

CODE OF CONDUCT

# CORPORATE RESPONSIBILITY

WHAT GUIDES US: OUR PRINCIPLES OF CONDUCT



**DMG MORI**

AKTIENGESELLSCHAFT

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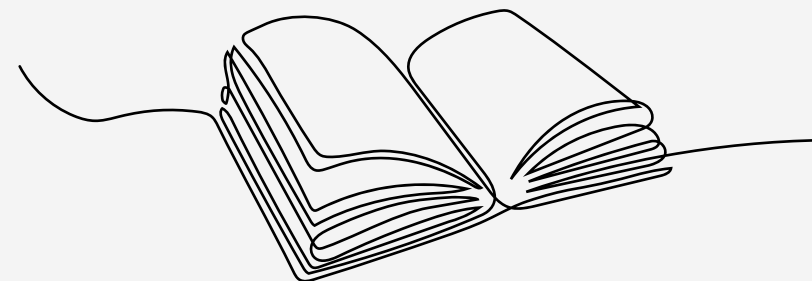
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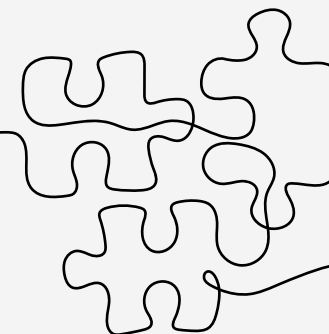
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# WHAT GUIDES US: OUR PRINCIPLES OF CONDUCT



Dear Sir or Madam,  
dear business partners, dear employees,

at DMG MORI, corporate success and responsibility for people, society and the environment are in harmony. The DMG MORI Code of Conduct defines our principles and values for dealing with each other and with all our stakeholders. In it, we describe our goals and demands on ourselves as well as on our business partners – we expect them to comply with and pass on our principles.

With our vision-mission statement we clearly describe our **goals and values** and demonstrate internally and externally what DMG MORI stands for and what drives us.

**Our vision:** We want to be the most attractive global machine tool manufacturer with digitized and sustainable products!

**Our mission:** We empower our customers – in manufacturing and digitization!

Our open-minded corporate culture is based on **TOP values: Trust, Openness and Passion.**

To secure these values in the long term, our actions are characterized by **integrity, compliance and sustainability as well as responsibility.** These fundamental values form

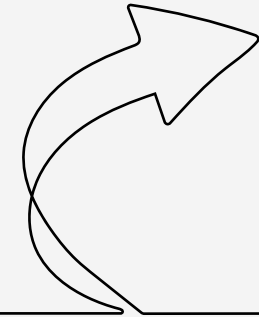
the framework for our corporate and social actions and apply worldwide. This is precisely what brings us together across borders and cultures. We all need to stand up for our values and act accordingly. DMG MORI will support here. We sincerely thank you for your past and future personal commitment!

DMG MORI AKTIENGESELLSCHAFT

**Alfred Geißler**  
Chief Executive Officer

**Hirotake Kobayashi**  
Chief Financial Officer

# OUR AIM: RESPONSIBLE ACTIONS



We want to be a fair, respectful and reliable partner! That is why we conduct business activities responsibly. This requires people who make **responsible decisions** every day.

Our principles of conduct serve as a **guide as well as an advisor** and are intended to support us in working towards achieving our goals in a responsible manner every day – with every decision and every single action. This applies both to our **dealings with each other at DMG MORI** and to our **contact with our business partners**. We expect them to comply with our principles of conduct, to pass them on and to work towards their implementation in their business relationships.

The Code of Conduct sets out binding standards for each of us and summarizes the most important principles. The individual regulations are explained more comprehensively in the various group manuals and guidelines. It is your task and duty to familiarize yourself with our principles of conduct.

Our Code of Conduct cannot cover in detail all the situations we face in our day-to-day business, but serves as a guide. Address concerns and uncertainties openly and ask for advice. **We are always happy to help!** There are several options available to you if you have questions or would like to report concerns or a possible violation.

## DMG MORI HELPLINE



### RESPONSIBILITY HELPDESK

✉ [responsibility@dmgmori.com](mailto:responsibility@dmgmori.com)

### ETHICSPPOINT COMPLIANCE HELPLINE (NAVEX GLOBAL)

Anonymous, free of charge and  
via report-form in different  
languages – 24/7

🌐 [dmgmori.ethicspoint.com](https://dmgmori.ethicspoint.com)

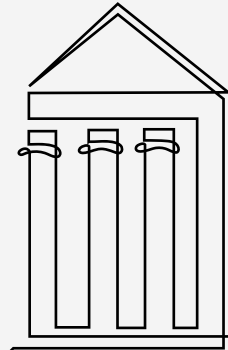
### CHIEF COMPLIANCE OFFICER

Dr. Patrick Vogt

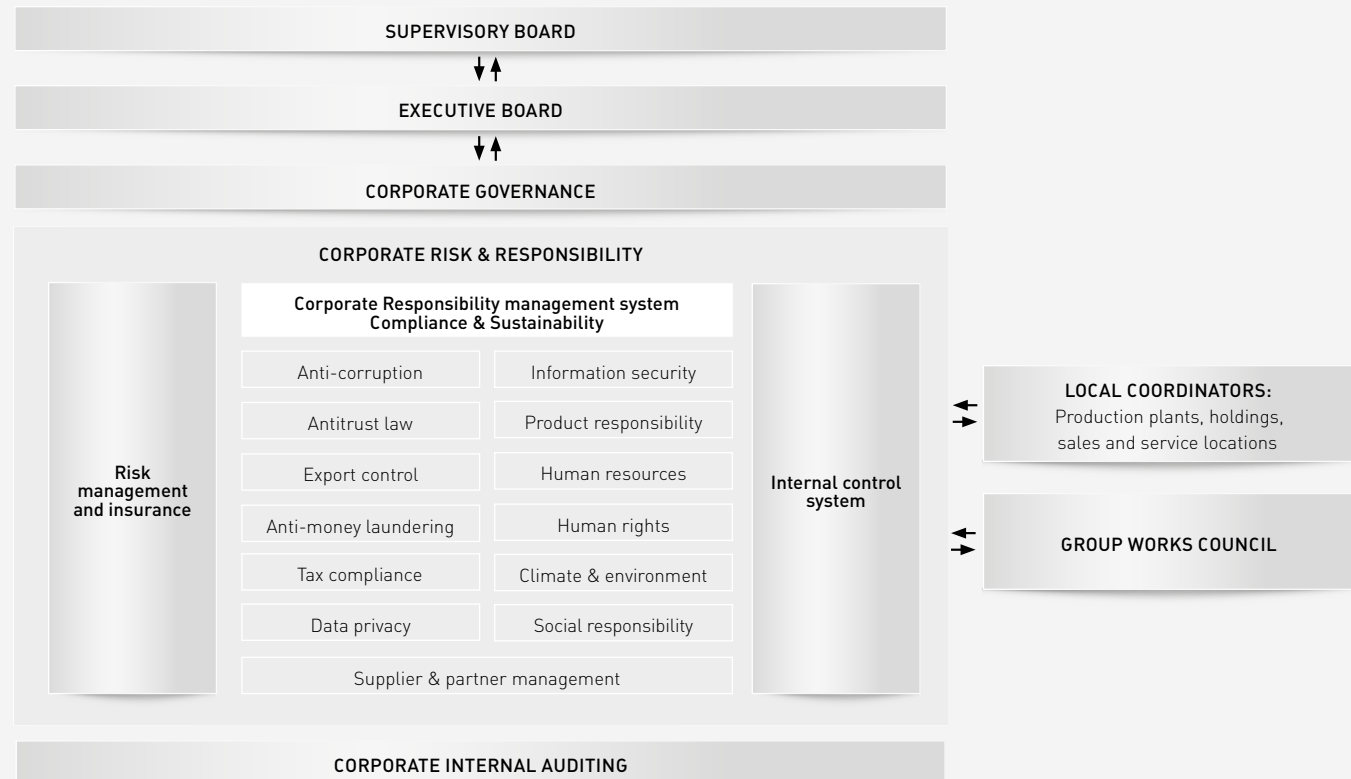
✉ [patrick.vogt@dmgmori.com](mailto:patrick.vogt@dmgmori.com)

