

## Rules of Procedure on the complaints procedure

according to § 8 para. 2 Supply Chain Due Diligence Act (LkSG)

### ESTABLISHMENT AND PURPOSE OF THE COMPLAINTS PROCEDURE

DMG MORI has established an appropriate complaints procedure in accordance with Section 8 LkSG. The complaints procedure enables internal and external persons to point out human rights and environment-related risks as well as violations of human rights-related or environment-related obligations that have arisen as a result of the economic actions of DMG MORI in its own business area or a direct or indirect supplier.

### RESPONSIBILITY AND ACCESSIBILITY

The global DMG MORI Compliance Helpline, which can be reached 24/7 without any fees, is used as a complaints procedure:

**DMG MORI Compliance Helpline**

**Website:** [dmgmori.ethicspoint.com](https://dmgmori.ethicspoint.com)

The Compliance Helpline allows reports to be made by telephone or via the Internet. If desired, reports can be submitted anonymously without revealing one's identity. In addition, reports can be submitted in different languages.

In addition to the DMG MORI Compliance Helpline, the Responsibility Helpdesk is available as a central point of contact:

**E-mail:** [responsibility@dmgmori.com](mailto:responsibility@dmgmori.com)

### COMPLAINTS PROCEDURE

Reports are entered directly on the EthicsPoint secure server to prevent any possible breach in security. EthicsPoint makes these reports available only to specific individuals within DMG MORI who are charged with evaluating the report, based on the type of violation and location of the incident. Each of these report recipients has had training in keeping these reports in the utmost confidence.

The report recipient examines whether a breach of duty within the meaning of the LkSG or a breach of other laws or internal rules may exist. If there are sufficient indications for this, the report recipient follows up the whistleblowing in compliance with the law and the internal rules as well as in consideration of the interests of all parties involved. The investigation will be carried out quickly and without major interruptions.

Persons affected by an investigation will be treated fairly and with respect. The presumption of innocence applies to all persons affected. The right to be heard must be granted. For this reason, the persons affected by a whistleblower are informed as soon as possible about the whistleblowing received and advised of their rights to information and rectification. However, if there is a serious risk that notification would jeopardize the investigation of the tip, notification may be postponed until after the investigation has been completed or until the risk has ceased to exist.

DMG MORI is responsible for the legal assessment of the facts under investigation and the determination of appropriate measures to eliminate and prevent improper business practices. Measures may include, for example, appropriate civil law steps or the involvement of an authority. Even if no violations are identified in a specific case, suggestions for changes to work and business processes as well as changes to organisational and behavioral regulations may be appropriate.

The person making the report can obtain information about the status at any time via the DMG MORI Compliance Helpline. Three months after receipt of the report, he or she receives feedback on the follow-up to the report. At the latest after completion of the process, he or she will be informed of the result by the report recipient to the extent legally permissible.

## **PROTECTION OF THE WHISTLEBLOWER**

The whistleblower is generally protected from discriminatory or disciplinary measures. Any act of retaliation against them will not be tolerated.

The wish of the person making the report to protect their identity is countered by the interest of the persons affected by the report in the disclosure of the facts. This is another reason why deliberate abuse of the opportunity to submit complaints and reports will not be tolerated.

## **EFFECTIVENESS OF THE COMPLAINTS PROCEDURE**

The effectiveness of the complaints procedure is reviewed once a year as well as on an ad hoc basis, for example if DMG MORI has to expect a significantly changed or significantly expanded risk situation in its own business area or at the direct supplier, for example due to the introduction of new products, projects or a new business area.