

LB  BW

Breaking new ground

# Sustainable actions

## Code of Conduct

Date: April 2024



# Contents

<b>About this code</b>	<b>2</b>
<b>Foreword by the Chairman of the Board of Managing Directors</b>	<b>4</b>
<b>Integrity and responsibility</b>	<b>6</b>
Integrity	7
Respect and tolerance	8
Dealing with employees	9
Dealing with conflicts of interest	9
Market abuse and market manipulation	10
Dealing with clients and business partners	10
Anti-corruption	10
Tax compliance	11
Fraud prevention/money laundering/financial sanctions and embargoes	11
Gratuities/gifts/invitations	12
Antitrust law and competition law	12
Accounting and financial reporting	12
Cyber risks	13
<b>Trust</b>	<b>14</b>
Data protection	15
Information protection	15
Handling company property	16
Risk culture	16
<b>Social responsibility</b>	<b>17</b>
Sustainability	18
Health and occupational safety	19
<b>Ensuring compliance</b>	<b>20</b>
Compliance training	21
Whistleblower system	21
<b>Up close</b>	<b>22</b>
Contact	25

# About this code



The Code of Conduct establishes standards of behavior for LBBW and its subsidiaries.

The code provides a look at key regulations that assist us in legal and ethical matters. It defines how we work with our customers, business partners, employees and society (the public) by setting out guidelines, values and principles that guide the conduct of all employees in the Group.

The code applies to all of LBBW's divisions, to the members of the Board of Managing Directors, and to all employees at all levels and its subsidiaries worldwide. It is important that all of us embrace the code every day so that we can live up to our high standards of responsible and lawful conduct. Honest and ethical conduct that sets an example for others must be a matter of course for all of us.

The code cannot encompass every imaginable business-related occurrence and issue. It is therefore necessary for all of us to be committed to the code in both letter and spirit and be guided not only by what is legally allowed, but also by what is ethically required. It is not a stand-alone legal norm but a non-exhaustive collection of rules to be followed on the basis of existing legal sources from within and without LBBW (e.g. laws, directives, work instructions, employment contracts, etc.). The code is updated on an ongoing basis to account for current general conditions and to reflect changes, such as the German Supply Chain Act (Lieferkettensorgfaltspflichtengesetz) that focuses on human rights and the environment and comes into effect on January 1st, 2023.

The code is important not only because it contains legal references; it has a significant economic impact as well. Over the long term, LBBW will be competitive only if it fulfills its responsibility to its customers, shareholders, competitors, business associates, supervisory authorities and, not least of all, to its own employees.

Our Code of Conduct helps us to promote an open, trusting and transparent "risk culture". We define risk culture as the sum of all the LBBW standards, attitudes and behaviors that correlates equally with risk awareness, risk tolerance, risk management, and controls.

We place great importance to transparency. We want to learn from mistakes, and we openly discuss and implement improvements. This requires recognizing and owning up to mistakes in a timely fashion.

Proper conduct in our everyday work is ensured by the specification of risk principles and our Code of Conduct. This has a positive impact on our risk culture. Both our long-term business success and our competitive focus are based on trust, reliability, and integrity. Therefore, the values set forth in this Code and the unconditional compliance with

all statutory provisions create the foundations of sustainable corporate governance. It is the duty of each and every one of us to hold up these values. LBBW adheres very closely to the spirit of the German Corporate Governance Code in terms of content. The GCGC is a set of essential regulations governing the management and monitoring of German listed companies and contains recommendations on good corporate governance. We follow the standards established in the Public Corporate Governance Code of the State of Baden-Württemberg.

# Foreword by the Chairman of the Board of Managing Directors

The Code of Conduct provides guidance in uncertain times.

Rainer Neske,  
Chairman of the Board of Managing Directors  
of Landesbank Baden-Württemberg



Dear colleagues,

Looking at the world today shows that we are at a turning point. There is a steady stream of political, economic and environmental crises and uncertainty is increasingly the new normal. These are times that demand a lot from us as a society and as a company. Banks bear particular responsibility. We perform a key role in the economic cycle and, in this position, must be a source of reliability and stability.

Not only are we aware of this responsibility, we also embrace and help shape it by generating growth and finding solutions, for our customers, partners, owners employees and for the future of the bank.