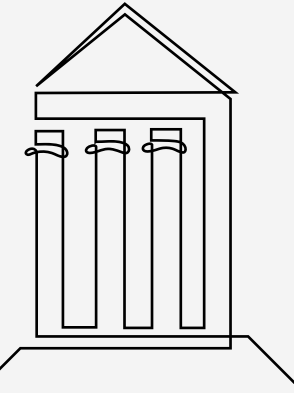
The Corporate Responsibility Team

# OUR APPROACH: CORPORATE GOVERNANCE



The principles laid down in our Code of Conduct form the basis for responsible action. DMG MORI follows the **principles of good corporate governance**, which are reflected in **responsible and transparent corporate management and control**. Good corporate governance is an essential element of strategic thinking and action on all organizational levels throughout the group.





## Dealing with opportunities and risks

For DMG MORI, good corporate governance includes comprehensive **systematic management of opportunities and risks**. It forms the basis for sustainable growth and economic success.

Opportunities are systematically identified, analyzed and managed. It is our goal that our employees recognize opportunities and risks at an early stage and deal with them responsibly. DMG MORI is exposed to potential risks through its international business activities. Active risk management is therefore essential for DMG MORI. It is used for early risk identification and assessment as well as active risk control and covers all organizational levels. In this way, we ensure group-wide risk awareness and strengthen the risk culture.



## Corporate Risk and Responsibility

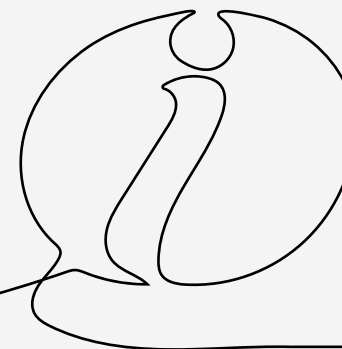
**Corporate Risk and Responsibility** bundles the topics of **risk management, sustainability and compliance** as well as the **internal control system** and reports directly to the Executive Board as the highest decision-making body. As an objective and independent body, the **Corporate Internal Auditing** department carries out process-related audits worldwide and supports the various business units in the continuous improvement of business processes.

Through our holistic **Corporate Responsibility** approach, we bundle and optimize the topics of **sustainability** and **compliance** in one department. Corporate Responsibility supports the various corporate divisions in anchoring our principles

and values. As integral parts of our corporate culture, sustainability and compliance thus contribute to the success of DMG MORI. The Corporate Responsibility management system is anchored worldwide throughout the group and comprises seven elements: culture, goals, risks, program, organization, communication, monitoring and improvement.

# APPLICATION AND COMPLIANCE OF THE CODE OF CONDUCT

*Our Code of Conduct sets standards for all areas of our business, for contact with our business partners and for our interactions with society and the environment.*



## Application of the Code of Conduct

### DEALING WITH EACH OTHER AT DMG MORI: OUR PRINCIPLES

Our Code of Conduct applies to all our **employees, management, the Executive Board and the Supervisory Board** worldwide. We are all obligated to comply with them. Our managers have a role model function to fulfil – they lead by example and with integrity. This sustainable leadership culture is defined in our „Leading Principles“.

The Code of Conduct summarizes the most important requirements for DMG MORI on each topic under **our principles**. References to detailed regulations or further sources can be found under the heading **further information**.

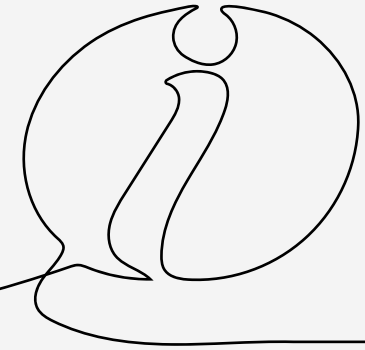
### COOPERATION WITH BUSINESS PARTNERS: OUR REQUIREMENTS

Due to our international business activities, we are integrated into a dense network of business partners. In this context, DMG MORI relies on a **cooperative partnership with its business partners**.

Clear rules for cooperation are naturally part of this. For us, compliance with the principles of responsible and sustainable conduct is of great importance. **The Code of Conduct is an integral part of the business relationship**. Just as we commit ourselves to clear principles towards our employees, customers, suppliers and other business partners – we also expect our business

partners to act in accordance with the principles of this Code of Conduct at all sites and business units. We summarize these for each topic under **our requirements for business partners**. We also encourage our business partners to pass on the contents and requirements along their supply chain.

DMG MORI reserves the right to verify our business partners' compliance with the requirements based on evidence, to define appropriate measures for improvement and, if necessary, to terminate the cooperation. This may take the form of audits or other measures deemed appropriate by DMG MORI.



## Compliance with the Code of Conduct

### HOW WE HANDLE CHALLENGING SITUATIONS

Our Code of Conduct cannot cover in detail all the situations we face in our day-to-day business, but serves as a **guide**. When we find ourselves in a challenging situation and are uncertain, we should ask ourselves the following questions:

- + Does the intended action comply with the principles of conduct at DMG MORI?
- + Will I regret the intended action later?
- + How would my family and friends feel about the intended action?
- + Would I also feel comfortable with my intended action if it were made public and discussed in the media?

If you are unsure or have concerns in answering these questions, please do not hesitate to contact us. In addition to employees and business partners, external third parties may also contact us.

### HOW WE DEAL WITH MISCONDUCT AND CONSPICUITIES

Violations of our Code of Conduct, our internal regulations and misconduct are not compatible with our principles and values, in short: **DMG MORI does not tolerate any illegal or non-compliant behavior.**

Appropriate handling of non-compliant incidents is an important part of our management system. DMG MORI takes all reports and information about possible violations as well as conspicuous issues resulting from internal and external audits and risk assessments seriously, investigates them timely and assesses facts objectively and impartially. After checking plausibility, we initiate investigations and any necessary remedial measures as appropriate. If we discover that a human rights or environmental violation has already occurred or is imminent in our business or along our supply chain, we take

appropriate measures to prevent, end or minimize the extent of this violation.

