



## Compliance Helpline/Ombudsman's Office

The Board of Herba Group has implemented a programme set out in the code of conduct (**Compliance Helpline/Ombudsman's Office**) that allows partners of Herba Group, under the protection of anonymity, to report suspected infringements, suspected cases or simply ask questions about possible offences to an appropriate office (§ 11 HSchG/Informant Protection Act).

In situations in which partners do not want to report difficulties or problems to their usual contact at Herba Group, they have the option of contacting the external **Compliance Helpline/Ombudsman's Office**.

### What can a Compliance Helpline/Ombudsman's Office do for you?

The external Compliance Helpline/Ombudsman's Office manages the confidential reporting of suspected abuse, and violations of laws and regulations at Herba Group.

The primary aim is to prevent harm to employees, customers, partners and Herba Group itself.

Issues you can contact the Compliance Helpline/Ombudsman's Office about include the following:

- Offences, particularly those related to corruption, such as fraud, disloyalty, embezzlement, theft, bribery/corruption, etc;
- Other offences;
- Infringements of competition law;
- Infringements of money laundering regulations;
- Infringements against one of the provisions set out in the General Equal Treatment Act (GlBG);
- Harassment, stalking, sexual violence;
- Infringements of human rights due diligence obligations;
- Infringements of procurement guidelines;
- Infringement of internal regulations, notably compliance guidelines;

- Intentional data protection breaches and intentional infringements of legal or official information security requirements;
- Breach of business secrecy, disclosure of confidential information;
- Infringements of occupational safety regulations, quality assurance regulations or environmental protection rules.

### What happens after I make a report?

As soon as the Compliance Helpline/Ombudsman's Office receives a report, this report is checked for plausibility. If there is a suspected breach of criminal laws or a breach of internal regulations, such as against our code of conduct, this is forwarded, in agreement with the informant and on an anonymous basis, if necessary, to the circle of trust at Herba Group. The Compliance Helpline/Ombudsman's Office supports the Herba Group's circle of trust while it investigates the matter in question. The legal assessment of the matter under investigation and the determination of appropriate measures to eliminate and prevent incorrect business practices takes place jointly with the Compliance Helpline/Ombudsman's Office. As far as the law permits, the informant will be informed of this no later than on the conclusion of the process. In addition, the informant may enquire about the status of the process at any time.

### Anonymity and protection of the informant

If requested, the anonymity of the informant is protected at all times. Therefore, it is possible that reports may be anonymously forwarded to the responsible department at Herba Group by the Compliance Helpline/Ombudsman's Office. All communication then takes place via the Compliance Helpline/Ombudsman's Office, which is subject to legal confidentiality.

The protection of the informant is an essential part of the processing of reports. The informant is above all protected such that any retaliation against them is not tolerated.

The informant's desire for anonymity is opposed by the interest of the persons affected by the report in the disclosure of the facts. Therefore, deliberate misuse of the possibility to make reports is not tolerated. In case of intentional misuse of the reporting system, the Compliance Helpline/Ombudsman's Office may exceptionally share the identity of the informant with the company.

### Further considerations

1. In addition to your usual contact, the Compliance Helpline/Ombudsman's Office is another option when it comes to making reports. This does not affect other regulations on complaints and information.
2. Use of the Compliance Helpline/Ombudsman's Office is free for the informant.
3. The Compliance Helpline/Ombudsman's Office is not responsible for customer complaints.

## At a glance:

### The Compliance Helpline/Ombudsman's Office

- The Ombudsman's Office is an independent third party able to receive reports anonymously if desired.
- The Ombudsman's office can be contacted 24 hours a day/7 days a week and support is availability in various languages.
- The Ombudsman's Office can be contacted for free on 00800 – OMBUDSMANN or 00800 – 66283762, by fax to +49 (0)521 557333 – 44, or by email to: [ombudsmann@thielvonherff.com](mailto:ombudsmann@thielvonherff.com)
- The Ombudsman's Office's electronic reporting platform can be found at: <https://report-tvh.com/>

### The Compliance Helpline/Ombudsman Office – the legal representation behind it

Thiel von Herff | Rechtsanwälte

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