



LINDT & SPRÜNGLI

Speak Up Policy

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Valid for: Lindt & Sprüngli Group | Contact: media@lindt.com





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1. Importance of Speaking Up

The Lindt & Sprüngli Group issue reporting channels are available to employees and third parties to raise a concern about suspected misconduct without fear of retaliation. The Lindt & Sprüngli Group particularly encourages employees to speak up.

The purpose of this Speak Up policy

The Lindt & Sprüngli Group and any legal entity belonging to the Lindt & Sprüngli Group (referred to as “Company” or “Lindt & Sprüngli”) are committed to conducting business with fairness and integrity, with respect for the laws and our values. Lindt & Sprüngli recognizes its responsibility to respect human rights and international labor standards as defined in the UN Guiding Principles for Business and Human Rights. In spite of this commitment, employees or others may have questions or concerns or might one day observe conduct that can violate laws, our Business Code of Conduct, the Supplier Code of Conduct or our policies.

The purpose of this policy is to explain how an employee or third party can safely express concerns about suspected misconduct. It explains who to contact, what and how to make a report and the protections available to the reporter. It also describes what the reporter can expect from Lindt & Sprüngli if a report is made and how the personal data are protected.

Why Speaking Up is important

Lindt & Sprüngli truly values the help of employees or third parties who identify and speak up about potential concerns that need to be addressed. By doing so the Company has the opportunity to take corrective actions. Remaining silent about possible misconduct may worsen a situation and undermine trust.

2. How to read this policy

Lindt & Sprüngli strives to encourage speaking up consistently throughout the group. But country-specific requirements exist. That is why this policy is to be read in conjunction with any local policy and laws which may apply to a particular report.

3. Who can make a report

Lindt & Sprüngli encourages not only employees but also third parties, who acquired information on misconduct and wish to raise a concern to speak up.

Employees

In this policy, the term “employee” includes employees, workers hired through temporary or staffing agencies, home-workers, members of the management and supervisory body, volunteers and trainees (jointly referred to as “employees”) of any legal entity belonging to the Lindt & Sprüngli Group.

Third Parties

There is a wider group of persons Lindt & Sprüngli encourages to speak up about misconduct. These are suppliers, contractors or subcontractors and shareholders, as well as persons working under their supervision. Included are persons having a self-employed status as well as employees and business partners where their work-based relationship has since ended or is yet to begin (jointly referred to as “third parties”).

Also, reports can be made by the relative, dependent or spouse of an employee or third party.



4. What may be reported

The Company encourages employees and third parties to speak up about suspected misconduct and provide as detailed information as possible. The reporting channels are intended to prioritize attention on potentially serious issues. It is particularly important to remember that a report must always be based on a genuine concern and malicious bad faith reports will not be tolerated.

Reportable subject matter

Employees and third parties are encouraged to report any suspected misconduct within Lindt & Sprüngli but specifically any violation of the Business Code of Conduct, Supplier Code of Conduct, laws or policies under which Lindt & Sprüngli operates.

These misconducts include, but are not limited to, violations of regulations in the area of:

1. Bribery, corruption, fraud and conflict of interest
2. Competition law and antitrust
3. Financial crime
4. Food safety and quality issues
5. Harassment and discrimination
6. International trade controls
7. Serious environmental damages
8. Protection of privacy and personal data
9. Human rights and protection of individuals
10. Risk to the health and safety
11. Other breaches of law or the Code of Conducts

The categories may not all be available in each country due to certain legal restrictions.

These concerns are not covered

It is not an emergency service. Employees shall not use this reporting procedure to report an immediate threat to life, health or property since the reporting system is not designed to receive such information.

Suspected misconducts generally do not include personal work-related grievances. These are grievances related to the employment that have personal implications such as disagreements between employees, the salary, hours of work, employee benefits, disciplinary action, transfers, suspension and termination of employment or a decision about promotion. Generally, such concerns should be raised with the local HR representative to allow the issues to be resolved most effectively. Serious work-related grievances that constitute victimization are protected disclosures.