This process also complies with all applicable **whistleblower protection** regulations. Where possible and legally permissible, we inform them of the result after the process is completed. We do not tolerate any retaliatory actions against them.



More information on the **whistleblowing system** at DMG MORI can be found **online and on the corporate intranet DMG MORI ONE**.



# FUNDAMENTAL PRINCIPLES

*As a technology leader, we bear responsibility. We live up to our corporate and social responsibility on a daily basis, thus creating the conditions for our sustainable corporate success.*



## International regulations and legal requirements

### OUR PRINCIPLES

DMG MORI is subject to a wide range of local and international regulations and legal requirements as a result of its global business activities. We are guided by **ethical values and principles**, in particular **integrity and compliance as well as respect for human dignity**, as set out in the principles of the United Nations Universal Declaration of Human Rights, the OECD Guidelines for Multinational Enterprises and the core labor standards of the International Labor Organization (ILO) as well as the United Nations Guiding Principles on Business and Human Rights. We respect the personal rights of each individual and all parties with whom we interact through our activities, business relationships, products and services and do not tolerate inhumane treatment.

Compliance with the applicable laws and other legal provisions of the countries in which we operate is a matter of course for us. Where local laws and regulations are less restrictive, our actions are guided by the principles and values contained in the Code of Conduct. In cases where there is a direct conflict between mandatory local law and the principles and values contained in this Code of Conduct, local law takes precedence. However, we will endeavor to comply with the contents of this Code of Conduct.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

We also expect our business partners to act in accordance with the law and to comply with international regulations and conventions. If the

requirements of our Code are stricter than the locally applicable laws, our requirements apply. In the event of direct contradictions, local law takes precedence – although our business partners should make every effort to comply with the contents of the DMG MORI Code of Conduct.

### IT IS NECESSARY ...

- + to act in accordance with the relevant statutory regulations and to align ourselves with international rules and regulations.
- + to respect and support ethical values and principles.

### MORE INFORMATION

Principles of the United Nations Universal Declaration of Human Rights | OECD Guidelines for Multinational Enterprises | Core labor standards of the International Labor Organization (ILO) | United Nations Guiding Principles on Business and Human Rights | Group guideline on respect for human rights and working conditions



## Social responsibility

### OUR PRINCIPLES

Our holistic approach to Corporate Responsibility also includes **our responsibility to society**. We are part of it – therefore we also do our part.

Our commitment includes donations and sponsorships as well as close exchange with universities, clubs and associations. We support our employees who engage in voluntary work. Our commitment focuses on projects in the community, education, science, art, culture, sports and, in particular young talent.

Decisions are based on our groupwide donations and sponsorship guideline. The applicable processes and value limits are also defined here. As a matter of principle, no donations are made to political or party-affiliated organizations, politicians or holders of public office. Decisions on

which projects we support are made by our local managing directors right there on site. After all, they know best where our donations are most needed and where it will really have an impact. This is how DMG MORI contributes to the common good.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

We encourage our business partners to fulfil their corporate social responsibility – just as we do.

### IT IS NECESSARY ...

to be aware of the responsibility as a member of society.

### MORE INFORMATION

Sustainability Report of DMG MORI AKTIENGESELLSCHAFT |  
Group guideline on handling business gifts, invitations, donations and sponsorship



# BUSINESS ETHICS

*We want to be a fair, respectful and reliable partner!  
Therefore, we conduct our business relationships with  
high ethical integrity.*



## Rejection of corruption and conflicts of interest

### OUR PRINCIPLES

The integrity of our corporate actions is of enormous importance to DMG MORI – because corruption obstructs progress and innovation. We are guided by international standards, reject any form of corruption and prohibit any conduct that could give the impression of improperly influencing business decisions. We define corruption as any kind of illegal, immoral and dishonest actions – such as bribery and corruption, misappropriation, fraud, blackmailing or nepotism. In our dealings with business partners and institutions, we focus on the **transparent and lawful conduct of all corporate transactions.**

DMG MORI expects loyalty and integrity – while respecting personal interests. We are careful to separate personal and business interests.

All **business decisions are unbiased and objective** and are made solely in the best interests of the company. Situations in which personal interests and actions conflict with the company's interests are to be avoided. If conflicts cannot be avoided, we disclose them and seek a solution that protects the interests of DMG MORI.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

We also expect our business partners to reject corruption and conflicts of interest. Corruption must be unreservedly prevented in all its manifestations. Decisions regarding joint business activities must be made on the basis of objective criteria. Together we want to drive business forward through quality and integrity!

### IT IS NECESSARY ...

- + not to practice, tolerate or in any way support corrupt behavior in business dealings.
- + to make business decisions in an unbiased and objective manner.
- + to check carefully whether the conduct of our corporate business is transparent and lawful.

### MORE INFORMATION

Guiding Principles of the Organization for Economic Co-operation and Development (OECD) | United Nations Convention against Corruption | Transparency International: Corruption Perceptions Index | International standard: ISO 37001 for anti-corruption management | Group guideline on agents and dealers | Group guideline on handling business gifts, invitations, donations and sponsorship



## Conduct in competition

### OUR PRINCIPLES

As a leading global provider of holistic and sustainable technology solutions in the manufacturing environment, DMG MORI is committed to **fair and unfalsified competition**. We handle our market position responsibly and pursue our goals in compliance with competition and anti-trust regulations.

We enthuse and impress with our innovation strength and we strive for excellence. In all our global activities, we always behave in an uncompromisingly fair manner.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

We also expect our business partners to comply with the principles and rules of fair and unfalsified competition. We require adherence to applicable competition laws and that legitimate competition is not disturbed or impeded by anti-competitive behavior. Together, we want to advance competitive products and services through new ideas and innovations – and always by fair means!

### IT IS NECESSARY ...

not to disturb or hinder fair and undistorted competition through anti-competitive behavior.

### MORE INFORMATION

Guiding Principles of the Organization for Economic Co-operation and Development (OECD) | Group guideline on market conduct





## Trade control

### OUR PRINCIPLES

DMG MORI has a global presence. All our business relationships may be subject to trade control regulations. They are an important instrument for **international stability** and help to prevent the misuse of our products and services.

Of particular importance are the **regulations on foreign trade law and the resulting export control regulations and customs regulations**. Not only our products can fall under these regulations, but also our services and data as well as the transfer of means of payment. We need to know with whom we are dealing in our business activities. Our products and technologies shall

not fall into the wrong hands and potentially be misused. Appropriate processes, organizational measures and control systems are designed to ensure compliance with all relevant legal requirements.

