

STIFEL EUROPE AG / STIFEL SCHWEIZ AG

WHISTLEBLOWER POLICY SUMMARY

Stifel Europe AG and Stifel Schweiz AG (“Stifel”) supports a corporate culture that emphasizes standards of honesty and integrity in dealing with one another and with its customers. Stifel is committed to providing a safe and supportive environment for individuals to speak up if they have reasonable grounds to suspect wrongdoing. The law relating to whistleblowers covered by this Policy are included in The Act for Better Protection of Persons Providing Information – Hinweisgeberschutzgesetz (“Whistleblower Act”).

We have implemented a whistleblower system through which both employees and third parties (e.g. customers, suppliers, employees of service and consulting companies) can contact us pursuant to the Whistleblower Act. Please note that the whistleblower system does not represent an entry channel for complaints.

You can make a disclosure by name or anonymously. Since we strive for open communication with customers, employees and third parties, we would like to encourage you to mention your name if you have any information. You do not have to fear any negative consequences if you submit a report, except in the case of demonstrable intentional misuse of the whistleblower system. In any case, we will treat your information as strictly confidential and take into account the legitimate interests of all those involved to the extent permitted by law.

Our contact details are:

Email: hinweis.stea@stifel.com

In written form:

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