

Code of Conduct



1. Code of Conduct

This Code of Conduct is our mutually binding mission statement on corporate principles and matters of conduct within the company. It is supplemented by intergroup and local guidelines and operating procedures that are issued by Liveo Research Group companies.

Where legally and actually possible, we extend these principles to cooperation partners, suppliers, service providers and other third parties with which we have business relationships.

The principles that are stated here form the foundation for our commercial activities. They apply to all Liveo Research employees¹ in all the global group companies and branches.

2. Integrity and a Sense of Responsibility as a Company Principle

Integrity, transparency, diversity, fair and respectful dealings with others and responsible actions are all the fundamental values that are crucial to our corporate conduct and culture. The reputation of the company is a valuable commodity. We encourage and protect our fundamental values, the corporate culture, and our reputation in everything we do on a day-to-day basis.

We adhere to the laws and regulations that apply to the respective corporate locations. This is a matter of course as far as we are concerned. It is our duty to keep up to date with the applicable laws, standards, and regulations within the scope of our operational responsibilities. We are hereby supported by the responsible staff departments.

We endeavour to create and adhere to the highest standards with regard to transparency, sustainability, freedom from discrimination, fairness, and responsibility. This applies both when dealing with employees, customers, business partners and also towards other third parties and the public sector.

3. Company Interests and Conflicts of Interest

We always act in a responsible manner and in the best interests of the company. Conflicts of interest not only compromise our personal integrity but also the integrity of the company. We avoid conflicts of interest. Secondary employment has to be approved and is only permissible if it is certain that this will not result in conflicts of interest. This also applies to entrepreneurial participations that are not restricted to a lesser extent.

We will inform the respective superior if it is not possible to avoid conflicts of interest.

We exclusively use company resources for corporate use and not for private purposes and respect the tangible and intangible assets of Liveo Research, including customer relationships, data, brands, and patents.

¹ For reasons of legibility, we have dispensed with the simultaneous use of the male/female/diverse linguistic forms. Members of corporate bodies are deemed to be "employees" within the meaning of these provisions.

4. Corruption

We protect the perception of Liveo Research as a moral, transparent, and fair market participant. The giving and receiving of bribes, kickbacks, or other unreasonable benefits is prohibited. This also includes the giving and receiving of all socially unacceptable assets or intangible benefits that are aimed at influencing the actions of others. The prohibition applies both to public officials and participants in the private sector. We avoid all actions that could be construed as being an indication that we deploy unfair business practices.

5. Gifts and Invitations

We avoid accepting and giving socially unacceptable gifts, making donations, and extending invitations. Our employees do not accept any cash payments or comparable instruments as gifts and in addition they do not accept any gifts or invitations that are not transparent and given openly. The acceptance of gifts that exceed a market value of CHF 60 (EUR 50, US\$ 60, SGD 75) requires the consent of the respective superior or a corporate body member in the case of corporate bodies and registration in the respective donations register. No invitations or gifts are to be accepted or offered in the event of there being a direct business relevance with ongoing tender procedures, bidding procedures and towards public officials. We tax the acceptance and making of gifts, or the extending of invitations and ensure these conform with the valid fiscal legislation.

6. Donating, Sponsoring and Lobbying Work

We provide the community with financial and non-material support in addition to us supporting volunteers. We hereby act in a transparent and impartial manner. We refrain from carrying out unreasonable direct or indirect lobbying work and adhere to the requisite transparency rules.

7. Human Rights, Health & the Environment

Respecting human rights and protecting health and the environment are integral parts of our corporate responsibility.

We respect the dignity and individual rights of our employees, customers, business partners and other third parties. We condemn forced and child labour and all forms of exploitation and discrimination on the part of our suppliers and business partners, and we do not enter into business relationships with companies that directly or indirectly fall back on unfair or discriminating market and business practices or employment conditions.

In connection with the production and marketing of our products and the provision of our services, we endeavour to achieve responsible procurement in terms of the environment and the use of natural resources (energy, water, materials, and land). We deal with resources carefully and in a sustainable manner.

8. Health, Fairness and Safety in the Workplace

We provide our employees with a healthy and safe working environment, the right to work with fair and market-determined conditions and to participate in social life. We support the physical and mental health

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of our employees and create a working environment where both work and private life are compatible with one another.

9. Inclusion and Diversity

Inclusion, diversity, and equality are the fundamental corporate values at Liveo Research. We avoid all forms of discrimination on the ground of age, race, skin colour, sexual orientation, gender identity or gender expression, national origin, religion, or disability. This holds true for our business partners and employees and already applies when recruiting and making decisions as to whether to employ an applicant. We support a diverse and inclusive working environment in which all employees deal with each other with respect and dignity. We welcome and support a culture of discourse and an exchange of different opinions. We do not tolerate sexual harassment and other forms of harassment at the workplace. We avoid ostracism, bullying, slander, disparaging conduct and unobjective criticism.

10. Fair Participation in Competition

We support free enterprise and a competitive market system. We refrain from unfair, anti-competitive or untransparent market practices and conduct that can serve to damage or hinder competition. We also refrain from inappropriate conduct when in contact with competitors. We describe our products honestly, fully, and in line with market requirements.

11. Financial and Operational Integrity

We adhere to the accepted accounting rules and procedures. All records issued by our company are correct, complete, up-to-date, and truthful. Orders and postings are only carried out after the correct authorisation has been made and these are correctly and completely recorded. We manage our accounting, record-keeping, and other operational documentation securely and transparently. We present our operational situation to public authorities and auditors transparently, fully, and correctly. We do not accept cash payments and we also do not have any cash on the premises.

12. Responsible Data Management

We handle personal data responsibly and transparently. We process these data with the necessary care and in compliance with existing regulations and standards. We exclusively use them for permissible and operational purposes, delete data in accordance with current regulations and safeguard the recognised interests of employees and third parties as regards their data.

13. Open Error Culture, Zero Tolerance with Conscious Breaches and Protection of Informants

The provisions of this Code of Conduct form the foundation for our business activities and our cooperation within the company and when dealing with third parties.

It is our common understanding that we learn from errors. We communicate errors openly and in an objective manner and treat individuals who have committed errors in a fair and responsible way.

We implement these principles effectively. We follow up breaches of these principles by means of a transparent and fair procedure to protect our corporate interests. We protect employees and third

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parties who have honestly reported possible breaches of these principles and make a communication channel available for this which serves to ensure confidentiality.

14. Guidance and Transparency

The principles of our cooperation require regular discourse and ongoing development. Liveo Research provides additional guidance in the form of guidelines and operating procedures. The corporate bodies and executive staff, together with the responsible corporate departments within the company, serve as points of contact and advisors in the event of any cases of doubt and conflicts.

Basel, 21.07.2022

Dr Carsten Heldmann
CEO