Genuine concerns

Lindt & Sprüngli encourages speaking up as soon as possible if a person has reasonable grounds to suspect a misconduct. Absolute proof of misconduct is not necessary. When reports are made based on genuine concerns, any retaliation by employees and managers of Lindt & Sprüngli will be subject to disciplinary measures.

But speaking up shall have some reasonable basis. The information a reporter provides may lead to internal investigations as well as investigations by public authorities and other consequences. For this reason, it is important that the information shared are true to the best of the reporter's knowledge.

If employees are uncertain as to whether an activity should be reported, they should refer to their local policy for guidance, or they speak to the line manager or, if preferred, any member of Group Compliance (compliance@lindt.com).



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Useful information

A report should contain as much detailed information as possible to allow the case manager to follow up on the report. Useful information include:

- Date, time and location,
- Person(s) involved, function and location,
- Relationship with the person(s),
- General nature of the concern,
- How the reporter became aware of the suspected misconduct,
- Possible witnesses
- Other information to support the report.

But neither employees nor third parties shall investigate the matter themselves.

5. How to Speak Up

As a general guideline, Lindt & Sprüngli encourages employees to use the regular reporting chain when raising a concern. However, if an employee or third party is uncomfortable or such reporting channels are impractical, they may contact the Lindt & Sprüngli groupwide independent and secure Speak Up Line.

Lindt & Sprüngli recommends third parties to use the Speak Up Line service to make a report.

The regular reporting chains

This policy does not replace the regular reporting chains. If an employee wishes to raise a concern, it should be addressed directly with the person involved. If this would not be appropriate, the employee shall feel free to raise questions and concerns directly to the following persons:

Line manager or Human Resources representative

As a general guideline, the first person to approach when raising a suspected misconduct is their line manager. The employee may also choose to discuss the concern with the HR representative.

Group Compliance

If that would not be appropriate, the employee may report suspected misconduct to Group Compliance by using the

- e-mail: compliance@lindt.com
- address: Lindt & Sprüngli (International) AG, Group Compliance, Seestrasse 204, 8802 Kilchberg, Switzerland

The supplementary Speak Up Line

Lindt & Sprüngli encourages its employees to use the regular reporting chains as described above. But if employees suspect misconduct and genuinely believe that the matter cannot be dealt with through the regular channels, they can use the groupwide Speak Up Line to raise concerns in their native language and anonymously. The Lindt & Sprüngli Speak Up Line is run by an independent third party and is available 24/7, 365 days a year.

The Speak Up Line may also be used by third parties for the reporting of suspected misconduct.

There are two ways to submit a report through the Speak Up Line and communicate via the special postbox at the Speak Up Line website. The option of anonymous reporting may not be available in certain countries due to national legal restrictions, of which the reporter will be clearly notified.



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Online

To file a suspected misconduct the reporter may use the Speak Up Line website at: ► <https://lindtspruengli.integrityline.com>. This gives any reporter the opportunity to raise concerns confidentially, anonymously and in their native language. Further information is available online.

By Phone

To raise a concern by phone the reporter may call the Speak Up Hotline. The Speak Up Hotline is operated by a third party. It is free of charge. The reporter will receive guidance how to record the voice message. The voice is distorted. Lindt & Sprüngli recommends providing the name, but an anonymous report is possible as well. Further instructions are available under ► <https://lindtspruengli.integrityline.com>.

Report key

After the report is completed, the reporter will receive a unique code called a “report key”. This key is to call back or reopen the special postbox at the Speak Up Line website. The reporter is able to see if the case manager has given feedback or asks further questions. It is possible to provide additional information. The report key is particularly important if the reporter chooses to remain anonymous.

6. Protection of the reporter

Because speaking up is important and of great value for Lindt & Sprüngli the reporter will be protected to the extent legally possible. Lindt & Sprüngli encourages all reporters to reveal their identity, but anonymous reporting is available where not legally restricted.

Confidentiality

To the extent legally permitted, Lindt & Sprüngli will endeavor to keep the reporter’s identity and any information which is likely to lead to the reporter’s identification in confidence. Information will only be shared on a “need-to-know” basis with those responsible for investigation or resolving the concern.