In light of this, the Code of Conduct is now more important than ever. It is the compass that gives us direction in uncertain times and makes us aware of any conflicting goals. Acting on our own responsibility is decisive and guiding for us – but only within a clearly defined framework can it be fully realized and can we develop innovative solutions as a team.

For us, social responsibility also means driving the sustainable transformation together with our customers. This requires that we take a close look at our own values and attitudes to dealing with risks. The “three lines of defense” model is designed to serve this purpose. It divides the corporate functions into three separate lines of defense and thus forms the basis for systematic risk management. At LBBW, this model provides us with clear responsibilities and accountability.

The Code of Conduct provides assistance with this. It is clear and comprehensible and gets to the heart of our bank’s central principles, as well as demonstrating how rules and regulations that seem complex at first glance actually become simple and easy to understand when put into practice in day-to-day business.

Therefore, please familiarize yourself with our updated and expanded Code of Conduct on the following pages and consider it a part of your daily work. By doing that, you will protect our Bank, our customers, and yourself.

Best regards,

A handwritten signature in blue ink, appearing to read 'Rainer Neske', with a stylized flourish at the end.

Rainer Neske  
Chairman of the Board of Managing Directors of Landesbank Baden-Württemberg

# 01

## Integrity and responsibility

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»To be a man is, precisely, to be responsible.«

Antoine de Saint-Exupéry

# Integrity

*»We believe in the rule of law.«*

This is the basis for working together in a spirit of trust and partnership.

Ethical conduct is a fundamental prerequisite for partnering with others in a spirit of trust and collaboration. We follow the law and internal company regulations, thus protecting the company and ourselves from damage. LBBW trains and encourages its employees to act responsibly and in accordance with existing statutory regulations, instructions, directives, company regulations, and local requirements. Employees who have any questions or concerns about ethical conduct may contact Group Compliance<sup>1</sup> and/or human resources.

Violations of applicable law can cause huge damage: fines, claims for damages, punishments, loss of reputation – for LBBW worldwide and for all employees.

Employees who violate their contractual obligations can expect both consequences and disciplinary measures.

We are aware that our conduct outside our job at LBBW may have consequences for LBBW. After all, certain rules – confidentiality obligations etc. – apply even after we leave the office. This particularly applies to activities on social networks or other statements we make online.

<sup>1</sup> This always refers to Group Compliance or the appropriate Compliance unit at your company or branch..



## Respect and tolerance

*» We protect human rights and behave in a manner that shows tolerance, fairness, and respect. «*

Respect, tolerance and equal opportunities characterize the entitlement of the working environment at LBBW. LBBW recognizes the United Nations' Universal Declaration of Human Rights as valid for all people in the world over and expects its contract partners to do the same.

Through LBBW's membership in the UN Global Compact<sup>2</sup>, we support the protection of international human rights and ensure that we are not complicit in human rights abuses.

The protection of general human rights and fundamental workers' rights (ILO Core Labor Standards<sup>3</sup>) are particularly important in this context. We will regularly report on measures we have taken to prevent forced labor, slavery, and human trafficking in our company and supply chain<sup>4</sup>.

That allows us to ensure responsible and fair corporate governance worldwide.

We also expect our customers and business partners to respect the above values. Any form of bias or discrimination at LBBW or in relations with employees, customers, business partners, suppliers, or other individuals will not be accepted. This applies, without limitation, to bias or discrimination due to skin color, gender, origin, age, religion, disability, marital status, sexual orientation, or nationality. Our company regulations forbid discrimination and promote and protect an environment based on partnership.

We do not tolerate any anti-constitutional content or efforts by organizations that do not respect the above values. We refuse to work with such people or organizations.

<sup>2</sup> [https://www.globalcompact.de/de/ueber-uns/dgcn-ungc.php?navid=539859539859#anchor\\_13c756dc\\_Accordion-1-Menschenrechte](https://www.globalcompact.de/de/ueber-uns/dgcn-ungc.php?navid=539859539859#anchor_13c756dc_Accordion-1-Menschenrechte)

<sup>3</sup> <http://www.ilo.org/berlin/arbeits-und-standards/kernarbeitsnormen/lang--de/index.html>

<sup>4</sup> See "UK Modern Slavery Act 2015" <http://services.parliament.uk/bills/2014-15/modernslavery.html>

## Dealing with employees

*»We treat each other with respect and appreciation.«*

We comply with legal/company regulations and employment contract agreements with our employees and respect their interests.