We also comply with our legal obligation to **combat money laundering and terrorist financing**. We only maintain our business relationships with business partners who are engaged in legitimate business activities and obtain their funding from legitimate sources. DMG MORI takes comprehensive measures to ensure the transparency of business relationships and to comply with our due diligence and reporting obligations.

### OUR REQUIREMENTS TO BUSINESS PARTNER

Our business partners are required to comply with the statutory regulations on foreign trade law and on combating money laundering and terrorist financing. Together, we want to contribute to responsible standards of corporate behavior.

### IT IS NECESSARY ...

- + to communicate truthful and complete trade documents and data in a timely manner.
- + to comply with export control and customs regulations.
- + to comply with the legal provisions on combating money laundering and terrorist financing.

### MORE INFORMATION

Financial Action Task Force on Money Laundering as a working group of the Organization for Economic Cooperation and Development (OECD) | Group guideline on export control | Group guideline on anti-money laundering



## Taxes and financial responsibility

### OUR PRINCIPLES

Business activities at DMG MORI are characterized by reliability and transparency. The **correct and reliable documentation of our business records** is a legal obligation and also crucial for sound decision-making processes for the trust of all stakeholders of DMG MORI. We adhere to the principles of **proper accounting and financial reporting** to achieve a true, transparent and complete record of all our business activities. With our internal control system, we ensure that the essential financial and non-financial business processes and the associated risks are recorded. We eliminate or reduce these to an appropriate level with suitable organizational safeguards and control activities.

**Transparent and truthful reporting and communication** on business processes of DMG MORI is a matter of course for us. In addition, we are committed to complying with the **tax regulations** of all countries in which we operate. We want to remain a fair and respected taxpayer and thus also live up to the social responsibility of our company.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

Our business partners must ensure compliance with the relevant statutory provisions on taxes, accounting and financial reporting. Together, we want to create trust through reliability and transparency!

### IT IS NECESSARY ...

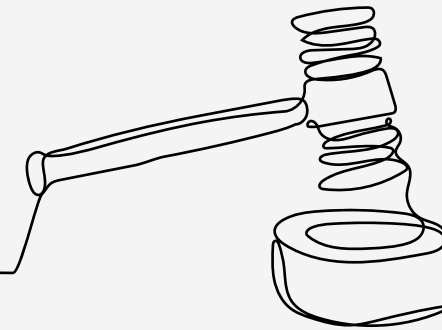
- + to ensure that all published information is accurate and complete.
- + to comply with all statutory provisions as well as tax regulations.
- + to ensure proper accounting and reporting.

### MORE INFORMATION

Guiding Principles of the Organization for Economic Cooperation and Development (OECD) | Group guidelines on taxes

# HUMAN AND LABOR RIGHTS

*We respect and support compliance with internationally recognized human and labor rights. For us, this includes fair and dignified and respectful treatment of all human beings.*



## Rejection of child and forced labor

### OUR PRINCIPLES

DMG MORI rejects any form of child labor, forced labor, modern slavery or comparable freedom-robbing behavior. **Every employment must be voluntary and can be terminated at any time.** We also do not tolerate any form of coercion, deception and psychological or physical threats. This also applies to the commissioning or use of private or public security forces.

DMG MORI does not hire employees who cannot demonstrate a minimum age of 15 years. In countries that fall under the exception for developing

countries according to the **core labor standards of the International Labor Organization (ILO)**, the minimum age may be reduced to 14 years. Young employees under the age of 18 may not perform hazardous work that poses a risk to mental or physical health or morals, or that prevents them from completing their compulsory education.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

Together, we are committed to respecting human and labor rights. We also emphatically demand this of all our business partners. They must be

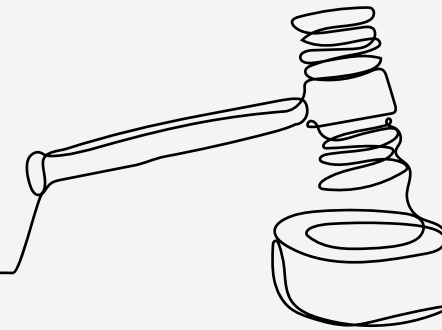
sensitized to human rights issues, be familiar with the relevant international rules and legal regulations and be alert to possible human rights violations – both within their own company and along the entire value chain. Our business partners must have all work performed by employees who have reached the legally permissible working age.

### IT IS NECESSARY ...

- + to reject any form of child labor, forced labor, modern slavery or comparable forms of behavior that deprive people of their freedom.
- + to take a proactive approach to human rights issues in order to prevent negative impacts of our business activities on human rights.
- + to address violations of human rights and take immediate action against them.
- + to perform risk-based due diligence.

### MORE INFORMATION

Core labor standards of the International Labor Organization (ILO) No. 29 and 105 | Core labor standards of the International Labor Organization (ILO) No. 79, 138, 142 and 182 | Group guideline on respect for human rights and working conditions



## Protection of local communities

### OUR PRINCIPLES

DMG MORI recognizes the **adequate protection of land, forests and waters** as a fundamental human right. There shall be no unlawful eviction or deprivation in the acquisition, development or other use of land, forests and waters. Negative human rights and environmental impacts due to the acquisition of land or the procurement of resources must be excluded. This also applies to forced relocation or restrictions on the use of land.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

Together, we are committed to the appropriate protection of land, forests and waters. We expect our business partners to be legal owners or users of the land on which they conduct business. When acquiring, developing or otherwise using land, forests and waters, negative human rights and environmental impacts must be avoided. Priority should always be given to preserve the livelihood of the people affected.

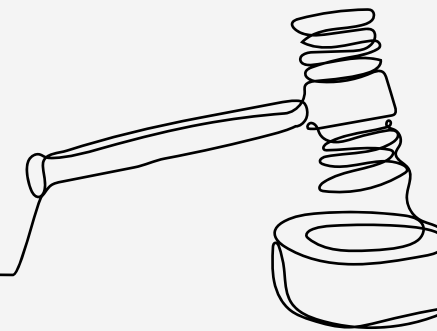
### IT IS NECESSARY ...

- + to respect the adequate protection of land, forests and waters as a fundamental human right.
- + to discuss open and transparent with the affected stakeholders and find appropriate solutions for the benefit of the people affected.

### MORE INFORMATION

Convention 169 of the International Labor Organization (ILO) | Group guideline on respect for human rights and working conditions





## Equal opportunities and promotion of diversity

### OUR PRINCIPLES

As an international technology group, we know: **Diversity is a great opportunity.** We learn from each other, are open to new ideas and work together to develop innovative future technologies. That's why we are committed to **behaving in a way that is appreciative and free of prejudice.** At DMG MORI, all human beings are valued and treated equally – regardless of nationality, ethnic origin, gender, age, religious affiliation and world view, sexual identity and orientation, physical and mental impairment and other personal characteristics. We respect each other and strive for a working environment that is free from discrimination, intimidation, harassment or disrespectful behavior.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

Together, we ensure a diverse work environment without discrimination. We value the diversity of our human beings and expect our business partners not to tolerate discrimination either and to reject all forms of intimidation, harassment and disrespectful behavior.

