

Policy on the whistleblower system in the Biotest Group (Whistleblower Policy)

1. PURPOSE / PRINCIPLES

The purpose of this policy is to describe the process for receiving and processing reports of acts or omissions in the course of professional or business activities that are unlawful and may violate laws, rules and regulations or internal policies and procedures (hereinafter: "**Violations**"). Biotest expressly encourages its employees to report violations. This may include criminal offenses (e.g. theft, embezzlement, assault) and certain administrative offenses (e.g. in environmental protection, but not violations of traffic regulations) in the course of work at Biotest.

Existing participation rights of employee representatives are safeguarded and remain unaffected by this Directive.

2. SCOPE / AREA OF THE POLICY

- 2.1 This policy applies geographically to Biotest AG and subsidiaries of Biotest AG in Germany (hereinafter collectively referred to as "Biotest" or "Biotest Group").
- 2.2 The Policy applies personally to all employees of Biotest ("**Employees**"). In addition, the policy and in particular the offer to report violations via the whistleblower system also applies to employees in temporary employment and employees of Biotest's business partners ("**other persons**").
- 2.3 In addition, persons who wish to report possible violations of human rights and environmental goods within the meaning of the Supply Chain Due Diligence Act may provide information via the reporting procedures described in this policy. These persons, together with employees and other persons, are hereinafter referred to as "**whistleblowers**".
- 2.4 Further protective rights or procedural requirements of regulations that are directly and mandatorily applicable in accordance with a company agreement or a provision of the so-called GxP quality management system (GxP = GMP, GCP, GVP, GLP, and GDP) for the same subject matter shall take precedence over this guideline.

3. DEFINITIONS

- 3.1 An "**infringement**" is any act or omission in the course of a professional or business activity that is unlawful and potentially contrary to laws, rules and regulations or internal policies and procedures.
- 3.2 "**Whistleblowers**" are persons who recognize a violation and wish to disclose it. These may be employees of the company or other persons, such as customers, business partners and other stakeholders (see sections 2.2 and 2.3).

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- 3.3 A "**notice**" is any oral or written communication of information about violations to the employer or to a competent government agency.
- 3.4 "**Information**" about violations means reasonable suspicion or knowledge of actual or potential violations that have been or are very likely to be committed at Biotest or at another entity with which the whistleblower is or was in contact due to his or her professional activity, as well as attempts to conceal such violations.
- 3.5 "**Reprisals**" are actions or omissions in connection with professional activity that are a reaction to a report or disclosure and which cause or may cause an unjustified disadvantage to the whistleblower. An unjustified disadvantage can be, for example, conduct or actions by the employer and other employees which, following a report, disadvantage, sanction, discriminate against, place in a worse position or demean the respective whistleblower, including any conduct aimed at deterring further reports.
- 3.6 A report is made "**in good faith**" if whistleblowers have reason to believe that the facts they are reporting are correct and that they are convinced that they represent a circumstance that could lead to damage or disadvantage for the company.
- 3.7 Information can be provided via various reporting channels, in particular via
- the web-based software application "SpeakUp®" of the third-party provider People Intouch B.V., 1076 DE Amsterdam, Olympisch Stadion 6, The Netherlands in accordance with the functionalities for its administration, storage and archiving (the "**whistleblowing system**") as described in more detail in this policy, and
 - Internal reporting offices
- (see point 4. Reporting process).
- 3.8 "**Internal reporting offices**" are persons at Biotest who receive information and document this information in the whistleblower system. These persons have received special information and training on their obligations under the Whistleblower Protection Act. A list of these persons is provided in this Whistleblower Policy in section 4.1.1.2 below.
- 3.9 The heads of the Compliance and Audit departments act as "**coordinators**". They review the reports received and, if necessary, assign them to specific case handlers who have special expertise. Together, they are the authorized persons who are allowed to work in the whistleblower tool.
- 3.10 In addition, the respective terms from the EU Whistleblowing Directive (EU) 2019/1937, the German Whistleblower Protection Act, the EU General Data Protection Regulation (GDPR) and the German Federal Data Protection Act (BDSG) apply in their respective current versions.

