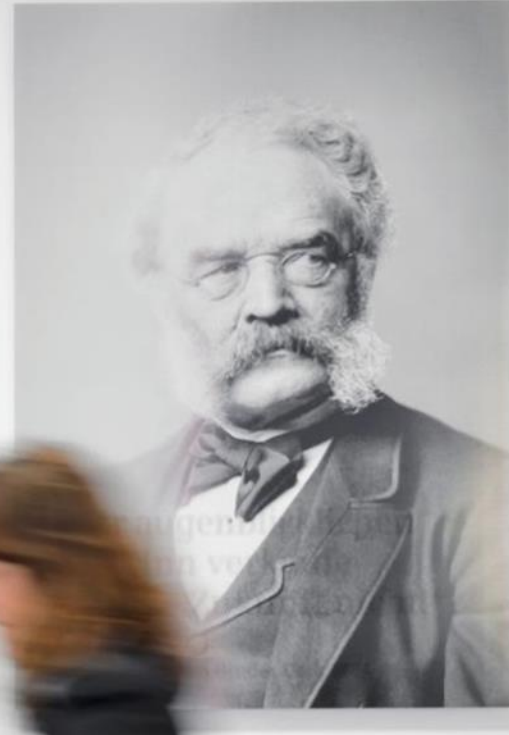
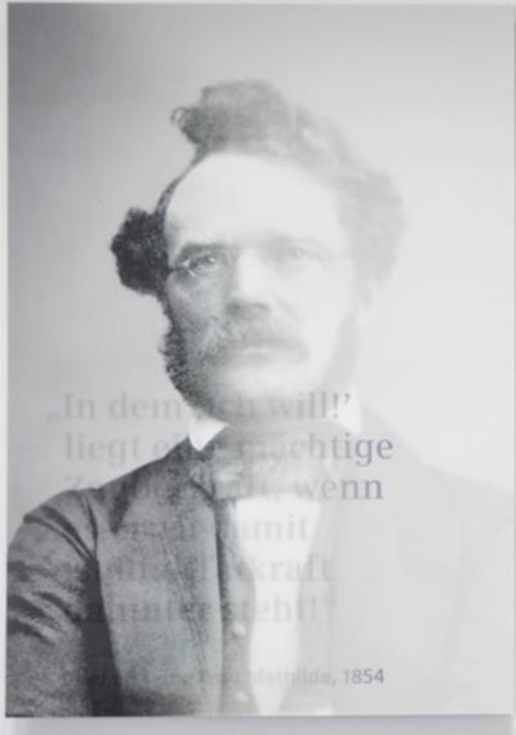


Only Clean Business is Good Business !?



172 Jahre Siemens

Innovativ ?
Innovativ !

SIEMENS
Ingenuity for life



1816 – 1892

Unternehmensgründer,
Visionär und Erfinder

Werner von Siemens

1847

Zeigertelegraf legt
Grundstein für den
Weltkonzern
Siemens



Innovativ ? Innovativ !