The way we work together should be characterized by mutual respect and appreciation. We can do this by showing consideration for each other.

We appreciate and acknowledge the right of all employees to be actively represented by an employee representative body, such as the Staff Council or a representative for disabled employees. Trustworthy and fair conduct is the basis of constructive teamwork.

Legal, collective, employment contract and company provisions support flexible working time models and remote working, which improve employees' work-life balance. At several locations, LBBW also provides employees with childcare at company daycare facilities during work hours.

Our managers model conduct that gives us guidance and security.

They encourage us to think, act, and make decisions independently.

Together we set clear, ambitious, and realistic goals. We communicate openly and honestly.

We deal with each other fairly in a spirit of partnership – even in conflicts.

It is our shared job to create a collegial work environment.

## Dealing with conflicts of interest

*»We place value on properly dealing with conflicts of interest.«*

Conflicts of interest can arise in numerous banking situations. Organizational precautions ensure that they are handled appropriately within LBBW.

By dealing with conflicts of interest properly, we protect our customers and reputation, but also safeguards LBBW's assets, both tangible and intangible.

We disclose unavoidable conflicts of interest and ensure that they are handled responsibly and appropriately in the best interest of our clients and employees.

## Market abuse and market manipulation

*»We do not tolerate any practices that are anticompetitive or that manipulate the market.«*

Any form of market abuse or market manipulation at LBBW is prohibited and is not tolerated, whether this is for personal interests, for the benefit of LBBW or for the benefit of third parties.

We handle insider knowledge very sensitively. Any concrete, confidential information that we obtain about customers or LBBW and that is not in the public domain is subject to special non-disclosure requirements and treated as strictly confidential.

It is prohibited and punishable by law to sell or purchase, or to recommend the sale or purchase of, financial instruments using insider information.

We are committed to conduct ourselves in accordance with the regulations and to comply with the principles for employees' personal account dealings. All LBBW employees submit a compliance declaration at the beginning of their employment and adhere to it.

## Dealing with clients and business partners

*»We bear responsibility for our customers – worldwide.«*

We work with our customers and business partners honestly, appreciatively, and respectfully, and naturally expect the same in return.

We do not enter into business relationships with partners who obviously violate laws or international conventions, conceal their true identity or ownership structure, engage in money laundering or finance terrorism.

## Anti-corruption

*»We do not tolerate corrupt or unprofessional behavior and consistently reject any and all forms of bribery.«*

Our desire is to impress and achieve success through first-rate quality and value in our services – never by employing unfair means.

We tolerate neither bribery nor corruption, nor do we tolerate the unauthorized granting or accepting of benefits, at our company. Even the appearance of corruption must be avoided at all costs.

Our goal is to always make fact-based decisions.

None of us may exploit the company's relationships for our own benefit or the benefit others. In cases of doubt, we immediately contact our supervisors or Group Compliance.

## Tax compliance

*»We do not accept any actions in our operations that run counter to the principles of tax compliance and tax justice.«*

Taxes ensure that the legal system works effectively and thus lay the groundwork for successful economic activity within a market protected by the state.

LBBW, as an institution under public law, views itself as a highly responsible taxpayer. We therefore clearly reject aggressive tax avoidance strategies or the economic exploitation of our own tax position. The requirements of LBBW's tax strategy are taken into account in everything we do.

## Fraud prevention/money laundering/financial sanctions and embargoes

*»We want to act properly and responsibly at all times.«*

We do not tolerate any kind of criminal offenses that compromise the institution's assets.

We consistently avoid violations of financial sanctions and embargo regulations and always meet all the requirements that protect us employees and LBBW from negative consequences.

We report suspicions of money laundering or other punishable acts to the Central Office of Group Compliance, which investigates them thoroughly and conscientiously.

We prevent the use of the financial system for money laundering and terrorist financing by always acting lawfully, properly and responsibly.

Violations of these duties may be punishable by law and result in civil liability and disciplinary action.

## Gratuities/gifts/invitations

*»We make business decisions objectively and independently.«*

We and any third parties we hire must not accept any benefits that interfere, or merely appear to interfere, with proper business decision-making. Conversely, we do not promise or grant such benefits to third parties.

In conflict situations, we must always question whether a gratuity, gift or invitation comes with strings attached and what the consequences of accepting it will be.

We observe internal regulations on accepting and granting benefits and gratuities. In cases of doubt, we contact Group Compliance.