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4. REPORTING PROCESS

4.1 How can advice be given?

Biotest has set up an electronic whistleblower system for receiving reports, where reports - also in anonymized form - can be submitted, either by personal input (direct) or with the help of one of the internal reporting offices (indirect). There are also other options for reporting.

4.1.1 Notification system:

Biotest offers to receive confidential and anonymous reports via the whistleblower system.

Reports received via the whistleblower system are processed and / or forwarded by the Head of Compliance and the Head of Internal Audit (the "**Coordinators**") in accordance with the procedures set out in this policy. Further details on the whistleblower system are set out in the company agreement on the introduction of a software-based whistleblower system.

4.1.1.1 Direct own reports via the whistleblower system

The whistleblowing system website can be used to enter information directly by the whistleblower themselves. Various languages are available for the website. The reports are automatically translated and can initially only be viewed by the coordinators in the original language and in English. If desired, the whistleblower can report their information anonymously to the whistleblowing system.

4.1.1.2 Indirect use of the whistleblower system via internal reporting offices

The following persons accept tips by telephone or e-mail and document these tips in the whistleblower system: These persons have been specially informed and trained on the obligations under the Whistleblower Protection Act:

- i) Head of the Compliance Department, e-mail: Hinweisgeber@Biotest.com ;
- ii) Head of Internal Audit, e-mail: Hinweisgeber@Biotest.com ;
- iii) Head of the HR department/Corporate HR (see organization chart intranet);
- iv) Head of occupational safety (see organization chart on the intranet), and
- v) Data protection coordinator from the legal department (see organization chart intranet).

(individually the "**internal reporting office**" and together the "**internal reporting offices**").

At the request of the whistleblower, a physical meeting with an internal reporting office is also possible in order to submit a report.

4.1.2 External reporting channels and offices:

According to § 7 HinSchG, the whistleblower has the right to choose whether to contact an external body:

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- i) Federal Financial Supervisory Authority for reports relating to the provisions of the Financial Services Supervision Act, the Securities Acquisition and Takeover Act and the Money Laundering Act;
- ii) Federal Cartel Office for reporting information on violations of European and German antitrust law; and
- iii) Federal Office of Justice for reports on violations of other criminal and administrative offenses.

In these cases, please observe the legal information provided by the respective authorities.

4.1.3 Public:

The reporter may only disclose information about violations to the public (e.g. press and social networks) if

- i) Biotest does not take appropriate measures to further clarify or prevent the violations within three months of the notification; or
- ii) the external authority does not take appropriate measures to further investigate or prevent the breaches within the time period provided for under the authority's relevant procedural rules; or
- iii) in exceptional cases, the use of internal or external reporting channels appears to jeopardize the public interest in the clarification or immediate elimination of the violation or the whistleblower must fear reprisals.

4.2 Initial recording of information

4.2.1 A report is created in the whistleblower system database for every internal report received. The reports generally contain the following information:

- i) Case number: is assigned automatically and consecutively as soon as it is received and entered into the database;
- ii) Case snapshot: Opening date, intake method if applicable, priority level, status, last modification, etc.;
- iii) General information on the case: type of report (type of problem), date of receipt/report; and
- iv) Case details: location, contact information of the reporter (if not anonymous), case information (names and titles of the parties, facts, details).

4.2.2 If the tip-off concerns one of the coordinators, the whistleblower should contact another internal reporting office directly.

4.2.3 If a report is received by an external reporting office, the recording and processing of the report is based on the legal requirements.

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4.3 How are reports processed?

4.3.1 Step 1 (Review of incoming cases)

If an internal reporting office receives a report via a channel other than the whistleblower system (e.g. in person, by telephone or by e-mail), it will collect as much information as necessary to fully clarify the facts and record it in the electronic whistleblower system.

