

## Other relevant information

Pursuant to article 227 of the Securities Market Law (“Ley de Mercado de Valores”), approved by Legislative Royal Decree 4/2015 October 23<sup>rd</sup> and its related provisions, and with regard to the recent investigation of CaixaBank S.A. (“**CaixaBank**”) in the so-called “Tándem” case for the alleged crime of bribery and disclosure of secrets – in the Court ruling dated June 8<sup>th</sup> 2021, issued by Central Court no. 6 of the National High Court, CaixaBank considers it appropriate to report the following:

- CaixaBank has been cooperating with the Judicial Authority since the beginning of the investigation, always with full respect to its jurisdictional activity and under the customary procedural rules.
- CaixaBank has made available to the Investigating Court all the information and relevant documentation that has been possible to obtain of the hiring of the company CENYT, S.A. which took place 10 years ago, in 2011. This has been carried out with absolute transparency and cooperation with the Investigating Court.
- No manager, nor employee of the institution is under investigation.
- CaixaBank has offered appropriate explanations to the Court in order to make clear the compliance of its actions with the prevailing regulatory framework, providing evidence about the procedures, rules and controls of corporate crime prevention included in its compliance code. Accordingly, CaixaBank has confirmed that:
  - (i) Having undertaken an internal investigation, CaixaBank has been able to conclude that it has not committed any of the aforementioned offences in the hiring of the company CENYT, S.A., which took place only once, during the last quarter of 2011.
  - (ii) CaixaBank had, at the time of the events under investigation, and currently has, a robust Crime Prevention Model that complies with established legal requirements and has been proven to be effective and suited to crime prevention, in particular for crimes related to corruption (such as bribery) and the protection of people’s privacy. As proof of this statement, CaixaBank has obtained several certifications from the independent agency AENOR, in conformity with Norm UNE 19601:2017 “System for Management of Compliance for Crimes”, Norm ISO 37001:2017 “System for Management of Anti-Bribery”, as well as Norm ISO 37301 “System for Management of Compliance” both certifying conformity of its Crime Prevention Model with the highest and most demanding international and market standards.

27 July 2021