

FAQ Whistleblower System

Independent Legal Counsel (Ombudsman) and Helpdesk

1. What means whistleblower system at DMG MORI and who can I contact if I noticed a (possible) violation?

The whistleblower system allows to disclose information about situations, which imply a violation of laws or internal rules.

Within the whistleblower system at DMG MORI you can contact the following persons: Chief Compliance Officer directly or via Responsibility-Helpdesk (responsibility@dmgmori.com) or the external independent legal counsel (ombudsman).

Besides that, all employees can of course contact their supervisors, the relevant representative body, management or local Compliance Officers.

2. Who can use the whistleblower system?

Basically everyone - All employees and external parties, such as suppliers or service providers.

3. What kind of information can be given?

Information about legal violations and internal breaches. These mainly involve:

- + Corruption offences and fraud cases (fraud, breach of trust, embezzlement etc.);
- + Other offences;
- + Anti-trust breaches;
- + Breaches of one of the forms of discrimination mentioned in the General Equality Act (AGG) – harassment, stalking and sexual violence;
- + Breaches of DMG MORI's Code of Conduct;
- + Breaches of Public Procurement directives;
- + Cases of gross breaches of internal rules and work instructions, willful privacy breaches.

4. What are the ombudsman's duties and responsibilities?

Employees have the right to disclose information about situations, which imply a violation of laws or internal rules. The ombudsman receives this information. He provides a legally protected and confidential communication channel, outside of DMG MORI. He informs the whistleblower about his/her rights and further action. The ombudsman only forwards information to the Chief Compliance Officer at DMG MORI with the whistleblower's consent. The ombudsman may be involved in the process as a trusted third party. He can be contacted by the whistleblower at any time.



5. What happens with my disclosure?

The disclosed information is followed up in compliance with the law and internal rules, taking into consideration the interests of those involved and in accordance with the process defined in the Responsibility Handbook. In case the ombudsman has been contacted, following prior examination, the ombudsman forwards information to the Chief Compliance Officer at DMG MORI.

6. Do I receive protection as a whistleblower?

Yes. Whistleblowers receive protection. No form of reprisal against whistleblowers will be tolerated.

7. How can misuse of the system (denunciation) be prevented?

Despite repeated skepticism, denunciation cases are extremely rare especially with the appointment of an ombudsman. However, there will be no tolerance of any misuse of the whistleblowing system. In any case, disciplinary or legal action may be taken against employees who deliberately misuse the whistleblowing system.

8. Will I be given immediate notice, if I am affected by such information?

No. In this case, the presumption of innocence applies. Each piece of information will be followed up in compliance with the law and internal rules, as well as taking into consideration the interests of the parties involved. A decision will be made on possible action after the case has been closed.

9. What happens, if I disclose information, which turns out to be false?

If the information was disclosed with good intent i.e. not deliberately false, no action will be taken against the whistleblower.

10. Do I have to use the whistleblower system, if I suspect a legal violation?

Misconduct by individual employees or external business partners can lead to massive damage not only to DMG MORI but also to employees and business partners and all other stakeholders. Therefore, DMG MORI has to prevent within its area any form of illegal or even criminal behavior. We count on the attentive cooperation of everyone.

In addition, there are legally regulated reporting obligations for DMG MORI, particularly in data protection and anti-money laundering.

However, there is no further, general reporting obligation.



11. Shall I use the whistleblower system, even if I may have committed an offence?

Our whistleblower system can also be contacted, even if the whistleblower may have committed an offence. A voluntary declaration within the scope of his/her current employment relationship is looked upon favorably and may later have a mitigating effect in a potential trial.

12. Are the contact persons within the whistleblower system, obliged to directly pass on information about a crime to the public prosecutor's office?

No. Persons are only obliged to pass on information about a crime to the public prosecutor's office in a very limited number of cases, where serious offences have been committed.

13. Am I allowed to contact or visit the ombudsman, Responsibility-Helpdesk or Chief Compliance Officer during working hours?

Yes.

14. Will it cost me anything to use the ombudsman's services?

No, the ombudsman's services can be used free of charge.

15. Can I be sure that the ombudsman will only pass on the information I allow him to?

Yes. Only the whistleblower decides what kind of information he/she gives to the ombudsman and what kind of information the ombudsman forwards to DMG MORI in a second step. Solely in the event of misuse i.e. deliberately false information, is the ombudsman allowed to forward information, even against the whistleblower's will. The ombudsman informs the whistleblower about this at their first meeting.

16. Can I contact the ombudsman anonymously?

Yes, whistleblowers can contact the ombudsman anonymously. This also applies to initial contact with the ombudsman. If requested, the ombudsman then protects the whistleblower's anonymity in relation to DMG MORI.

17. Am I allowed to contact the ombudsman regarding the case's progress?

The whistleblower may request the ombudsman to provide him with information about the case at any time. The ombudsman shall inform the whistleblower of the outcome no later than upon closure of the case, as permitted by law.

18. Does the ombudsman become 'my lawyer', if I contact him?

No, the ombudsman is not allowed to represent a whistleblower in official or judicial proceedings. Therefore, he is also not able or allowed to take any action that may legally enforce the individual rights or claims of the whistleblower.



19. Is the ombudsman really independent?

Yes. The ombudsman acts as an independent and autonomous lawyer and is not governed by any instructions from DMG MORI regarding the specific handling of cases. After due examination, the ombudsman decides whether and to what extent an issue submitted to himself is allowed to be forwarded to DMG MORI.

20. Does the ombudsman have to reveal my identity, if he is questioned as a witness in criminal or civil proceedings?

No. If the ombudsman is questioned as a witness in criminal, civil or other proceedings, he only needs to reveal the name and identity of the whistleblower seeking advice, if DMG MORI and the whistleblower have given him express consent to do so.

21. Can I contact the ombudsman and then decide at the end of the meeting, if the facts of the case and/or my personal details should be passed on to DMG MORI?

Any initial contact made with the ombudsman is fully confidential. The ombudsman explains the whistleblower's rights at the beginning of the meeting. The whistleblower doesn't decide until the end of the meeting, if and how the information should be passed on to DMG MORI.

