

# Rules of Procedure for Complaint mechanism according to German Act on Corporate Due Diligence Obligations in Supply Chains

## 1. Background

Integrity, sustainability and conduct in compliance with laws and regulations are the basis for the entrepreneurial activities of Peek & Cloppenburg B.V. & Co. KG, Düsseldorf<sup>1</sup> (hereinafter referred to as "P&C"). These values provide the basis for the trust of our customers and business partners, for the well-being of P&C employees, the employees of our suppliers, for the protection of the environment, for our corporate reputation and for sustainable economic success.

P&C expects from its employees, suppliers, and business partners to comply with laws and applicable regulations and to fulfill their contractual and legal obligations. Violations will not be tolerated but reviewed and sanctioned appropriately. Constant vigilance is required to prevent violations of laws and regulations, to identify them in good time and to remedy them immediately. For this reason, we enable our employees and external third parties to report potential or actual violations, thus giving P&C the opportunity to quickly clarify and remedy any issues reported and to act where necessary. In this way, we comply with our legal obligations in this regard.

### 1.1 Scope of Application

Violations within the meaning of this procedural rules includes all violations of applicable laws and internal regulations, in particular, actual or potential violations of human rights or environmental obligations, which are in the context of the economic activities of P&C and its direct and indirect suppliers (hereinafter "German Supply Chain Act").

### 1.2 Complaint Mechanism

The internal reporting channels listed below are available for information on possible or actual relevant violations of the German Supply Chain Act:

- Whistle-Blowing portal: <https://peekcloppenburglksg.integrityline.com>
- E-Mail: [liefereketten-compliance@peek-cloppenburg.de](mailto:liefereketten-compliance@peek-cloppenburg.de)
- Phone: +49 (0) 162-9522475
- Mail: Peek & Cloppenburg B.V. & Co. KG, Abteilung Compliance, Berliner Allee 2, 40212 Düsseldorf
- Personal meeting with a member of the Compliance department.

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<sup>1</sup> There are two independent companies with the name Peek & Cloppenburg in Germany with their headquarters in Düsseldorf and Hamburg. These are the Rules of Procedure of Peek & Cloppenburg KG, Düsseldorf, whose stores can be found [here](#).

Information is always treated confidentially and can also be submitted anonymously via the above-mentioned reporting channels, as far as possible.

## 2. Responsibility

Within P&C, the Compliance department is responsible for receiving, reviewing, investigating, and documenting incoming reports. The Compliance department also determines the necessary investigative steps.

## 3. Process Principles

**Objectivity and independence:** Investigations are conducted independently, impartially and without regard to the individual.

**Presumption of innocence:** Accused persons are presumed innocent until proven otherwise.

**Protection against discrimination and punishment:** P&C will not tolerate disadvantage<sup>2</sup> against or punishment of whistleblowers based on their information and will itself regard this as a violation. P&C will work consistently to ensure that whistleblowers who are not employed by P&C are also protected against discrimination. This protection does not apply if it can be proven that a whistleblower made a report against his or her better judgment.

**Proportionality:** All investigative measures must be oriented exclusively to the purpose of establishing and clarifying the facts of the case and must be suitable, necessary, and appropriate for this purpose.

**Confidentiality:** The disclosure of information about the report and its processing shall be limited to the necessary group of persons (need-to-know principle). The processors are obligated to maintain confidentiality regarding all information that comes to their attention. This applies to personal data. Other persons may only be informed on a legitimate basis. This may be the consent of the whistleblower, the person affected by the report, a legal provision or official order.

## 4. Process

The investigation process is basically divided into the following steps:



<sup>2</sup> Disadvantage in this sense includes any form of deterioration of the whistleblower's situation under employment law, e.g., through dismissal, warning, unjustified assertion of claims for damages, unjustified and disadvantageous transfer or changes in working conditions or unjustified non-extension of fixed-term employment contracts

#### **4.1 Receipt of the report**

The internal reporting office accepts all reports received via the complaint procedures provided and documents their receipt. If it is possible to contact the whistleblower, the receipt of the report is confirmed to the whistleblower within seven days.

#### **4.2 Plausibility check and categorization of the report**

The internal reporting office reviews whether the information received is a relevant violation according to the German Supply Chain Act and whether the information is plausible, i.e., describes a possibility of a violation that is not merely theoretical, and contains indications for further clarification. If the information is not plausible or does not qualify as an indication of a violation relevant to the German Supply Chain Act (e.g., in the case of customer complaints about the quality of a product), the whistleblower is informed of it. After checking the plausibility of the report, the internal reporting office categorizes it and, depending on the category, forwards it to another department or division responsible for further processing (e.g., the Corporate Social Responsibility department, the Purchasing department, the HR department, or the Occupational Safety department).

#### **4.3 Conducting Investigation**

The facts described in the report will be processed, discussed, and reviewed as part of an internal investigation. If possible and appropriate, the facts will be discussed with the whistleblower and the whistleblower will be informed about the status and progress of the investigation in a transparent and comprehensible manner. If necessary, a joint decision can be made with the whistleblower that the facts on which the report is based can be brought to a mutually agreeable solution in a dialog.

For clarifying the reported violation, the investigating division or department may take the following measure:

- Interviewing the whistleblower as well as other witnesses
- Interviewing the persons concerned or other persons named in the report
- Obtaining information from functional and decision-makers
- Obtaining further advice, including external advice (e.g., from lawyers, experts, specialists)
- On-site inspection (e.g., in the case of reported environmentally relevant violations)

#### **4.4 Remedial measures and investigation report**

Based on the (joint, if applicable) discussion of the facts and in exchange with the whistleblower, a recommendation on appropriate remedial measures is made in the final investigation report. If

necessary, an agreement on redress will also be reached. The remedial measures developed are to be implemented and followed up by the responsible management in each case. In particular, but not conclusively, the following can be considered as remedial measures:

- Adjustment of processes
- Labor law measures against responsible persons
- (Further) training
- Adjustment of risk assessment
- Development of a remedial concept and action plan together with affected suppliers

If possible, the whistleblower must be informed within three months after confirmation of receipt of the report about planned and already taken remedial measures.

#### **4.5 Review of remedial measures**

Implemented remedial measures are reviewed regularly and on an ad hoc basis to determine their effectiveness and sustainability. If P&C concludes that the implemented remedial measures were inadequate or were not implemented effectively, appropriate adjustments are made, and further measures are implemented if necessary.

#### **5. Effectiveness Control**

P&C conducts an annual and ad hoc review of the effectiveness of the procedure. If necessary, adjustments and changes are made regarding the accessibility and process of the complaint's procedure. As far as possible, the whistleblower is also asked about his or her satisfaction with the process and outcome of the investigation as part of the effectiveness review.

#### **6. Documentation and publication**

We document and report in accordance with the German Supply Chain Act. Publication of information regarding this complaint mechanism is always in anonymous form without mentioning names.