termination (in the sense of "zero tolerance") of the employment relationship. If it is a criminal offense, charges must be expected. If the company has suffered damage, the company concerned can claim damages.

Aim to uphold ethical standards and create a working environment that promotes integrity, respect and fair conduct

Code of Conduct

Fair competition

- ✓ Integrity and honesty promote fair competition, also in the relationship with customers and suppliers.
- ✓ We therefore conduct our business competently and ethically in all markets in which we operate and are committed to free competition.
- ✓ The aim is to avoid unfair advantages vis-à-vis customers, suppliers or competitors.

We are committed to fair competition and comply with laws and regulations.

Code of Conduct

Conflicts of interest & Anti - corruption

- ✓ In particular, it is forbidden to take an interest in competitors, suppliers or customers or to enter into business relationships with them in private, insofar as this may lead to a conflict of interest.
- ✓ Invitations must remain within the limits of customary business hospitality. No one may personally gain direct and/or indirect advantages through access to confidential information on the basis of their position.
- ✓ Our employees and executive bodies of the RWTÜV GmbH Group may not accept any gifts sent to their private address or to family members or friends.
- ✓ Invitations, gifts and other personal advantages may **only** be accepted or granted if the impression cannot be created that a consideration is expected and that these are socially adequate.
- ✓ Code of conduct in dealing with business partners
 - We are interested in a stable business cooperation with our business partners, which is based exclusively on the convincing quality of services, also in comparison with competitors. Therefore, we do not tolerate any corrupt behavior. Without exception, we do not accept orders that could actually or supposedly only be obtained through corruption.

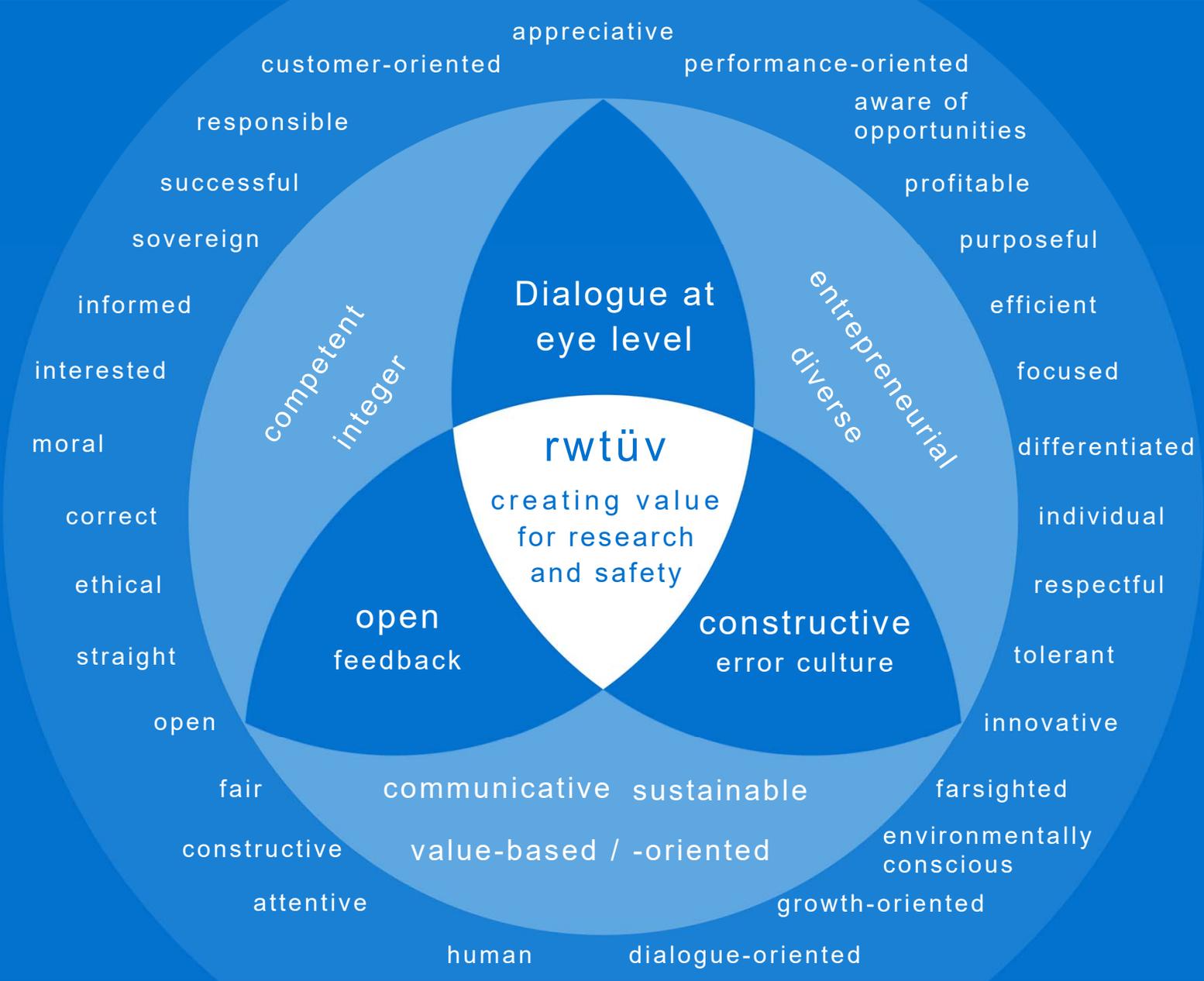
We actively avoid conflicts of interest and condemn any form of corruption and bribery

