

Information for shareholders of Uniper SE and their authorised representatives regarding data protection

The following information explains how Uniper SE processes your personal data and outlines your rights under the EU General Data Protection Regulation (GDPR).

Who is the data controller?

Uniper SE, Holzstraße 6, 40221 Düsseldorf

You can contact the Data Protection Officer at Uniper SE by email at dataprotection@uniper.energy or by post at the following address:

Uniper SE, Data Protection Officer, Holzstraße 6, 40221 Düsseldorf.

What data does Uniper SE process?

In connection with the conduct of the Annual General Meeting, Uniper SE processes the following personal data relating to shareholders or their representatives:

- First name and surname, title, maiden name (if applicable)
- Date of birth
- Nationality
- Postal address and other contact details
- Information regarding your shareholding (shareholder number, number of shares, class of shares, type of shareholding, custodian bank)
- Individual login details for the AGM portal
- Other data arising in connection with the Annual General Meeting (e.g. grants of representative, requests for information, motions, nominations, statements via electronic communication in text form or as a video message, speeches via video communication)

When shareholders or their representatives visit the Annual General Meeting portal on the internet (hereinafter referred to as the "AGM portal"), Uniper SE collects data regarding access to the AGM portal. The following data and device information are logged in the web server log files:

- Pages and data accessed or requested (including the URL accessed);
- Date and time of the respective access;
- Indication of whether the access was successful;
- Type of web browser and operating system used;
- Referrer URL (the previously visited page), if the browser sends this;
- IP address of your device;
- Port through which access is made;
- Actions carried out within the AGM portal;
- Individual access data and session ID; and
- Login and logout with respective timestamps.

Where shareholders or their authorised representatives contact Uniper SE, Uniper SE will also process any personal data necessary to deal with the relevant enquiry, such as the email address or telephone number.

For what purposes and on what legal grounds is your data processed?

Uniper SE processes your personal data in accordance with the GDPR, the Federal Data Protection Act (BDSG), the German Stock Corporation Act (AktG) and all other relevant legislation for the following purposes:

Preparation, conduct and review of the virtual annual general meeting

Uniper SE processes personal data in order to prepare for, conduct and review on the Annual General Meeting, and to fulfil the legal obligations towards shareholders and their representatives arising in this context, in particular to

- process registrations for the Annual General Meeting and the connection of shareholders and their representatives to the virtual Annual General Meeting (e.g. identity verification, verification of eligibility to exercise shareholder rights and to connect via the AGM portal, compilation of the list of participants and making it available for inspection, dispatch of voting cards) and
 - enable shareholders and their proxies to exercise their rights within the framework of or in connection with the virtual AGM (in particular the granting and revocation of powers of attorney and instructions, and the exercise of voting, motion, comment, speaking and information rights, as well as the right to object to resolutions of the AGM in the manner described in the invitation to the AGM).

The legal basis for this processing is Article 6(1)(c) of the GDPR in conjunction with Section 67e(1) of the German Stock Corporation Act (AktG) and the obligations under company law pursuant to Sections 118 et seq. of the AktG.

The processing of personal data is necessary for the proper conduct of the Annual General Meeting. If you do not provide Uniper SE with the necessary personal data, Uniper SE may not be able to enable you to exercise your shareholder rights or connect to the virtual Annual General Meeting.

In connection with the virtual AGM, Uniper SE may also transfer personal data to legal advisers, tax advisers or auditors, as Uniper SE has a legitimate interest in organising the AGM in accordance with the relevant legal provisions and in seeking external advice for this purpose. The legal basis for this processing is Article 6(1)(f) of the GDPR.

Compliance with statutory reporting and disclosure requirements (in particular notifications regarding voting rights) and other statutory obligations, in particular record-keeping obligations.

In addition, personal data may also be processed to fulfil further legal obligations, such as statutory reporting and disclosure requirements (in particular notifications regarding voting rights), regulatory requirements, and retention obligations under company, commercial and tax law. For example, when authorising the representatives appointed by Uniper SE for the Annual General Meeting, it is mandatory to record the data serving as proof of authorisation in a verifiable manner and to store it in an access-protected manner for three years (Section 134(3) sentence 5 of the German Stock Corporation Act (AktG)). In this case, the legal basis for the processing is the relevant statutory provisions in conjunction with Article 6(1)(c) of the GDPR.