Reporters should understand that information may need to be disclosed outside this small group if the investigating person or the Company are required to do so by law.

The reporter can support Lindt & Sprüngli to protect confidentiality by being discrete and not discussing their concern or report with colleagues or anyone else.

Anonymity

There might be situations, where employees or third parties can feel legitimate discomfort disclosing their identity. In such circumstances, and where allowed by law, Lindt & Sprüngli encourages any employee or third party to use the anonymous reporting procedures.

Reporting anonymously may be restricted in some countries due to national laws.

Safeguarding personal data

Lindt & Sprüngli is committed to protecting the privacy of everyone involved. The Company will do everything to safeguard personal data from unauthorized access and processing. Any personal data will only be used for the purpose explained in this policy or to comply with the law. More details are set out in: Speak Up – Information about data protection and consent (Annex).

Non-retaliation

Lindt & Sprüngli will not tolerate any form of retaliation taken against the employee or a third party submitting a report. Lindt & Sprüngli’s employees and managers engaging in any form of retaliation will be subject to disciplinary measures.



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Protected Persons

Lindt & Sprüngli does not tolerate any form of retaliation against the

- reporting employee or third party,
- facilitators,
- witnesses,
- third persons who are connected with the reporting person and who could suffer retaliation in a work-related context, such as colleagues or relatives of the reporting person and
- legal entities that the reporting person owns, works for or is otherwise connected with in a work-related context.

Forms of retaliation

Retaliation can include, but are not limited to:

- dismissal of an employee or alteration of an employee's position or duties to its disadvantage,
- negative performance feedback that is not reflective of actual performance,
- other disciplinary action,
- harassment, intimidation, or bullying,
- threats to cause detriment and
- contractual or other remedy against the reporting person.

Lindt & Sprüngli takes all allegations of retaliation very seriously. If reporting persons believe they are suffering retaliation, it should be reported. Retaliation against a reporter is treated as a violation of the Business Code of Conduct or the Supplier Code of Conduct and consequently may lead to disciplinary measures.

Misuse of Speaking Up

If a reporter makes knowingly a false accusation, the report may lead to disciplinary actions and the reporter will not be protected.

7. Follow up and investigation

If a report is filed Lindt & Sprüngli will assess the case and decide how to handle it.

All concerns received will be logged into a special case management system operated on behalf of Lindt & Sprüngli by an independent provider.

The report will undergo an initial assessment by Group Compliance to decide if the reported concern requires further review and investigation. Critical cases will be examined by a special Group Compliance Committee. The reporter may be approached for additional information.

Depending on the nature, urgency, and potential impact of the suspected misconduct, the case is handled by a local or global case manager. If needed, outside investigation experts can be engaged to assist in the investigation.

While the particular circumstances of each report may require different investigation steps, all investigations will be conducted:

- in an independent and fair manner,
- with respect to all parties involved,
- in accordance with applicable laws and principles and
- as quickly and efficiently as the circumstances permit.



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Fair treatment and confidentiality

Details of the case and personal data are kept confidential throughout and after the investigation when possible. Lindt & Sprüngli will only share data on a need-to-know basis unless otherwise required by law. There will be a presumption of innocence until the outcome of the investigation is determined.

Remediation

If the concern is well-founded, appropriate measures will be taken where necessary in accordance with the law.

Feedback to the reporter

Upon submitting a report, the reporting person will receive a confirmation of receipt. The Company will stay in contact with the reporter and may ask for further information.

At the conclusion of the process and as much as is possible, the reporter will be informed of the progress or overall findings, i.e. whether or not the Company has established misconduct and follow-up measures have been taken. If the investigations are still ongoing, the Company will inform about the status quo. But Lindt & Sprüngli also may not be able to give the reporter full details of the outcome of a case and actions taken for reasons of confidentiality, privacy and the legal rights of all concerned.