Code of Conduct

Data protection

- ✓ All personal information about employees, customers, business partners and suppliers as well as other third parties is processed carefully and in accordance with data protection.
 - Guiding principle 1: Our Group protects the personal or other confidential data of its shareholders, business partners, customers and employees.
 - Guiding principle 2: The processing of personal data is prohibited without a legal basis or without the consent of the data subject. Only data that is necessary for the legitimate fulfilment of tasks will be processed. The data shall only be processed for the purposes for which they were collected. Exceptions are conclusively regulated in the GDPR.
 - Guiding principle 3: Ensuring data protection and information security is a task and obligation for all employees.
 - Guiding principle 4: All managers of the Group are responsible for maintaining an appropriate security standard in data protection and information security in their area of responsibility.
 - Guiding principle 5: Data protection is an integral part of our IT security. Therefore, our IT security is measured against the principles of DIN/ISO 27001.

Our values



Diversity Charter

Diversity Charter

- ✓ RWTÜV stands for an appreciative and prejudice-free working environment and promotes talents on the basis of their performance.
- ✓ We want age, gender, gender identity, ethnic origin and nationality, religion and world view, sexual orientation and identity or physical abilities to have no influence on the assessment and appreciation of our employees.
- ✓ We have therefore signed the Diversity Charter, to which we have now been admitted as a signatory.



Diversity Charter

We thus voluntarily commit ourselves to

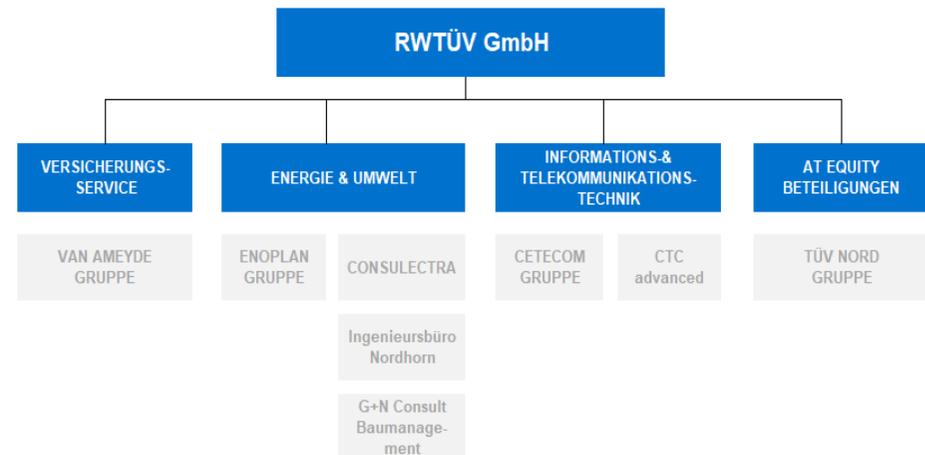
- ✓ cultivating an organisational culture characterised by mutual respect and appreciation. We create the conditions for managers and employees alike to recognise, share and live these values.
- ✓ reviewing our HR processes to ensure that they reflect the diverse skills and talents of all our employees, without compromising our commitment to performance.
- ✓ recognising the diversity of society within and outside the organisation. We value it as potential and as opportunities for the company.
- ✓ making the implementation of the Charter the subject of internal and external dialogue and to involving our employees in it.
- ✓ We are convinced that living diversity and valuing it has a positive impact on society in Germany.

This is us

Diversity in the Group

- ✓ With around 1,700 employees, more than 70 percent of them international, and a total of 98 companies, the RWTÜV Group stands for internationality and diversity.
- ✓ With its ten independent brands, the RWTÜV Group operates under the motto "Creating value" in 30 countries in Europe, Asia, America, Africa and Australia.
- ✓ For **150 years**, the RWTÜV Group has been promoting the ideas, innovations and creativity of its employees within the Insurance Services, Energy & Environment and Telecommunications business units in the interests of its customers and safety.
- ✓ CSR xxx

RWTÜV Group



Creating value since 1872



Thank You!