Further purposes of processing

In certain cases, Uniper SE also processes personal data to safeguard legitimate interests in accordance with Article 6(1)(f) of the GDPR. In addition, your data may also be used on the basis of legitimate interests to compile statistics, e.g. for the analysis of trends, or to establish, exercise or defend legal claims. This serves our legitimate interest in analysing the company's capital structure as a basis for business decisions.

Should we intend to process your personal data for any other purpose, you will be informed of this in advance in accordance with the relevant legal provisions.

Cookies and similar technologies

For the AGM portal, Uniper SE uses technically essential cookies, device information stored in web server log files, and web storage and local storage elements (collectively referred to as 'cookie functions'). Cookies are small files that are stored on your device by a website you visit. This enables Uniper SE, for example, to recognise whether there has already been a connection between the device used and the AGM portal, or which language or other settings you prefer. Cookies may also contain personal data.

You can configure your browser to notify you when cookies are set and to allow cookies only on a case-by-case basis, or to block or delete them generally. If you choose not to use cookies, it is possible that not all functions of the AGM portal will be available to you, or that certain functions will be available only to a limited extent.

The cookie functions used by Uniper SE are used solely for the purpose of providing the AGM portal, for the registration and identification of shareholders, and for the detection of misuse, troubleshooting and ensuring the smooth technical running of the virtual Annual General Meeting.

Uniper SE uses your browser's local storage to save your preference to hide the cookie notice and to make it easier for you to use the online service. The storage period is 6 months. In addition, Uniper SE uses technically necessary cookies. Session cookies enable information about your session to be stored and ensure the continuity and security of your online visit. The storage period is limited to the respective session. In addition, Uniper SE uses cookies that help to ensure the security and stability of the online service. These cookies enable potentially harmful activities, such as attacks by bots, to be detected and prevented. These cookies are stored for 2 hours.

The legal basis for the use of local storage and cookies is Section 25(2)(2) of the Telecommunications and Digital Services Data Protection Act (TDDDG) in conjunction with Article 6(1)(f) of the GDPR. Uniper SE requires this technical information to provide you with a functional and secure online service. You can delete data stored in local storage and block or disable cookies by adjusting specific settings in your browser. Please note, however, that the full functionality of the online service cannot then be guaranteed.

Where cookie functions are used in the provision of the AGM Portal that are not strictly necessary for the operation of the AGM Portal, such as functional or performance cookies, this will only take place if you have given your consent.

To which categories of recipients might your data be disclosed?

Service providers engaged for the purpose of preparing, conducting and following up on the virtual Annual General Meeting, including the provision of the AGM portal and its functions, shall receive from Uniper SE only such personal data as is necessary for the performance of the contracted service and shall process the data exclusively on behalf of and in accordance with the instructions of Uniper SE. All employees and all staff of external service providers who have access to personal data and/or process such data are obliged to treat this data as confidential.

External service providers, such as companies in the categories of printing and mailing services or support for the conduct of the AGM, are engaged to maintain the share register and to handle the technical aspects of the AGM. ADEUS Aktienregister-Service-GmbH, Munich, is commissioned to maintain the share register of Uniper SE.

Furthermore, it may be necessary for Uniper SE to transfer personal data to other recipients, such as external advisers (e.g. lawyers).

In connection with the conduct of the Annual General Meeting, the personal data of shareholders and, where applicable, their proxies may, under certain circumstances, be disclosed to other duly registered participants of the Annual General Meeting (e.g. by granting access to the legally required register of participants, by publishing motions subject to disclosure requirements or other requests on the Company's website, in connection with the publication of statements under the participants' names on the AGM portal, or in connection with other contributions made by shareholders or, where applicable, proxies prior to or during the virtual Annual General Meeting via the communication channels described in the invitation to the Annual General Meeting).

Is data transferred to third countries?