As soon as the information is received via the whistleblower system, it is forwarded to the coordinators, where it is reviewed and discussed. For subsequent processing, it may be necessary to involve other persons who are obliged to maintain special confidentiality. In accordance with the principle of data minimization, a decision is made as to whether access to the case in the whistleblower system is necessary or whether specific questions, the content of which is documented in the system, are sufficient.

If the notification concerns one of the coordinators, this is recognized by the system and their access to the case is automatically blocked. The other, unaffected coordinator decides whether further organizational precautions need to be taken.

4.3.2 Step 2 (assignment of and coordination on cases)

If separate specialist expertise is required to clarify the case, the coordinators shall assign this case to one or more suitable experts who are bound to special confidentiality or, if necessary, consult with the legal department about the suitable person(s) to handle the case in question.

If the reports are serious compliance and quality reports that could have a critical impact on the company, or if they involve senior executives, or if this is appropriate for other reasons, the coordinators consult the other internal reporting offices on the committee.

4.3.3 Step 3: Confirmation of receipt and feedback to the whistleblower

The coordinators or one of the internal reporting offices will send the whistleblower an acknowledgement of receipt within 7 days of receiving the report, informing them that the incident is being investigated and encouraging them to provide additional details or documentation if necessary.

The information is checked for substantiation. The time frame for the review and feedback to the whistleblower should not exceed 3 months. This time frame can be extended if necessary. A final report will be provided to the whistleblower once the processing of a report has been completed.

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5. DATA PROTECTION AND CONFIDENTIALITY

- 5.1 The collection, processing and use of personal data are based on the principles of purpose limitation and data minimization and are carried out in accordance with the relevant statutory provisions and the supplementary regulations in this policy and the company agreement on the introduction of the whistleblower system.
- 5.2 The employer, as the controller within the meaning of the GDPR (Art. 4 No. 7 GDPR), shall take appropriate measures to ensure that the principles of data protection are observed.
- 5.3 The limits for the permissible collection, processing and use of personal data resulting from the GDPR and the BDSG are not extended by the works agreement on the introduction of the whistleblower system, insofar as the works agreement on the introduction of the whistleblower system formulates permissible circumstances. Any processing beyond this restriction defined here shall only be carried out for the purposes of data protection and data security control within the framework of Art. 6 para. 1 c) and f) GDPR, Art 88 GDPR in conjunction with Art. 26 BDSG or for other legal reasons. § Section 26 BDSG or for other legally compelling reasons, in particular in the event of a report or disclosure of knowingly false information.
- 5.4 As the controller under data protection law, the employer has taken the technical and organizational measures required pursuant to Art. 32 para. 1 GDPR.
- 5.5 Biotest shall ensure confidentiality with regard to the specific content of a report during the investigation process described in this guideline. This applies equally to the person providing the information, even after the investigation process described in this guideline has been completed. All coordinators (see sections 3.9 and 4.1.1) and all other persons involved in the process of investigating a report must sign a confidentiality agreement in advance.
- 5.6 In addition, the necessary confidentiality must also be ensured by ensuring that the circle of authorized persons who are aware of the names of whistleblowers is kept to the minimum possible for proper case handling.
- 5.7 Action against whistleblowers or others who seek advice, raise concerns, report misconduct or contribute information to an investigation is strictly prohibited. Biotest will not tolerate reprisals of any kind against whistleblowers acting in good faith; however, should such reprisals occur, the persons involved or responsible may be subject to disciplinary action, up to and including termination of employment.
- 5.8 If the whistleblower abuses the whistleblower system, for example by deliberately making false accusations, the whistleblower may be subject to measures under employment law, including dismissal.

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6. FINAL PROVISIONS

This guideline comes into force on January 1st, 2025. Biotest reserves the right to adapt the provisions of this guideline at any time in the future in accordance with operational requirements.

Dreieich, 23.12.2024



Martin Möller

Dreieich, 20.12.2024



ppa. Dr. Oliver Hein

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