

## Rules of procedure for the BASF complaints mechanism

### Who can contact the Hotline?

The Hotline may be contacted by all persons, including BASF employees as well as third parties.

### Which complaints can you submit?

The Hotline is a confidential channel through which you can ask questions and/or report a concern about actual or potential misconduct, violations of regulations or laws and BASF policies and BASF Global Code of Conduct.

Questions or reports can be related to any category of our Global Code of Conduct, such as environmental and human rights issues, handling of company property, antitrust laws, corruption and bribery as well as data and information protection.

### How can you reach the Hotline?

You can reach the BASF Global Compliance Hotline either through a toll-free telephone number, or through the website. Through the following link you can find the particular telephone number for the country from which you are contacting us: [EthicsPoint - BASF](#). If you want to reach us via the web-form, please follow this link: [EthicsPoint - BASF](#). There you will also find a QR Code for access via mobile phone, if preferred.

### How will your request be handled and what is the timeline?

When you call the phone number, your call will be answered by a representative from a call center. After choosing your preferred language, an automated announcement will guide you through the process. If your preferred language is not available, an interpreter will join the call to assist with the translation of your concern. Calls are not recorded, and confidentiality is always maintained. This is also ensured because our Hotline is operated by a well-established external provider of telephone and web-based hotline services.

If you report your concern via the web-form, you will get an acknowledgement of receipt from BASF after 48 hours at the latest. An electronic summary of your report or inquiry will only be made available to specific members of the BASF Compliance Team who will review it and determine further action. Depending on the nature of the report, the investigation may be assigned to the Legal Department, Human Resources, Corporate Security, Corporate Audit, or Corporate EHS.

The Hotline also allows for anonymous contact between yourself and the investigation team if additional information is necessary. Therefore, it is important to follow up on your report regularly. For this, you can either call the Hotline again, or, if you have chosen the web-form for contacting us, you can sign in on the website using your report key and password. The specific outcome of our investigations and any actions taken are confidential.

The investigation teams work as efficiently as possible to review and resolve matters. Each investigation is different and thus the length of time needed to resolve matters varies. BASF strives to handle all matters swiftly, i.e. rather within weeks than months and to get back to you regarding the matter after 3 months at the latest. At the conclusion of the case, you will receive a notification.

## **How are you protected from retaliation?**

BASF will not tolerate any kind of retaliation against anyone who, in good faith, reports a concern or participates in an investigation, even if the allegation ultimately is not substantiated. Any such retaliation is strictly prohibited at BASF and would be treated as serious misconduct. This is also anchored in our Code of Conduct. Therefore, you do not need to fear retaliation when you express your concerns or seek advice.

The BASF employees receiving these reports are trained to keep the information provided in the utmost confidence. Further, we follow the “need-to-know-principle”, i.e. access to the information is restricted and only allowed for those, who urgently need the information for handling the case. In addition, we apply an approach of independence. The people handling the cases are impartial, independent in case handling and bound to secrecy.

## **Can you remain anonymous?**

Yes, you may submit your matter anonymously. If you want to follow up on the case afterwards or share more information, you can contact us again at any time, also anonymously.

Despite anonymity you can provide your e-Mail address, so that you can be informed if BASF has an inquiry or wants to contact you regarding your request. Neither BASF nor the external provider of the hotline can see your e-Mail address. Thereby, your anonymity is maintained.

## **Review of effectiveness**

We review the effectiveness of the complaints mechanism on an ad hoc basis if needed, but at least once a year.

## **Competence**

The internal competence for the Hotline at BASF is with the division Corporate Compliance ([compliance@basf.com](mailto:compliance@basf.com)).