

Board of Management Compliance Commitment

For the Board of Management, Compliance is a particularly important and essential part of Uniper's integrity and culture. We can expect our business transactions and projects to be accepted by society only if we comply with laws and regulations. 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.

As global players the legal framework for our activities must be observed without fail. This also applies to our internal policies, which give substance to the respective laws and regulations and to our ethical principles.

We have zero tolerance for infringements, and 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 regulations is no way to run a successful business. Violations of anti-corruption, anti-money

laundering and anti-terrorism regulations, human rights, sanctions, competition law, insider trading and capital market law have no place in our business model. Breaches might lead to personal liability not only of the persons involved but also of the respective legal entity, its directors, and officers and potentially even the whole Uniper Group.

With our Compliance Management System, Uniper has taken far-reaching measures to detect, stop and mitigate compliance risks more effectively. Our program supports management in leading with integrity since being a role model starts from the top. However, at Uniper ensuring compliance is the responsibility of all employees, at all levels.