SIEMENS
Ingenuity for Life

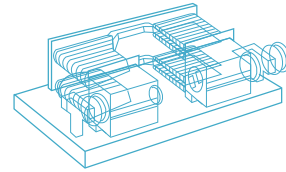
1816 – 1892

Unternehmensgründer,
Visionär und Erfinder



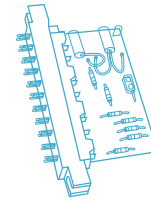
1866

Dynamomaschine
bringt Elektrizität in den
Alltag der Menschen



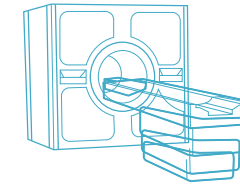
1959

SIMATIC bringt Auto-
matisierungstechnik von
Siemens an die Spitze



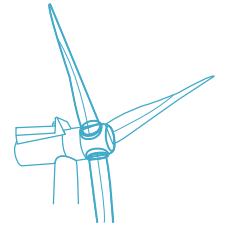
1983

Erster MR (Magnet-
resonanztomograf) in
Betrieb genommen



2012

Testbetrieb des welt-
größten Rotors einer
Offshore-Windenergie-
anlage startet

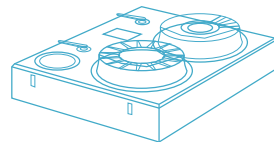


Werner von Siemens

Siemens-Innovationen aus mehr als 170 Jahren

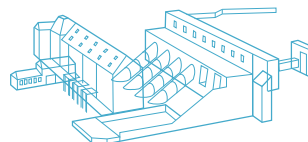
1847

Zeigertelegraf legt
Grundstein für den
Weltkonzern
Siemens



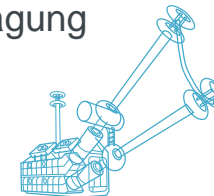
1925

Siemens elektrifiziert
mit Wasserkraftwerk
den irischen
Freistaat



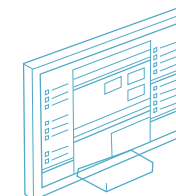
1975

Durchbruch der
Hochspannungs-
Gleichstrom-
Übertragung
(HGÜ)



2010

TIA-Portal erschließt
neue Stufe der
Automatisierung



2016

MindSphere, das
cloud-basierte
Betriebssystem für
das Internet der
Dinge





Siemens heute ...

A photograph of an offshore wind farm at sunset. The sky is filled with dramatic, dark clouds, with a bright glow from the setting sun breaking through. Several wind turbines are visible, with the largest one in the foreground on the left. The water is dark and choppy.

... pushing the limits ...

Umwelt

Technologien unseres Umweltportfolios reduzieren bei Kunden weltweit CO₂-Emissionen jährlich um 609 Millionen Tonnen



Gesundheit

Behandlung von mehr als
90 Millionen Patienten weltweit
mithilfe unserer Medizingeräte
und Labortests

... exploring new territory ...

MindApps

Powerful industry applications and digital services for asset transparency and analytical insights



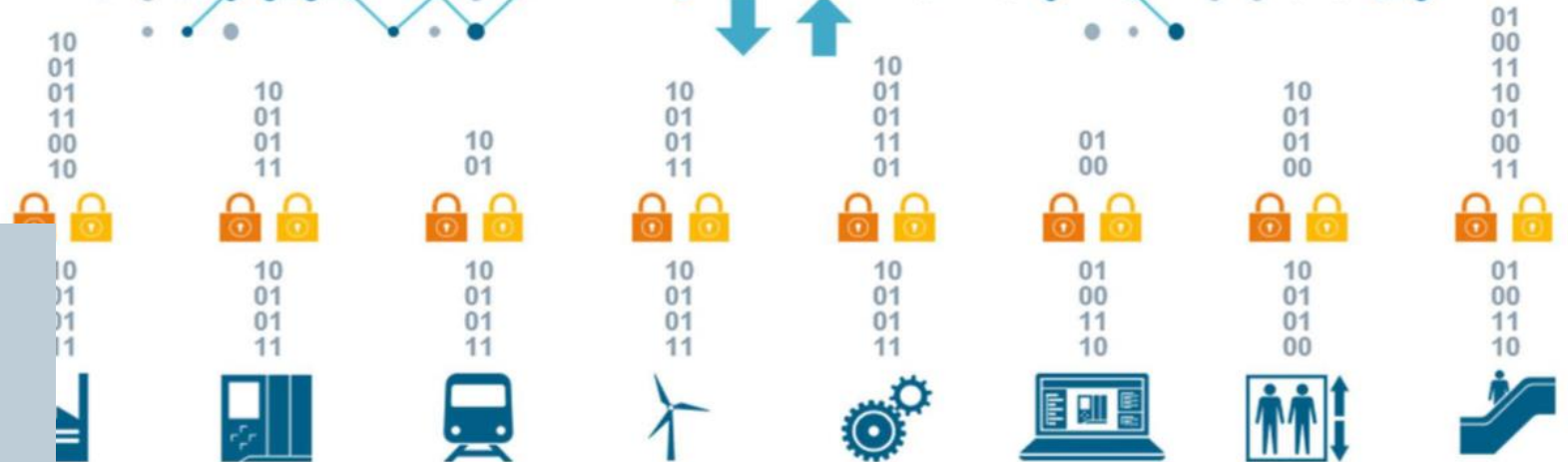
MindSphere

Open Platform as a Service (PaaS) for scalable, global IoT connectivity and application development