LBBW has a policy of not donating to politicians, political parties or governments.

## Antitrust law and competition law

*»We pursue our business objectives with fair and legally unobjectionable means.«*

Our declared aim is to prevent anti-competitive behavior by market participants towards other competitors and customers by not entering into anti-competitive agreements with market participants. For example, we do not enter into any agreements with competitors, either explicitly or implicitly, regarding prices, charges, fees, interest rates, commissions or other price components.

Participation in association meetings and working groups in which competitors also take part is not prohibited per se, but participation in such an association meeting increases the potential risk of an infringement of antitrust law. Therefore, we strictly adhere to the antitrust law provisions for dealing with the most important antitrust law principles, e.g. through strict documentation requirements.

## Accounting and financial reporting

*»We comply with the statutory requirements for proper accounting and financial reporting.«*

We are a commercial bank with international operations who cares deeply about ensuring our customers and business partners trust us. Their trust in our global activities is built on transparency, openness and reliability.

We follow the laws and regulations for accounting and bookkeeping. We comply with the legal and regulatory requirements, which means that the principles receive our full attention.

Our accounting, financial reporting and reporting system is accurate and legally compliant.

## Cyber risks

*»We are prudent and constantly educating ourselves to actively prevent social engineering attacks (fake president fraud, phishing, etc.) by telephone number, e-mail or attempted access.«*

Access data to IT workstations or other infrastructure are particularly sensitive, as these data are a key to our company. Accordingly, we treat these data with a great deal of responsibility and have implemented measures to help ensure that they do not leave the bank.

# 02

## Trust

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»Nothing can strengthen man more than the trust he is given.«

Paul Claudel

## Data protection

*»We protect personal data.«*

Protecting the personal data of customers, employees and business partners is a top priority. We collect, process, and use personal information only to the extent allowed by laws, regulations, and our internal rules and policies. We comply with all regulations concerning data protection and safeguard confidential information and documents.

LBBW's data protection officer acts independently and without instructions. His tasks come from the European General Data Protection Regulation (GDPR). Among other things, he is responsible for checking compliance with the GDPR and other data protection regulations and acts as a contact person for all data protection issues for customers and employees.

## Information protection

*»We are committed to ensuring the confidentiality of sensitive information at all times.«*

We keep confidential trade secrets as well as other sensitive non-public information that is entrusted to us or otherwise becomes known to us in the course of our operational activities.

We safeguard and respect the business and trade secrets of other companies and the intellectual property of our competitors and business partners, and use them only with their express permission or to the extent permitted by law.

We are also committed to protecting our intellectual property rights, such as patents and trademarks, as well as our knowledge.

External third parties outside the company remain external parties, regardless of their integration in our value chains. They can enter the company and access LBBW systems only after verifying their identity and receiving authorization. In this context, the clean desk principle is particularly important.



## Handling company property

*»We handle company property with care.«*

We handle LBBW property and assets with care.

This particularly includes maintaining work materials and devices. We use them carefully, always protect them from theft or damage, and follow all internal instructions. Our company ID card is also crucial here. We handle our Mufin (multi-functional ID card) carefully and with integrity. Any losses are reported without delay to prevent third parties gaining access.

## Risk culture

*»Awareness helps illustrate risks and increase resilience.«*

We intentionally take risks when these benefit the bank. Here, the Board of Managing Directors issues the risk strategy and we operate within its framework. We ensure that we comply with requirements on conscious risk management.

Awareness helps illustrate risks and increase resilience. We take a sound, responsible approach to change and the resulting risks and identify potential courses of action. Communication is open and appreciative.

# 03

## Social responsibility

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»It is not only for what we do that we are held responsible, but also for what we do not do.«

Jean Baptiste Molière

# Sustainability

*»We think and act sustainably.«*

Sustainability encompasses a company's entire environmental, economic and social impact and is the basis for long-term success. A holistic view is crucial here. At the LBBW Group, we take an interdisciplinary approach to working together across all levels and divisions. We systematically pursue our strategic and operating sustainability goals.

The sustainability policy establishes the ground rules for the sustainability targets and thus for all sustainability activities within LBBW Group in the form of overarching principles. The principles and guidelines based on the sustainability policy act as a guide for all employees in daily business and ensure a responsible approach to people, the environment and nature.