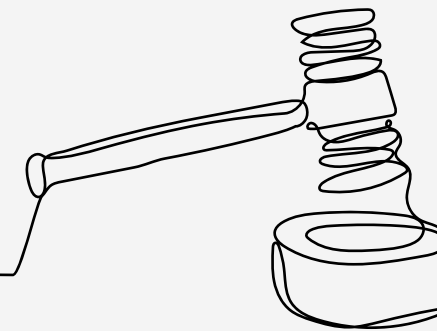
#### IT IS NECESSARY ...

- + to promote an appreciative behavior that is free of prejudice.
- + not to tolerate discrimination.

### MORE INFORMATION

Core labor standards of the International Labor Organization (ILO) No. 111 | Diversity Charter: For Diversity in the World of Work | Group guideline on respect for human rights and working conditions





## Freedom of association and right to collective bargaining

### OUR PRINCIPLES

DMG MORI respects the **fundamental right to freedom of association and the right to collective bargaining** to regulate working conditions. **We work in close cooperation with employee representatives in a spirit of trust.** If the exercise of freedom of association and the right to collective bargaining is not legally permissible or possible in individual countries, we seek appropriate compromises. DMG MORI also always enables employees to raise any concerns openly and directly.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

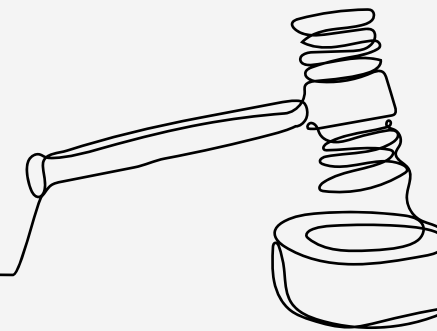
The basis of mutual trust and cooperative interaction is an open and constructive dialogue. We encourage our business partners to engage in this dialogue with their employees. We also expect our business partners to respect the fundamental right to freedom of association and the right to collective bargaining. Together, we ensure a working environment that enables employees and the company to work together in a spirit of trust!

### IT IS NECESSARY ...

- + to respect freedom of association and the right to collective bargaining and respect and support related bodies.
- + to engage in an open and constructive dialogue.

### MORE INFORMATION

Core labor standards of the International Labor Organization (ILO) No. 87, 135 and 154 | Group guideline on respect for human rights and working conditions



## Working hours and remuneration

### OUR PRINCIPLES

**Reasonable working hours and fair compensation promote a productive working environment.**

DMG MORI is committed to complying with the respective statutory and collectively agreed regulations and international standards on maximum permissible working hours and paid rest periods. In addition, we are committed to making everyday life easier for our employees wherever possible – with **flexible working hours and a healthy work-life balance**. Remuneration at DMG MORI is based on a market-oriented and living wage level as well as binding collective agreements and complies with the national statutory minimum standards. In doing so, we also ensure equal opportunities in terms of remuneration (equal pay). We

provide clear and detailed information on working conditions in a written and comprehensible employment contract.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

We expect our business partners to ensure that working hours comply with international labor standards. It must be ensured that working hours, including overtime, do not exceed the respective legally permissible maximum limits. In the absence of legal provisions, it must be ensured that weekly working hours, including overtime, do not exceed 60 hours, even in exceptional cases. In addition, employees must have at least one full day off per calendar week. Likewise,

we expect compensation to be based on binding collective agreements as well as national statutory and minimum living standards. Employees must be informed clearly, in detail and regularly about their working conditions.

### IT IS NECESSARY ...

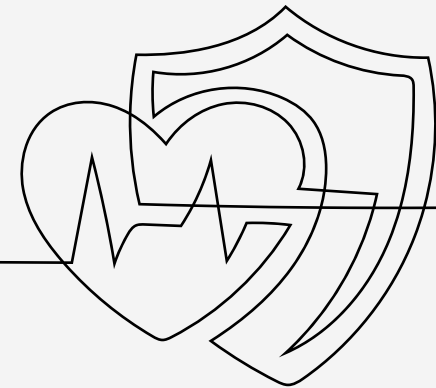
- + to ensure a living wage that at least corresponds to the respective national legal regulations.
- + to comply with international labor standards and the associated maximum limits on working hours.

### MORE INFORMATION

Core labor standards of the International Labor Organization (ILO) No. 1 | Group guideline on respect for human rights and working conditions

# HEALTH AND SAFETY

*A safe and healthy working environment is of great importance to us and forms an essential part of our global business activities. To this end, we take appropriate health and safety measures at DMG MORI.*



## Occupational safety

### OUR PRINCIPLES

Health and safety is an important concern for DMG MORI. We are guided by international **occupational health and safety** standards and ensure compliance with applicable national health and safety rules and regulations. This applies to all business areas at DMG MORI and covers our products and services, the design of workplaces and work processes, as well as safe machine operation and the safe use of work equipment, operating materials and hazardous substances.

We aim to identify potential risk factors by means of preventive analyses, implement effective measures and thus protect our employees and human beings from hazards and harmful health risks. We

provide appropriate equipment – such as personal protective equipment – free of charge and take all necessary measures to prevent occupational accidents and damage to health. DMG MORI is also committed to the continuous development and improvement of a safe and healthy working environment.

We provide information and training – depending on the individual risk assessment and activity – on applicable health protection and occupational safety measures at DMG MORI and encourage compliance with the regulations.

This also applies to subcontractors and other visitors to our company premises.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

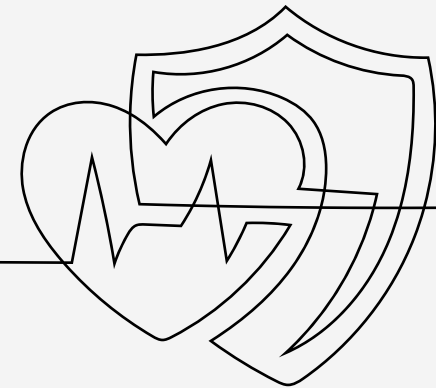
Together with our business partners, we ensure a safe and health-promoting working environment and implement appropriate measures to prevent hazards and damage to health. We are guided by international standards for safety and health in the workplace and ensure compliance with the occupational health and safety laws and regulations applicable in the respective countries.

### IT IS NECESSARY ...

- + to provide appropriate equipment and to take the necessary measures to prevent occupational accidents and damage to health.
- + to provide adequate information and instruction on applicable health and safety standards and safety measures.
- + to implement emergency measures and precautions as well as an accident reporting system.
- + to meet appropriate fire safety and hygiene standards.

### MORE INFORMATION

International Standard: ISO 45001 for occupational health and safety management | Group guideline on respect for human rights and working conditions | Local organizational instructions



## Health-promoting work environment

### OUR PRINCIPLES

We want to create a healthy working environment for our employees and human beings. DMG MORI is committed to a working environment in which everyone can perform to the **best of their potential** and can maintain and promote their **physical and mental health** – both in the office, during mobile working and in production. We want to positively influence the health of our employees and promote well-being, and we rely on the active participation of our employees in this. DMG MORI offers country-specific health-promoting and prevention-oriented programs – for example in the following areas: Occupational medicine and safety, workplace health promotion, ergonomics, stress and noise pollution, reintegration and social counseling.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

Together with our business partners, we take responsibility for the health of our employees and support them in leading a healthy lifestyle.