MindConnect

Secured plug-and-play connection of Siemens and third-party products,



Innovation

Investition von 5,6 Milliarden € in Forschung und Entwicklung

... redefining industry ...



SIEMENS
Ingenuity for life

... mit ca. **380.000** Mitarbeitern¹



- ~**41.000** Neueinstellungen weltweit, davon ~**4.700** in Deutschland
- Rund **10.900** Auszubildende und dual Studierende



¹ Zum 30. September 2018; fortgeführte Aktivitäten

Erfolgreich ? Erfolgreich !

Eckdaten

(Fortgeführte Aktivitäten; in Mio. €, wenn nicht anders angegeben)

	GJ 2018 ¹	GJ 2017	Veränderung in %
Volumen			
Auftragseingang	91.296	85.784	8% ²
Umsatzerlöse	83.044	82.863	2% ²
Profitabilität und Kapitaleffizienz			
Gewinn nach Steuern ³	6.120	6.094	0%
Kapitalrendite (ROCE) ³	12,7%	13,3%	

Liquidität

Free Cash Flow ³	5.824	4.769
-----------------------------	-------	-------

Mitarbeiter (in Tausend)

	30. Sep. 2018	30. Sep. 2017
Gesamt ⁴	379	377
Deutschland	117	118
außerhalb Deutschlands	262	259

Umsatzerlöse Industrielles Geschäft



Umsatzerlöse nach Regionen



¹ Seit Beginn des GJ 2018 wendet Siemens den Rechnungslegungsstandard IFRS 15 (Erlöse aus Verträgen mit Kunden) an. Die Werte des Vorjahreszeitraums werden auf vergleichbarer Basis dargestellt.

² Durchgehend bereinigt um Währungsumrechnungs- und Portfolioeffekte ³ Fortgeführte und nicht fortgeführte Aktivitäten ⁴ Seit Beginn des GJ 2018 werden Teilzeitkräfte nicht mehr anteilig, sondern voll einbezogen. Angaben des Vorjahres auf vergleichbarer Basis; ⁵ Strategische Einheit ⁶ Gemeinschaft Unabhängiger Staaten



***„Für augenblicklichen
Gewinn verkaufe ich
die Zukunft nicht.“***

... Siemens vor gut zehn Jahren ...

Die Katastrophe hat zugeschlagen – Headlines November 2006 ...



Vorstellbare Konsequenzen

- Ausschluß von öffentlichen Ausschreibungen
- Strafen von bis zu € 10 Mrd.
- Langfristige Beschädigung von Reputation und Geschäftsgrundlage
- Auseinanderbrechen oder Auflösung des Konzerns

... und die Konsequenzen waren extrem schmerzhaft !

SIEMENS
Ingenuity for life

The New York Times
World Business

WORLD U.S. N.Y. / REGION BUSINESS TECHNOLOGY SCIENCE HEALTH SPORTS PERSONAL

AUTOS Search Business Financial Tools More World Business

Sotheby's
INTERNATIONAL REALTY
PROPERTIES

Siemens to Pay \$1.34 Billion in Fines



AMERICAN LAW OFFICIALS MATTHEW FRIEDRICH, LEFT; LINDA THOMSEN; AND JOSEPH PERSOLHINI JR. ON MONDAY IN WASHINGTON.

By ERIC LICHTBLAU and CARTER DOUGHERTY
Published: December 15, 2008

WASHINGTON — Siemens, the German engineering giant, agreed Monday to pay a record total of \$1.6 billion to American and European authorities to settle charges that it routinely used bribes and slush funds to secure huge public works contracts around the world.