LBBW's sustainability policy is based on the six Principles for Responsible Banking (PRB) of the UNEP FI (UN Environmental Program – Finance Initiative).

With sustainable investment products, green financing and digital innovation, we want to actively shape change processes and help our customers transition to sustainable business models as a competent, responsible partner. Through Group-wide sustainability regulations based on internationally recognized standards and voluntary commitments, we ensure that environmental and social risks are managed.

We require our suppliers to take minimum environmental and sustainability standards into account. Compliance is regularly reviewed as part of supplier assessments. The requirements are revised and amended as required in view of the German Supply Chain Act, which comes into force on January 1<sup>st</sup>. 2023.

Only an ambitious team that is forward thinking, well trained and acts responsibly can satisfy its customers and score against the competition and so LBBW invests in the skills and performance of its employees and consciously meets the requirements of a changing world of work.

We create social value through our sustainable products and services and our commitment to social projects and numerous educational initiatives. As a donor, sponsor and founder, we provide valuable guidance and support projects and initiatives in the fields of art and culture, education and training, and nature conservation and environmental education.

LBBW works systematically on improving its environmental footprint and always strives to use and optimize improved procedures in its company processes and technology and to reduce its resource consumption. This is because it is our goal to do business in a way that is environmentally aware and carbon neutral and that conserves resources. Protecting the environment is firmly enshrined in our corporate culture. LBBW upholds national legal and international standards, minimizes its negative impact on the environment and is constantly improving its environmental protection. LBBW has established an environmental management system that is put into practice at the company.

## Health and occupational safety

*»We promote our health and create a safe working environment.«*

We are committed to the corporate objective of maintaining and promoting the health of our workforce to the greatest extent possible. The pursuit of this objective is part of our management responsibility.

The occupational health service and the Social Services Department, which together form the Healthcare Management department, are the specialists involved in implementing this objective. Under the direction of the senior company physician, the bank offers a wide range of options for individuals to improve their health and maintain it over the long term (lifestyle modification). LBBW also supports "Sport und Freizeitclub e.V."

Occupational medicine and occupational safety jointly follow the above-mentioned corporate objective. It is detailed in the strategic occupational safety goals such as establishing safe, healthy and performance-enhancing work processes at LBBW (i.e. "environmental prevention"), rigorous compliance with all health and safety regulations at the company, and the development or establishment of a corporate culture of prevention. All of us independently drive environmental prevention and behavioral prevention<sup>5</sup>.

Optimizing conditions at the workplace, including for employees with disabilities, is a major milestone on the path to achieving this ambitious goal. LBBW attaches great importance to ensuring worker safety based on modern scientific findings by continuously improving the work environment.

<sup>5</sup>Environmental prevention: Environmental prevention (structural prevention) influences health or illness by striving for changes in people's living conditions (here: work) in order to make them as low-risk as possible. Behavioral prevention:

Behavioral prevention (personal prevention) influences individual health behavior or the individual state of health. Through education or information and strengthening of the personality, the individual should be motivated to avoid risks.

# 04

## Ensuring compliance

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»It is not enough to know, we must also apply;  
it is not enough to will, we must also do.«

Johann Wolfgang von Goethe

## Compliance training

*»We regularly receive training and education on compliance and the Code of Conduct.«*

LBBW provides recurring compliance training for all employees to familiarize them with and refresh their memory of the directives and principles described in the Code of Conduct. These regular courses provide information on the substance of the Code and the legal provisions to follow.

We commit ourselves to attending our required compliance courses. Compliance with the Code of Conduct is promoted through specially developed compliance training courses that use various media formats.

The Code of Conduct is available to all employees in English and German.

## Whistleblower system

*»Watch. Ask. Speak up.«*

We can attain the objectives in the Code of Conduct if we all work together. As employees, we are best able to see what is actually happening in our environment.

We can use the whistleblower system to submit information – anonymously or openly – on

- irregularities, concerns, and unlawful conduct and criminal actions within LBBW (e.g., fraud, theft, bribery, embezzlement, money laundering, violations of antitrust or tax laws, insider trading, market abuse),
- breaches of legal requirements, and
- breaches of internal guidelines and instructions.

If employees have any suspicions, they can talk to the managers, Internal Audit or the contact persons at Group Compliance.

There is also the option of submitting confidential information (by name or anonymously) to Group Compliance or LBBW's external ombudsman<sup>6</sup>.