#### IT IS NECESSARY ...

- + to implement country-specific health promoting and prevention-oriented measures.
- + to act and cooperate in a safe and healthy manner in our business activities.

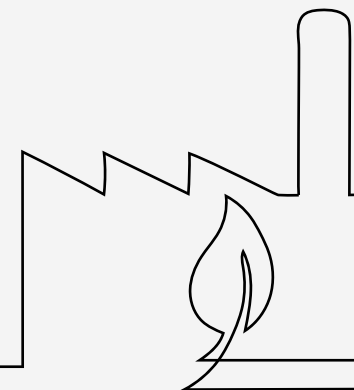
### MORE INFORMATION

European Network for Workplace Health Promotion (Luxembourg Declaration) | Group guideline on respect for human rights and working conditions | Health management news on the corporate intranet DMG MORI ONE



# CLIMATE AND ENVIRONMENT

*Protecting the climate and the environment is one of the central concerns in our society and presents us with major challenges as a human race. For the best possible protection, we pursue a 360° approach: We focus on resource-efficient, climate and environmentally friendly behavior at DMG MORI worldwide and at our partners.*



## Climate and energy

### OUR PRINCIPLES

We are guided by international standards and act in accordance with applicable laws. After all, protecting the climate and our environment is an integral part of our corporate responsibility. At DMG MORI, sustainability and technology leadership have been in harmony for many years. For us, a resource-efficient value chain – the **DMG MORI GREEN ECONOMY** – is already a lived reality. We bundle our activities for climate neutrality into three areas:

- + **GREENMACHINE:** the 100% climate-neutrally produced machine
- + **GREENMODE:** the resource-efficient operation at the customer's site
- + **GREENTECH:** our contribution as a pioneer of green technologies

DMG MORI has both a CO<sub>2</sub>-neutral „**Company Carbon Footprint**“ and a climate-neutral „**Product Carbon Footprint**“ via the climate triple „Avoid – Reduce – Compensate“. This includes direct and indirect emissions from our own value creation as well as indirect emissions from upstream processes along our supply chain (scope 1, 2 and 3 upstream). Our customers thus receive completely climate-neutrally manufactured machines from all our production plants.

Our targets reflect the self conception of DMG MORI: In accordance with the Paris Agreement, we want to make our contribution to limiting the global temperature increase to below 1.5°C above pre-industrial levels. We have therefore joined the Science Based Targets initiative.

We control energy consumption and emissions in particular at our main production sites with

our energy and environmental management system. The focus is on suitable measures that tap unused energy efficiency potentials, reduce greenhouse gas emissions, such as CO<sub>2</sub> emissions and reduce other environmental impacts of energy consumption. We systematically monitor our energy-related processes and continuously improve the company's energy efficiency. In addition, we generate regenerative energy ourselves at almost all production sites and some sales and service locations – mostly via photovoltaic systems.

### OUR REQUIREMENTS TO BUSINESS PARTNER

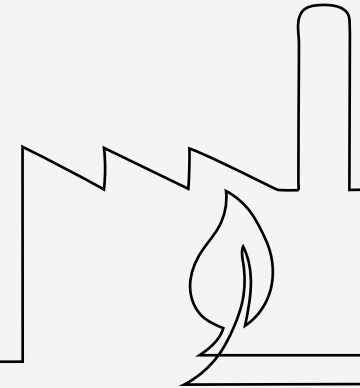
Our business partners are required to comply with international standards and legal regulations. It is our common concern to minimize negative impacts on the climate and the environment and to continuously improve our activities for the protection of the climate and the environment.

### IT IS NECESSARY ...

- + to commit ourselves to resource-saving and environmentally compatible procedures and processes.
- + to regularly raise awareness on climate and environmental protection and provide necessary trainings.

### MORE INFORMATION

International standard: ISO 50001 for energy management | Sustainability Report of DMG MORI AKTIENGESELLSCHAFT | Environmental and energy management manual



## Environment and waste

### OUR PRINCIPLES

We are committed to a responsible approach to our environment and promote the **use of environmentally friendly technologies**. In doing so, DMG MORI is committed to complying with applicable environmental protection regulations and standards. Our goal is to make the most positive contribution possible to people, society and the environment. No negative impacts should result from our business activities. We have long-term ambitions and are actively working to continuously improve our climate and environmental performance.

For DMG MORI, this includes the **sustainable use of resources and the continuous increase of resource efficiency** by strengthening the circular economy. At DMG MORI, we handle all

resources sustainably and manage the ecological impact of our business activities. Wherever possible, we save resources along the entire value chain: in the upstream processes of our supply chain, in our own production, in machine operation at our customers' sites and in the refurbishing or recycling of our machines.

We also attach great importance to further reducing water consumption and the volume of waste. Any waste generated is disposed of in a professional and environmentally friendly manner in accordance with international standards. Responsible handling of chemicals and other hazardous substances for people and the environment is a matter of course for DMG MORI. We are committed to not causing any harmful soil or water pollution through our business activities.

We also attach importance to other important environmental aspects, such as protecting biodiversity and ecosystems, ensuring air quality and noise protection, but also responsible ownership and acquisition of land and responsible use of land.

In order to identify relevant negative effects on the environment on a regular basis, to reduce environmental impact to a minimum and thus to be able to continuously improve environmental protection, DMG MORI has implemented an appropriate management system. This also includes the information and training of all employees.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

We expect our business partners to comply with applicable environmental regulations and standards and to protect life and human health in connection therewith.

### IT IS NECESSARY ...

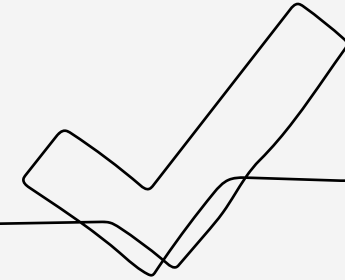
- + to use resources carefully, recycle them as much as possible and dispose of them properly.
- + to take environmental protection measures into account throughout the value creation process.
- + to orient ourselves to the international treaties on the protection of the environment and human health.

### MORE INFORMATION

Minamata Convention on Mercury | Stockholm Convention on Persistent Organic Pollutants | Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal | International standard: ISO 14001 for environmental management | Sustainability Report of DMG MORI AKTIENGESELLSCHAFT | Group guideline on respect for human rights and working conditions | Environmental and energy management manual

# PRODUCT RESPONSIBILITY

*We create sustainable and innovative premium products and solutions that meet high quality and product safety standards. Our goal: 100% satisfied customers.*



## Product quality

### OUR PRINCIPLES

Maximum accuracy, efficiency, reliability, durability and sustainability with excellent products and processes: At DMG MORI, we are committed to quality and continuous improvement – in all products, services and business activities. With our **„First Quality“ strategy**, we consistently align all activities along the entire value chain to maximum quality and customer benefit. Quality is the process-determining factor.