8. More information and support

For more information or support, please contact:

- Your line manager
- Human Resource responsible
- Legal function
- Group Compliance



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Annex

Speak Up – Data protection and consent

Lindt & Sprüngli takes the protection of personal data very seriously. This privacy policy explains what personal information we collect from you and how we use it, when you report a misconduct either via the regular reporting chain or the additional Speak Up Line. We ensure compliance with the applicable data protection regulations through appropriate technical and organisational measures.

General

Lindt & Sprüngli Group is the data Controller of the Speak Up Line which is operated on behalf of itself and its subsidiaries within the Lindt & Sprüngli Group. Depending upon the location of the reporter, where the suspected misconduct is alleged to have taken place and the nature of that allegation, a case manager from a subsidiary will be asked to carry out the investigation.

Any information received on misconducts either via the regular reporting chains or via the Speak Up Line (online or call) will be logged into the case management system operated on behalf of Lindt & Sprüngli by an independent provider called EQS. EQS is based in Germany with servers in Germany and Switzerland. Lindt & Sprüngli has taken the required organisational and contractual measures to ensure that any personal data gathered by EQS is adequately secured and processed for authorized Speak Up Service purposes only.

Responsible body and data protection officer

Responsible for the processing of personal data within the Lindt & Sprüngli Group is

Lindt & Sprüngli (International) AG
Group Compliance
Seestrasse 204, 8802 Kilchberg, Switzerland

The data protection responsible of the Lindt & Sprüngli Group, can be reached at privacy.int@lindt.com.

Lindt & Sprüngli (International) AG is the data controller of the personal data collected and processed. When handling a report, personal data may be collected or processed by, or transferred to other subsidiaries of the Lindt & Sprüngli Group. In this case the Lindt & Sprüngli Group and its subsidiaries act as joint controllers. The technical implementation of the Lindt & Sprüngli Speak Up Line is carried out on our behalf by EQS Group AG as processor.

Personal data

Information about yourself and the case

In principle, the Speak Up Line (online and phone) can be used - to the extent permitted by law - without providing personal data. You may, however, voluntarily disclose personal data as part of the Speak Up process, in particular information about your identity, first and last name, country of residence, telephone number or e-mail address. We also process data relating to the identity of individuals in charge of processing your report, on the facts included in your report, the information gathered while examining and verifying the alleged facts and on the outcome of the alert.

In principle, we do not request or process any special categories of personal data, e.g. information on racial and/or ethnic origin, religious and/or ideological convictions, trade union membership or sexual orientation. Due to free text fields in the registration form, however, such special categories of personal data may be voluntarily disclosed by you.



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Information about individuals you may be reporting

The report you give may also contain personal data of individuals to which you refer in your notice. Persons concerned are given the opportunity to comment on the information. In this case, we will inform the persons concerned about the information. In this case, too, your confidentiality will be preserved. But you must understand that Lindt & Sprüngli may be obliged by law to share information and personal data. If you would like to avoid such situations, you may use to stay anonymous.

Purpose and legal basis of the processing

You may provide personal data either via the regular reporting chains or via the additional Speak Up Line (online and phone). Any information on possible misconduct received by Lindt & Sprüngli will be kept confidential and logged into the Speak Up Line Case Management System.

We process your personally identifiable information in order to investigate the reports you make through the Speak Up Line and to investigate suspected breaches of compliance and law. We may have queries about this from time to time. We only use communication via the Speak Up Line for this purpose. The confidentiality of the information you provide is our top priority.

Your personal data will be processed accordingly on the basis of your consent given when you reported your data to the Speak Up Line or via the regular reporting chains (Art. 6 para. 1 lit. a European General Data Protection Regulation, GDPR).

Furthermore, we process your personal data insofar as this is necessary for the fulfilment of legal obligations. In particular, this includes reports of criminal, competition and labour law relevant facts (Art. 6 para. 1 lit. c GDPR) and more precisely bribery, corruption, financial crime, harassment and discrimination, serious environmental damages.