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Former Siemens executives to pay record bribery fines, rules court

Former Siemens executives Ulrich Bock and Stephan Singer must each pay a \$524,000 penalty

BY ZACH WARREN
FEBRUARY 7, 2014



In 2008, Siemens AG ended a massive bribery investigation with an \$800 million settlement that set a record for a corporate foreign bribery case. But the executives involved with the case were not forced to pay a single penny — until now.

U.S. District Court Judge Shira Scheindlin has ordered former Siemens executives Ulrich Bock and Stephan Singer to each pay a \$524,000 penalty related to the bribery. Bock must also pay approximately \$414,000 in disgorgement and interest as well.

The \$524,000 penalty is also a record-setter — the largest civil penalty for an individual in a corporate foreign bribery case. The order came after the two former executives did not respond to the bribery charges against them, were not represented by attorneys, and could not be reached for comment.

Bock and Singer, along with five other Siemens employees, faced charges in both the U.S.A. and Argentina related to bribery and corruption. The allegations centered on a scheme involving government contracts to produce national identity cards for citizens of Argentina. Although the American court case concerning this bribery has extended back years, the Argentinian charges are new.

The Securities and Exchange Commission (SEC) originally filed their case against the Siemens employees in 2011. The *Wall Street Journal* says that the SEC recommended the penalty and disgorgement amounts for the default judgment, a penalty that resulted from the executives' unresponsiveness and "utter refusal to accept any responsibility for their actions."

Monday, June 11, 2012


Summary of the Siemens Bribery Scandal



Summary

Background
Siemens, a Germany company with long history, is one of the world's most important companies and Europe's largest technology conglomerates, with 430,000 employees, \$77 billion in revenue and industrial manufacturing. However in 2006, Siemens was caught in a corruption scandal for bribing employees of other companies for contracts.

Scandal
Some of the executive board members have been charged in this scandal. Kutschenreuter is the most senior Siemens executive found guilty of corruption so far. He was placed on probation for two years and fined **160,000 euro** after admitting that he had covered up slush funds and bribes paid by his employees. The other concerned person, Hans-Werner Hartmann, who was in charge of accounting at the company's telecommunications arm, was placed on probation for 18 months and fined **40,000 euro**. The funds were used to bribe government officials and business contacts to win lucrative contracts in Russia and Nigeria. The managers admitted the bribery but defended themselves on the basis that it was not for personal gain and could be considered standard business practice in some countries where they did business.



BRIBERY
How Things Get Done

Sehr schnelle Einführung eines glaubwürdigen Compliance Systems, wie hätten Sie es angestellt?



Immediate actions		Implementation	Support sustainable business
2006	2007	2008	2009
<ul style="list-style-type: none"> • Exchange of Leadership Team • Tone from the top • Independent / external investigation • Centralization of bank accounts 		<ul style="list-style-type: none"> • Settlement with authorities in Germany and in the U.S. • External Monitor • Compliance program • Compliance organization • Compliance training • Compliance tools 	<ul style="list-style-type: none"> • Settlement with World Bank • Continuous improvement • Values & Integrity • Collective Action • Launch of 100M USD Siemens Integrity Initiative¹

¹ The initiative is based on the settlements with the World Bank and the European Investment Bank and supports organizations and projects that fight corruption and fraud through Collective Action, education and training

Einführung eines Compliance Systems, in dem Verantwortung der Leitung im Mittelpunkt steht, ...