Compliance with legal requirements and international standards is ensured by our quality management system. It permanently controls quality and safety via monitoring during development and

production. In addition, all structures, processes and procedures at DMG MORI are subject to constant control and a continuous improvement process. Our production plants are certified according to the international standard ISO 9001.

We do not tolerate any intentional or grossly negligent behavior that results in a reduction of our quality. The use of plagiarized or counterfeit materials is strictly prohibited. Intellectual property is one of our most valuable assets. For this reason, DMG MORI takes the utmost care in protecting these assets and is committed to respecting the intellectual property of others.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

Together with our business partners, we ensure that the high quality expectations of our stakeholders are met. This is based on legal requirements and international standards as well as DMG MORI-specific quality standards. We expect our business partners to take strict action against the purchase and use of plagiarized or counterfeit materials and to continuously improve product and process quality.

#### IT IS NECESSARY ...

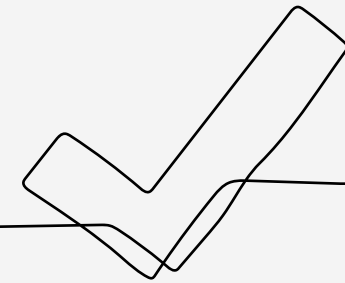
- + to adhere to quality standards and commit to continuous improvement.
- + to protect intellectual property.



### MORE INFORMATION

International standard: ISO 9001 for quality management | Quality management manuals





## Product safety

### OUR PRINCIPLES

The safety of our products and solutions is important to us. We comply with the highest safety regulations and take into account legal and technical requirements as well as standards for **safety and conformity in all phases of the value chain**. Important foundations and guidelines at DMG MORI are the Product Safety Act and other international and national requirements affecting the product, such as the EU Regulation on the Registration, Evaluation, Authorization and Restriction of Chemicals (REACH) and the EU Directive on the Restriction of the Use of Certain Hazardous Substances in Electrical and Electronic Equipment (RoHS).

Our regulations, processes and structures ensure the implementation of these principles. Quality and safety are key requirements throughout the value creation process at DMG MORI. This also

applies to our digital products. Already in the product development process, we pay attention to the highest level of security and are guided by international standards. By maintaining a high level of information security, we ensure that the confidentiality, integrity and availability of machine and machine data remain guaranteed. This requires close cooperation with our business partners.

We regularly check our products and solutions, identify potential hazards and derive measures to reduce risks. In doing so, we work in accordance with general legal requirements and international standards as well as the current state of the art. We support our customers in avoiding possible hazards. We inform them and take remedial action if we become aware of hazards posed by our products and solutions.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

Together with our business partners, we stand for products and services of the highest quality and safety. We implement relevant international regulations as well as the regulations and standards anchored therein.

### IT IS NECESSARY ...

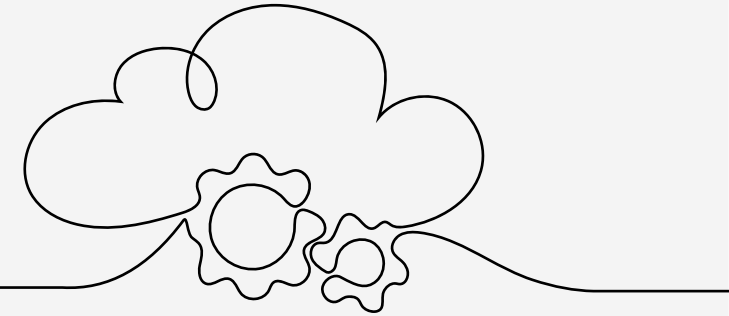
- + to pay attention to the safety and conformity of our products at all stages of the value chain.
- + to inform our stakeholders timely about possible hazards and to take appropriate measures to reduce risks in the event of safety concerns arising.

### MORE INFORMATION

International standard: IEC 62443-4-1 for IT security in automation systems | Group guideline on respect for human rights and working conditions

# DATA AND INFORMATION

*Data and information form the basis of our digital world. As a digital pioneer in machine tool manufacturing, we focus on the opportunities and potentials of digitization and shape the digital transformation sustainably and responsibly.*



## Digital responsibility

### OUR PRINCIPLES

Digital technologies now influence almost all aspects of our society. At DMG MORI, digitization is a strategically important future field. With a **unique future architecture for networked solutions consisting of machine, automation and digitization**, we are setting standards across all industries. As a technology leader, we assume holistic responsibility along the entire process chain and advance digital solutions in a sustainable, integrated and value-oriented manner.

Our digital responsibility starts with compliance with international standards and legal requirements and extends to our ethical and sustainable core values in the use of digital technologies. We safeguard and protect the confidentiality of sensitive data, information and trade secrets.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

Together with our business partners, we want to achieve a responsible and value-oriented design of digital technologies. We also expect our business partners to assume digital responsibility.

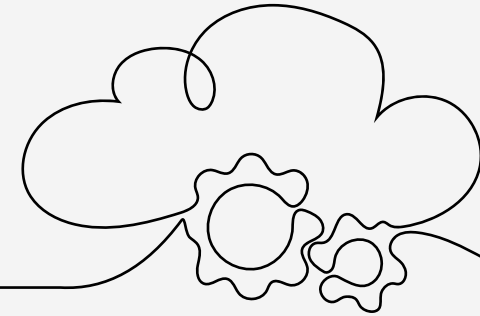
#### IT IS NECESSARY ...

to take responsibility for the design and use of digital technologies.

### MORE INFORMATION

Information security management at DMG MORI





## Protection of assets

### OUR PRINCIPLES

With our commitment and our performance, we create new assets at DMG MORI every day. We handle these assets responsibly and carefully.

Innovations are a key success factor for sustainable competitiveness of DMG MORI. Therefore, the **protection of know-how and intellectual property rights** is of particular importance. We proceed with the greatest care in protecting sensitive business, technical and financial data and information as well as with trade secrets. We protect our assets against loss, damage, disclosure, theft and misuse. To this end, we apply security standards and take precautions for confidentiality and other necessary measures. This also applies to data, information and trade

secrets entrusted to us by our business partners. We also handle tangible assets with care and prudence. From machinery and materials to office furniture and technical equipment to vehicles – we are all responsible for handling them with care in our daily dealings and protecting them from damage, improper use, theft and misuse. The same applies to the handling of our business partners' material assets.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

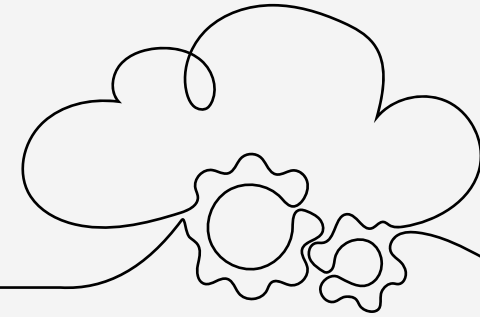
Together with our business partners, we act with greatest care in protecting assets. We expect reliability in the daily handling of data and information as well as trade secrets – as part of our responsibility as a company.