Finally, your personal data will be processed if this is necessary to safeguard the legitimate interests of Lindt & Sprüngli or a third party (Art. 6 para. 1 lit. f GDPR). We have a legitimate interest in the processing of personal data to prevent and detect infringements within the Company, to verify the legality of internal processes and to safeguard the integrity of the Company. More precisely, this legal basis covers the reportable subject matter other than bribery, corruption, financial crime, harassment and discrimination, or serious environmental damages.

If you provide us with special categories of personal data, we process them on the basis of your consent (Art. 9 para. 2 lit. a GDPR).

In addition, we use your personal data in anonymous form for statistical purposes.

We do not intend to use your personal data for purposes other than those listed above. Otherwise, we will obtain your prior consent.

Technical implementation and security of your data

The Speak Up Line includes an option for anonymous communication via an encrypted connection. When you use the Speak Up Line, your IP address and your current location are not stored at any time. After sending a message, you will receive access data to the Speak Up Line mailbox so that you can continue to communicate with us in a secure manner.

We maintain appropriate technical measures to ensure data protection and confidentiality. The data you provide will be stored on a specially secured EQS database. All data stored on the database is encrypted by EQS using state-of-the-art technology.

Disclosure of personal data

The Lindt & Sprüngli Group operates internationally and has locations in various countries within and outside the European Union. The stored data can only be inspected by specially authorised persons within the Lindt & Sprüngli Group. Insofar as this is necessary to fulfil the aforementioned purpose, specially authorised persons from our



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subsidiaries may also be authorised to inspect the data. This is particularly the case if the investigation of your report is carried out in the country concerned. All persons authorised to inspect the report are expressly obliged to maintain confidentiality.

In order to fulfil the aforementioned purpose, it may also be necessary for us to transfer your personal data to external bodies such as law firms, criminal or competition authorities, within or outside the European Union.

If we pass on your personal data within the group or externally, a uniform level of data protection is ensured by means of internal data protection regulations and/or corresponding contractual agreements. In all cases, the responsibility for data processing remains with the Lindt & Sprüngli Group.

Finally, we transfer your personal data to EQS to the extent described above for technical implementation. For this purpose, we have concluded a data processing agreement with EQS to ensure data protection.

Duration of storage

We store personal data only as long as it is necessary for the processing of your notice or we have a legitimate interest in the storage of your personal data. Data relating to an alert considered, as soon as it is collected by the data controller, as outside the scope of the Speak Up Line are destroyed or archived without delay, after anonymization.

When the alert is not followed by a disciplinary or legal proceeding, the data related to the alert will be destroyed or archived, after anonymization, within two months of the closure of the verification operations. The reporter of the alert and the subject of the alert will be informed of the closure of the verification operations.

When disciplinary or legal proceedings are initiated against the person who is the subject of the alert or the author of an abusive alert, the data relating to the alert is kept until the end of the proceedings.

In addition, your personal data may be stored for a longer retention period if this is required by European or national law to fulfil legal obligations, such as storage obligations.

Subsequently, all personal data will be deleted, blocked or anonymised.

Your rights

As a data subject, you have the right to information, access correction and deletion of the personal data. You may also restrict the processing or request its transfer to another responsible body.

Furthermore, you have the right to object to the processing of your personal data at any time for reasons arising from your particular situation.

You have the right to withdraw your consent at any time. The revocation of your consent does not affect the lawfulness of the processing carried out on the basis of your consent until revoked.

You assert these rights by informing the person responsible or our data protection officer mentioned above. If you have asserted the right to correction, deletion or restriction of the processing against us, we are obliged to inform all recipients to whom we have disclosed the personal data relating to you of this correction or deletion of the data or restriction of the processing, unless this proves to be impossible or involves disproportionate effort. Upon request, we will inform you of these recipients.

Finally, without prejudice to any other administrative or judicial remedy, you have the right to complain to a supervisory authority, in particular in the Member State of your place of residence, workplace or place of presumed infringement, if you are of the opinion that the processing of your personal data is in breach of the GDPR.

A list of supervisory authorities per Member State is available at

► https://edpb.europa.eu/about-edpb/about-edpb/members_en.