Ausdrückliche Konsequenzen und unmißverständliche Reaktionen

da, wo Fehlverhalten erkannt wird, dienen ebenfalls der Vorbeugung sowie dem Abstellen von Prozeßschwächen und Sicherheitslücken

Compliance Indicators

	Fiscal year	
	2016	2015
Compliance cases reported	675	568
Disciplinary sanctions	233	208
Therein dismissals	96	79

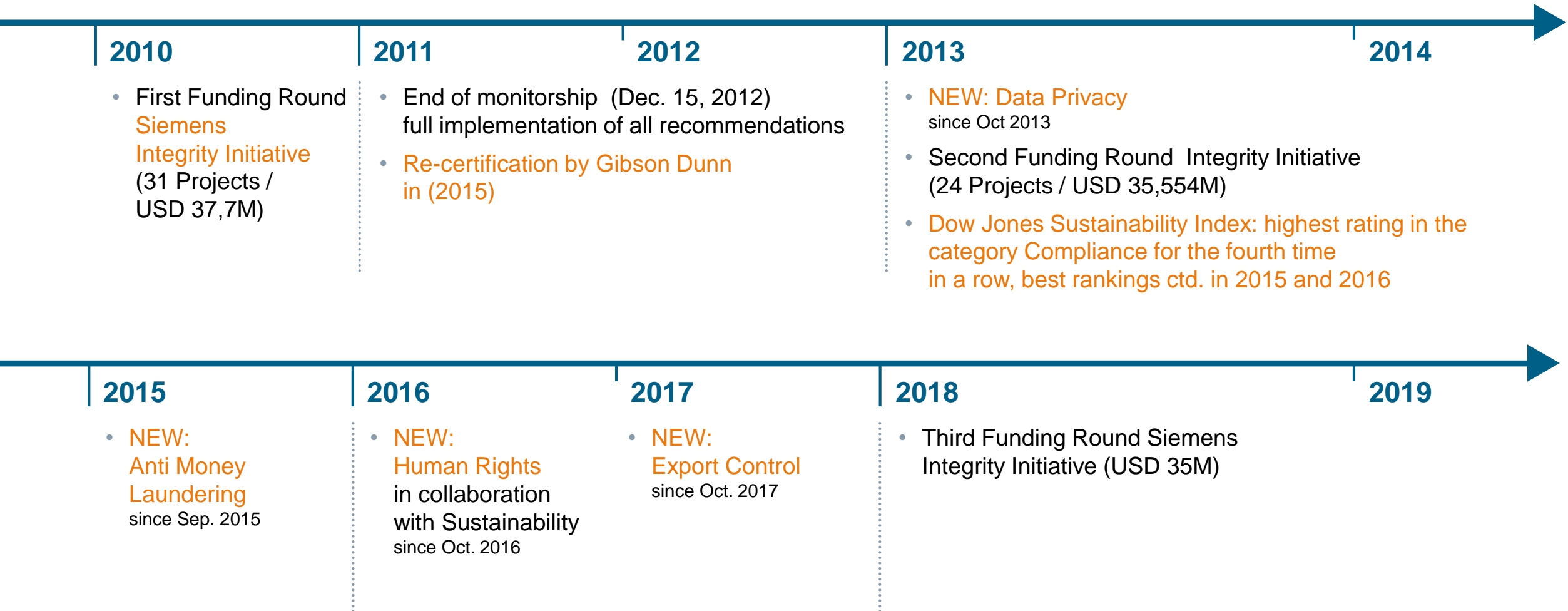


Wirkungsvolle **vorbeugende Maßnahmen** wie Risikomanagement, Richtlinien und Vorgaben, Training & Kommunikation, um Fehlverhalten systematisch vorzubeugen

Hohe Transparenz durch Whistleblowing ("Tell us") oder einen Ombudsmann, Offenheit für Fragen der Mitarbeiter ("Ask us") oder die Sicherstellung von professionellen und fairen **Untersuchungen**.

Wir entwickeln das Compliance System beständig weiter, um es an veränderte Anforderungen anzupassen.

... das sich beständig weiterentwickelt – auch um extern anerkannt zu werden



Für Siemens ist Compliance heute eine unveräußerliche Grundlage aller Geschäfte

SIEMENS
Ingenuity for life



**“To be clear: Safety and Compliance
are the Foundation of our Business
and non-negotiable.”**

Joe Kaeser,
President and CEO
of Siemens AG

Compliance Compass – showing the way