### IT IS NECESSARY ...

- + to handle sensitive business, technical and financial data and information as well as trade secrets responsibly.
- + to protect our assets from loss, damage and misuse.

### MORE INFORMATION

Group guideline on classification and handling of information | Non-disclosure agreements



## Information and cyber security

### OUR PRINCIPLES

At DMG MORI, information and cyber security is a high priority. Our goal is to ensure the **confidentiality, integrity and availability** of our data, information and trade secrets at all times. The use of information technologies and related systems may expose DMG MORI to the risk of cyber attacks and similar internal and external threats. Our information security management system forms the basis for controlling and effectively implementing our holistic security strategy.

We have a comprehensive concept to **protect our data, information and trade secrets** from theft, loss, unauthorized disclosure, illegal access or

misuse. Our systems are designed with a high IT security standard. Likewise, numerous technical and organizational measures serve to control as well as continuously improve information security at DMG MORI in order to respond in the best possible and timely manner to company-specific risks to information security. Regular cyber security audits, assessments and penetration tests help to ensure high IT security standards. Our employees play a decisive role in ensuring our information security. We regularly provide information on security measures and conduct trainings to raise awareness of security-relevant risks and threats from cyber-attacks.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

High information and cyber security standards are essential to protect data, information and trade secrets. Together with our business partners, we ensure an appropriate level of security and take appropriate technical and organizational precautions.

### IT IS NECESSARY ...

- + to adequately protect data, information and trade secrets.
- + to implement effectively technical and organizational security measures.

### MORE INFORMATION

International standard: ISO 27001 for information security management | Group guidelines relevant to information security



## Dealing with insider information

### OUR PRINCIPLES

We conduct our business activities in accordance with capital market regulations. DMG MORI promotes **open and fair financial markets by protecting non-public information.**

All confidential information must be protected. Particularly sensitive is insider information – i.e. concrete information about circumstances not known to the public that relate to DMG MORI and can thus have an influence on the share price of our company. We treat non-public information as absolutely confidential, do not disclose it and do not use it for trading in financial instruments.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

In connection with our business activities, we may have access to non-public information in a variety of ways. If our business partners have access to insider information, they are obliged not to use it for trading in financial instruments or to pass on corresponding recommendations to third parties. Furthermore, we expect that information is always treated confidentially and not disclosed.

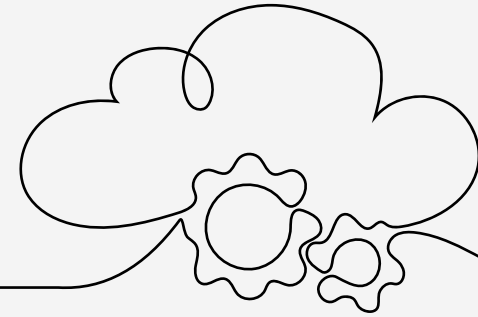
### IT IS NECESSARY ...

- + to protect confidential information.
- + to disclose non-public information only to authorized persons who need it.

### MORE INFORMATION

Group guideline on handling insider information and prohibition of insider trading





## Data privacy

### OUR PRINCIPLES

DMG MORI respects the protection of personal rights. As part of our corporate responsibility, we are committed to **protecting the personal data of our stakeholders**. When handling personal data, we act responsibly and in a manner that is comprehensible to the affected person, in compliance with the applicable legal provisions on data privacy.

DMG MORI collects, processes, uses and stores personal data only when necessary to achieve our legitimate and business purposes. We

pursue a group-wide uniform level of data protection and have adopted principles and regulations for handling personal data, which must be observed by our employees. To meet the requirements for security and protection of personal data, DMG MORI takes appropriate technical and organizational security measures.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

In our daily business activities, we collect and process personal data from employees and business partners. Together, we are obliged to treat

this data confidentially and with due care at all times – as part of our responsibility as a company. Our business partners ensure that all applicable legal provisions on the protection of personal data are complied with and that personal data is only used if this is lawful and necessary to fulfill legitimate business purposes.

### IT IS NECESSARY ...

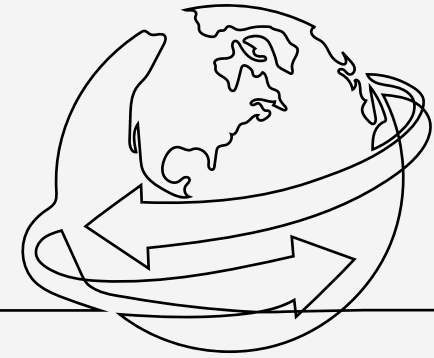
- + to respect and comply with the applicable legal provisions on the protection of personal data.
- + to collect, process, use or store personal data only in accordance with the statutory provisions.

### MORE INFORMATION

Group data privacy manual

# RESPONSIBLE AND SUSTAINABLE PROCUREMENT

*As a leading global machine tool manufacturer with digitized and sustainable products, we source goods, services as well as materials and raw materials at our worldwide locations. The basis for this is responsible and sustainable behavior along the entire value chain.*



## Behavior along the value chain

### OUR PRINCIPLES

Responsible and sustainable procurement is important to us. For us, it does not end at our company boundary, but goes far beyond our own actions. **Responsible and sustainable action** is firmly integrated into business activity of DMG MORI. We make our decisions not only according to economic, technical as well as strategic and legal criteria. Social and ecological aspects play an equally important role in our business processes.

For DMG MORI, compliance with the principles of ecological, social and ethical behavior in the value chain is of great importance. For this reason, we involve our suppliers directly in our sustainability strategy. We evaluate and select our suppliers based on sustainability criteria.

Our approach to responsible and sustainable procurement is an ongoing process and we work consistently to improve and develop it further – for more transparency. In particular, we also expect our suppliers to fulfill their due diligence to promote responsible raw material supply chains.

DMG MORI is aware of the fundamental issue that products and components sourced from suppliers may contain minerals from conflict regions. We have implemented a group-wide uniform process for dealing with conflict minerals in order to identify the use, sources and origin of certain minerals in our supply chain. This approach is supported by close cooperation with our direct suppliers. This enables us to continuously reduce human rights and environmental risks and further increase transparency in the supply chain.

### OUR REQUIREMENTS FOR BUSINESS PARTNERS

We rely on strong and stable partnerships! We expect our business partners to follow our principles of conduct and to comply with the resulting requirements both within their own companies and along the entire value chain. This includes, in particular, taking appropriate remedial action and establishing adequate grievance procedure.

### IT IS NECESSARY ...

- + to firmly integrate responsible and sustainable action into our procurement processes.
- + not to tolerate supply chains that either directly or indirectly contribute to conflicts, human rights abuses or environmental violations.

### MORE INFORMATION

Group guideline on respect for human rights and working conditions | Group guideline purchasing | Purchasing terms and conditions