

Whistleblowing System

UI BVK Kapitalverwaltungsgesellschaft mbH ("UBK") has set up the possibility of submitting anonymous reports on violations of legal or contractual requirements or internal rules. Such information can come from employees, investors or business partners of UBK and is generally recorded and processed internally by the compliance department.

In order for a report to be processed and investigated appropriately, it is important that the report is as specific as possible. It is helpful if the five questions are considered when reporting:

Who? Who is it about? Who is affected?

What? What has happened? Description of the facts.

When? When was the incident?

How? How many times did it happen?

Where? Where did the incident occur?

As a whistleblower, you should make sure that the descriptions can also be understood by people outside your field of expertise.

Your tip goes directly to the external law firm Clarius Legal. If the tip is plausible and contains sufficient information about violations of the law or significant breaches of internal rules or inappropriate behaviour in the workplace, the facts will be forwarded to UBK for further clarification.

The facts are always forwarded to the Compliance Department. If necessary, other internal and/or external bodies (e.g. HR) are consulted. The number of people involved is kept as small as possible. Information is always passed on while preserving the anonymity of the whistleblower. If you have made the whistleblowing openly and wish to receive feedback, you will be informed of the state of affairs or the result of our investigations.

Due to the existing client relationship between the whistleblower and the external law firm, the whistleblower remains anonymous unless the whistleblower expressly agrees to the disclosure of his or her data. The client relationship with the law firm does not incur any costs for the whistleblower.

With our partner, the law firm Clarius Legal, you can submit your tip anonymously via a digitally supported Whistleblower Form.

Contact

T +49 69 71043-0

info@universal-investment.com

UI BVK Kapitalverwaltungsgesellschaft mbH
Theodor-Heuss-Allee 70
60486 Frankfurt am Main – Germany