Personal data is generally processed in countries that are members of the European Union (EU) and the European Economic Area (EEA). Where shareholders are from countries outside the EU or the EEA (third countries), Uniper SE will also send information to these shareholders (e.g. invitations to Annual General Meetings). Should these communications also contain personal data (e.g. motions for Annual General Meetings stating the name of the proposer), this data will therefore also be transferred to third countries. In third countries, the provisions of the GDPR do not apply directly. In the absence of an adequacy decision by the European Commission, a lower level of protection for personal data may exist in these third countries. Transmission is nevertheless necessary in order to inform all shareholders equally, as Uniper SE may not exempt shareholders from third countries from the duty to provide information. By transmitting the data, Uniper SE therefore fulfils its contractual obligations. The legal basis for the transmission is Article 49(1)(b) of the GDPR.

Where does Uniper SE obtain your data from?

Shareholders are generally required to provide the Company with the information specified above. If a shareholder does not consent to the provision of this data, they cannot be entered in the register of shareholders and cannot exercise their rights as a shareholder. The credit institutions involved in the acquisition, custody or sale of Uniper SE shares regularly forward personal data and other information relevant to the maintenance of the share register (e.g. nationality, gender and the submitting bank) to the share register. This is done via Clearstream Banking Frankfurt, which, as a central securities depository, handles the technical processing of securities transactions and the custody of shares on behalf of credit institutions.

How long will your data be stored?

In principle, personal data is deleted or anonymised as soon as it is no longer required for the purposes mentioned above and Uniper SE is not obliged to retain it further due to statutory obligations regarding evidence and data retention. For data collected in connection with Annual General Meetings, the retention period is normally three years. Data stored in the share register is generally retained for a further 10 years following the sale of the shares. Furthermore, Uniper SE retains personal data only where this is necessary in connection with claims brought against Uniper SE (the statutory limitation period is generally 3 years, but in certain cases may extend up to 30 years). If Uniper SE becomes aware that a shareholder is no longer a shareholder of Uniper SE, it will, in accordance with Section 67e(2) of the German Stock Corporation Act (AktG), subject to other statutory provisions such as the AktG, the German Securities Trading Act (WpHG), the German Commercial Code (HGB) and the German Fiscal Code (AO), for a maximum of twelve months; data will only be retained for longer if this is necessary for legal proceedings.

What rights do you have?

You can view the key details about yourself stored in the share register at www.uniper.energy/hv-service and, if necessary, correct your address. At the above address, you may request information from Uniper SE regarding all data stored about you, in accordance with Article 15 of the GDPR.

In addition, provided the legal requirements are met, you may request the rectification of your data under Article 16 of the GDPR, the erasure of your data under Article 17 of the GDPR, a restriction on processing under Article 18 of the GDPR, or the portability of your data under Article 20 of the GDPR.

Right to object:

If your data is processed to safeguard legitimate interests, you may object to this processing at any time by writing to the address given above, in accordance with Article 21 of the GDPR, provided that there are reasons arising from your particular situation that preclude such data processing. Uniper SE will then cease processing the data, unless Uniper SE can demonstrate compelling legitimate grounds for the processing which override the interests, rights and freedoms of the data subject, or where the processing serves to establish, exercise or defend legal claims.

Please note: When you exercise your data subject rights, any personal data processed by Uniper SE in connection with the exercise of those rights will be set aside and stored on a restricted basis for a period of three years from the end of the calendar year in which your request was finally processed, for documentation and evidence purposes. This is based on our legitimate interest in providing evidence of the fulfilment of your requests and, where necessary, being able to defend ourselves on the basis of such evidence (legal basis: Article 6(1)(f) of the GDPR).

For questions regarding data protection in the share register, please contact the shareholder hotline at

hv-service.uniper@adeus.de

You also have the option of contacting the Data Protection Officer mentioned above with any comments or complaints, or, in accordance with Article 77 of the GDPR, contacting a data protection supervisory authority. The data protection supervisory authority responsible for Uniper SE is:

State Commissioner for Data Protection and Freedom of Information, North Rhine-Westphalia, PO Box 20 04 44, 40102 Düsseldorf: https://ldi.nrw.de/metanavi_Kontakt/index.php