

Board of Management Compliance Commitment

Compliance is particularly important for Uniper as a company operating worldwide and forms an essential part of its integrity and culture. We can expect our business transactions and projects to be accepted by society only if we comply with laws and regulations elsewhere and at all times. The integrity of each staff member is indispensable if we want to retain the trust of our stakeholders, such as our customers, suppliers and shareholders. Furthermore, this alone enables us to avert substantial legal and economic risks.

The legal framework for our activities must be observed without fail. That also applies to our internal policies, which give substance to the respective laws and regulations and to our ethical principles. Infringements will not be tolerated (zero tolerance). We would rather abandon business deals and internal targets than violate laws or policies. No supervisor is allowed to issue instructions to the contrary or to tolerate any infringements.

Non-compliance with laws and policies, in particular violations against anti-corruption, anti-money laundering and anti-terrorism regulations,

competition law, insider trading rules and capital market law, is no means of a successful business and might lead to a personal liability not only of the persons involved but also of the respective group company, its directors and officers and potentially even the whole Uniper group.

With its Compliance Management System, Uniper has taken far-reaching measures to mitigate compliance risks more effectively and to support management in acting compliant throughout the Uniper group. In their respective areas of responsibilities, all employees are requested to actively support our Compliance efforts.