<sup>6</sup>see page 25 LBBW ombudsman

# 05


## Up close

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»We cannot direct the wind, but we can adjust our sails.«


Aristoteles

## Practical examples: By responding proactively to suspicions of serious misconduct, we can prevent harm from coming to the bank, the employees and our customers.


 As a loan officer, you are presented with a businessman's loan application for approval. The businessman is a long-standing customer whom your colleague has advised for years. You have doubts about the businessman's creditworthiness and talk to your colleague about it. He reassures you. Business with the customer has always been trouble-free. You have the impression that your colleague is under pressure from the customer. Upon further questioning, your colleague reacts with incomprehension and in an unfriendly manner.

### How do you react?


 You should contact the Central Office/Group Compliance unit, which is responsible for reporting irregular transactions.

 Ms X, an LBBW employee, forwards several documents – after they have been checked – for subsequent dispatch to customers, to the colleague responsible for this, Mr Z. After re-checking, Mr Z inadvertently overlooks the separator sheets between the individual documents and thus sends several documents to one customer.


### Has Mr Z acted illegally by inadvertently sending the documents to one recipient?

 Yes, this is a violation of the GDPR. Personal and confidential data has been sent to the wrong recipient. This means that a third party has obtained unauthorized knowledge of the financial circumstances of the customers.

Mr Z must immediately report the matter to Group Data Protection so that necessary measures can be jointly taken. The data protection supervisory authority may impose fines on the basis of the individual risk incurred by the person concerned.

 A long-standing customer became unemployed a few months ago. Now he receives a large sum of money by bank transfer, which is high for his financial circumstances. A few days later, he transfers most of the money to a foreign company.

### Are there any suspicions of money laundering?

 The external circumstances of this transaction suggest that it could involve an attempt at money laundering, e.g. the fact that part of the money may have been withheld as a commission. In addition, the amount of money received is very high, considering the financial circumstances of the customer. In cases of doubt, please contact Group Compliance.





As an employee of the Bank, Mr X is representing LBBW at a specific business association or organization. At the meeting, a participant from a competitor submitted a statement on a topic that Mr X considers to be sensitive to antitrust law and that was not on the agenda. Mr X stayed silent and remained at the meeting, instead of protesting against what he considered to be a topic sensitive to antitrust law and leaving the meeting after having his protest and departure noted in the minutes.

### Mr X, in the wake of the event, wonders how he should now deal with the issue of antitrust law?



Mr X should promptly seek a discussion with Group Compliance and, if necessary, Legal to discuss the facts of the case and assess them from an antitrust perspective. Afterwards, if antitrust law relevance is confirmed, Mr X should document the process, preferably in coordination with Group Compliance and Legal.

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Ms X, a member of the bank's Board of Managing Directors, has access to an as-yet unpublished study by the bank on an Austrian pharmaceutical company. In the near future, the company will launch a new drug. The study therefore recommends buying the share.

### Do you think it is right for Ms X to buy shares in the pharmaceutical company for her securities account, in anticipation of the price increase?



No, she would be consciously exploiting her information advantage to gain an economic advantage for herself or others.

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As a customer advisor, you are given a case of exquisite red wine as a Christmas present by a long-standing business customer.

### Are you allowed to accept this Christmas present?



As a matter of principle, caution is required here, as the acceptance of gifts can lead to conflicts of interest. You must adhere strictly to the internal guidelines on gifts. In cases of doubt, please contact Group Compliance.

## Contact

*»We have the option to use our whistleblower system in order to fight wrongdoing and criminal conduct.«*

Every one of us is obliged to protect the interests of the Bank and to take reasonable action to ward off imminent danger. Together, by responding proactively to suspicions of serious misconduct, we can prevent harm from coming to LBBW and its employees.

**The following contact persons are available:**

### **Immediate supervisors**

#### **Conduct Compliance Hotline**

0711 127-76667

#### **Group Chief Compliance Officer**

Ms Anna Issel

Phone: 0711 127-31140

E-mail: [Anna.Issel@LBBW.de](mailto:Anna.Issel@LBBW.de)

#### **LBBW ombudsman**

Mr Arndt Brillinger, attorney-at-law

Telephone: 0721 91 54 65 65

(from 8:00 am to 5:00 pm)

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# Publishing information

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The Code of Conduct is available on the Landesbank Baden-Württemberg intranet and on the homepage.

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