Rules for the Complaint's Procedure

A. Reporting

I. Who can report what?

Any person may report potential rule violations or grievances to GSK. These include:

- All human rights and environmental risks as well as violations of all human rights and environmental obligations under the German Supply Chain Due Diligence Act (Lieferkettensorgfaltspflichtengesetz - LkSG) that may be attributable to GSK, subsidiaries of GSK or suppliers in the supply chain.
- Suspicions of other violations of applicable laws that may be attributable to GSK or subsidiaries of GSK

II. How can complaints or tips be reported?

A complaint[1] can be reported through the following channels:

- **Online reporting channel:** https://gskpro.com/de-de/kontakt/kontaktanfrage
- **Hotline**: Germany + 49 (0) 800 1 22 33 55, toll-free
- **Mail**: GlaxoSmithKline GmbH & Co. KG, Prinzregentenplatz 9, 81675 Munich, Germany

  Also applies for the companies GlaxoSmithKline Biologicals NL of SmithKline Beecham Pharma GmbH & Co. KG, Zirkusstraße 40 01069 Dresden, Germany and GSK Vaccines GmbH, Emil-von-Behring-Straße 76, 35041 Marburg, Germany

B. Procedure

I. How will the complaint be examined?

Acknowledgement of receipt: Depending on the type of complaint channel selected, receipt of the complaint will be confirmed in writing or electronically. The person who made the complaint receives feedback which person/department is processing the complaint, if contact details have been submitted.

Internal allocation: The complaint is documented. GSK examines the complaint thematically in advance and forwards it to the respective responsible unit within GSK for further processing.

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[1] Note: for better readability, the Rules of Procedure refer to complaints and notices uniformly as a complaint.

Examination and clarification: In a first step, the respective responsible office within GSK examines whether the complaint is plausible and whether there are sufficient indications that rule violations are occurring or have occurred or whether relevant risks could exist according to the LkSG. The aim is to determine whether there is a suspicion that makes further clarification measures necessary. Also, it will be examined whether any preventive and remedial measures appear permissible and necessary. In this phase, for example, documents made available are reviewed. It is also possible to talk to the person who made the complaint, if he or she agrees.

Suspicion and measures: If the person responsible for handling the complaint assumes a suspicious situation, he or she will check which investigative or clarifying measures are necessary in the individual case, e.g. a supplier discussion or the conduct of a formal internal investigation.

Depending on the outcome of the measures taken, GSK decides how to appropriately address any breach or risks identified (e.g. through personnel measures, adjustments to processes up to and including the termination of business relationships).

If a complaint has LkSG relevance (see under A I.) and GSK has identified a malpractice in its own business area, GSK will immediately take countermeasures and control them to stop the risk or breach immediately and to prevent its recurrence.

Discontinuation: If, after examination and possible discussion with the person who made the complaint, no sufficient suspicion is assumed about a violation of the rules or relevant risks according to the LkSG, or if further processing would be legally inadmissible, the complaint procedure is discontinued.

II. How is the referring person involved?

GSK takes every complaint seriously. The person making the complaint will be informed of the receipt and contacted for further clarification of the facts if they have provided contact details and wish to do so. After the end of the complaint procedure, the person making the complaint will be informed by GSK of the outcome.

III. How long does a complaint procedure take?

The length of the procedure depends on the volume and complexity of the complaint. Complaints are given a high priority in processing. GSK carries out the investigation of the complaint swiftly and without culpable delays. Depending on the scope and degree of complexity, a proper investigation of complaints can take a few days but also sometimes several months. The person who made the complaint will be given sufficient time to present relevant points of view and to respond to the company's queries.

C. Procedural principles

I. How is the confidentiality of the complaints procedure and data protection ensured?

The persons responsible for handling the complaint will treat all data and any identifying information they receive as part of the process as strictly confidential and will not share it with third parties. The person providing the information may also submit the complaint anonymously.

The processing of the complaint is carried out in accordance with the European Data Protection Regulation (DSG-VO), including the storage and deletion of data and the regulations on international data transfer.

II. Is the person who made the complaint protected from negative effects?

Discrimination, punishment, intimidation, hostility, and other reprisals against the person who made the complaint are not permitted and will not be tolerated. GSK protects person who made the complaint from discrimination and reprisals to the best of its ability.