

Rules of Procedure on the complaint procedure

according to § 8 para. 2 Act on Corp. Due Diligence Obligations in Supply Chains (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 complaint procedure is located at the external attorney of confidence (ombudsman), who can be reached 24h/7 without any fees as follows:

Dr. Carsten Thiel von Herff, LL.M.

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Homepage: www.thielvonherff.de

The lawyer of confidence shall act as an independent and autonomous lawyer. He is impartial and is not subject to any instructions by DMG MORI regarding the substantive treatment of the matter. The lawyer of confidence is bound to secrecy. If requested, he shall maintain the confidentiality of the identity of a person providing information.

COMPLAINTS PROCEDURE

The lawyer of confidence receives the complaint and, if necessary, discusses the facts of the case with the person making the referral. In any case, the informant receives an acknowledgement of receipt.

The lawyer of confidence 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, he passes on the facts submitted to him in an admissible form to the Chief Compliance Officer of

DMG MORI AKTIENGESELLSCHAFT for investigation. The lawyer of confidence does not conduct an investigation himself in order not to jeopardize his neutrality.

The Chief Compliance Officer is following 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.

The legal evaluation of the investigated facts and the determination of appropriate measures to eliminate and prevent improper business practices are carried out by DMG MORI, which may consult the trusted lawyer for this purpose. Measures may include, for example, appropriate civil law steps or the involvement of an authority. Even if no violations are found in a specific case, proposals for changes to work and business processes as well as changes to organizational and behavioral regulations may be appropriate.

The person making the report can obtain information on the status of the case from the Ombudsperson at any time. Three months after receipt of the report, he or she will receive feedback on the follow-up measures to the report. At the latest after completion of the process, he or she will be informed of the result by the Ombudsperson to the extent legally permissible.

PROTECTION OF THE PERSON GIVING THE HINT

The whistleblower is generally protected from discriminatory or disciplinary action. Any retaliatory action directed against them will not be tolerated. If there is any indication of retaliation against whistleblowers, the confidential counsellor must be contacted immediately.

If the lawyer of confidence has assured a person providing information of confidentiality, he will not disclose his name and identity to DMG MORI or third parties without his consent. In the event that the lawyer of confidence is heard as a witness in criminal, civil or other proceedings, he will only disclose the name and identity of the person providing the information if he is permitted to do so in writing by both the person providing the information and DMG MORI.

The wish of the person providing the information to protect his or her identity is opposed by the interest of the persons affected by the information with regards to the investigation of the facts. For this reason, too, deliberate abuse of the opportunity to submit complaints and tips will not be tolerated. The confidential counsellor shall point out to the person giving the whistleblowing in the first conversation that in the event of a deliberate abuse of the complaint procedure, his or her identity may be disclosed to DMG MORI.

PRIVACY

Compliance with the statutory retention obligations and the provisions of data protection law is ensured by the lawyer of confidence. The personal data collected is limited to information on the identity, function and contact information of the persons providing the information and the persons concerned, as well as to the other personal data that is absolutely necessary for processing the matter. In addition, only reported facts, processing details, follow-up on the report and audit reports are stored.

The retention period for personal data recorded in the course of whistleblowing and investigations is two months after completion of the investigations. This period is extended accordingly if the conclusion of the investigation is followed by disciplinary or legal proceedings or other disputes for which the data must be used.

The data protection officer shall review the data protection conformity of the complaints procedure on a regular basis.

EFFECTIVENESS OF THE 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.