

FAUN Whistleblower System

Our corporate culture is characterised by responsibility and mutual respect towards our employees and business partners. Compliance with laws and internal regulations is therefore a top priority.

We rely on potential violations of laws, the Code of Conduct, other internal regulations and human rights or environmental risks being reported to us immediately so that we can rectify irregularities without delay and thus effectively prevent damage to FAUN, our employees and business partners. A whistleblower system is available for this purpose. If there is a suspicion of possible violations of laws, internal regulations or risks in the FAUN Group or along the value chain, these can be reported via the following channels:

- Telephone: +49 4795/955-550
- E-Mail: compliance@faun.com
- Personal conversation or video conference (by appointment)
- By post (also anonymously without sender) to:

FAUN Umwelttechnik GmbH & Co. KG
Compliance Department
Feldhorst 4
27711 Osterholz-Scharmbeck

In addition to the internal compliance department, whistleblowers can contact external reporting centres such as authorities.

Process description

The FAUN whistleblower system is available for reporting possible violations of laws, internal regulations and grievances within the Group, e.g. violations of human rights, environmental aspects, product safety, information security and cybersecurity as well as type approval issues at FAUN or along the supply chain. Possible violations may also include harassment, discrimination, financial losses or reputational damage due to criminal offences such as bribery, embezzlement, fraud, tax offences or antitrust violations as well as human rights or environmental risks such as non-compliance with labour standards along the supply chain.

Information for reporting

Essential information for the processing of the report is

- Description of the facts
- Place and time
- Affected / aggrieved persons / company
- Responsible persons / company
- Proof documents / evidence, if applicable

The principle of confidentiality is observed throughout the entire process. The Reporting Centre will treat the identity of the reporting person, the persons who are the subject of a report and the other persons named in the report as confidential. The identity will only be disclosed to the persons responsible for receiving reports or taking follow-up action. Whistleblowers are also protected against reprisals and disadvantages, such as discrimination, denial of a promotion or the submission of a negative assessment, dismissal or similar behaviour based on the report, in accordance with the legal requirements. Even the threat or attempt of such discrimination is prohibited. Preventing the submission of a report or violating the promised confidentiality of the identity of whistleblowers is also not tolerated and will be sanctioned. This protection does not apply if the whistleblower is proven to have deliberately reported false information.

The effectiveness of the procedure is reviewed annually and on an ad hoc basis. If necessary, adjustments are made to the procedure or corrective measures are taken.

Procedure

- a. Whistleblower
The whistleblower observes a possible violation in connection with the FAUN Group.
- b. Reporting
The potential violation can be reported through the following channels: by telephone, mail, post, in person or by video conference.
- c. Receipt of a notice
Compliance Team receives the report. Only the person who receives the report has access to the content of the report itself. This person documents the suspicious activity report. Receipt will be confirmed within seven days.
- d. Plausibility check
The suspicious activity report will be checked by the Compliance Team for plausibility and whether it falls within the scope of the laws (Whistleblower Protection Act, Supply Chain Act). If the suspicious activity report proves to be implausible or does not fall within the scope of the laws, the procedure ends. In the event of a rejection, the person providing the information will receive an explanation.
- e. Following measures
A clarification of the facts (e.g., internal investigation) will be conducted. The contact person discusses the facts of the case with the whistleblower in order to gain a better understanding of the facts and to find out the whistleblower's expectations with regard to possible preventive or remedial measures. Follow-up measures will be defined.
- f. Conclusion
Prevention, sanction and remedial measures will be taken to prevent future violations. The whistleblower receives feedback within three months.

Further information

The duration of the review depends on the scope and complexity of the matter. The review of the report is carried out by the Compliance department or forwarded to the foreign subsidiary concerned for processing.

Firstly, the Compliance department checks the validity of the report. This involves investigating whether there are sufficient indications of a breach of regulations based on the information provided and whether further clarification measures are therefore permissible after legal assessment and in compliance with data protection regulations. The presumption of innocence applies to suspects until proven otherwise. If the suspicious activity report proves to be implausible and there is therefore no initial suspicion, the investigation by the Compliance department ends. If there is an initial suspicion, the Compliance department will examine which follow-up measures are required in the individual case for further action, e.g. a formal internal investigation, the involvement of external support, etc. Impartiality and compliance with data protection and labour law requirements are ensured throughout the entire investigation. The whistleblower is given feedback on the facts of the case within a reasonable period of time. This feedback is usually provided after 3 months.

If no longer required by law, the documentation will be deleted 3 years after the end of the procedure. Further information on the processing and storage of personal data can be found in the data protection information sheet.

In the event of legal proceedings, the place of jurisdiction for all disputes is Osterholz-Scharmbeck or the place of jurisdiction at the location of the subsidiary concerned.