Rules of procedure of complaint procedure according to § 8 LkSG

These rules of procedure govern the handling of notices and complaints in accordance with the German Supply Chain Act (LkSG) at Voith.

The complaints procedure is available for notifications and complaints regarding human rights and environment-related risks regulated in Section 2 (2) and (3) LkSG, as well as in cases of violation of human rights-related or environment-related obligations pursuant to Section 3 (1) LkSG.

Specifically, the risks are as follows:

Human rights risks

M1 Prohibition of child labor - § 2 par. 2 nos. 1 and 2

M2 Prohibition of forced labor and all forms of slavery - § 2 par. 2 nos. 3 and 4

M3 Disregard of occupational health and safety and work-related health hazards - § 2 para. 2 no. 5

M4 Failure to respect freedom of association - freedom of association and right to collective bargaining - § 2 para. 2 no. 6

M5 Prohibition of unequal treatment in employment - § 2 par. 2 no. 7

M6 Prohibition of withholding a reasonable wage - § 2 par. 2 no. 8

M7 Destruction of the natural basis of life through environmental pollution - § 2 par. 2 no. 9

M8 Illegal violation of land rights - § 2 par. 2 no. 10

M9 Prohibition of the commissioning or use of private / public security forces that can lead to impairments due to a lack of instruction or control - § 2 par. 2 no. 11

M10 The prohibition of any other act or omission in breach of duty which is directly capable of impairing in a particularly serious manner a protected legal position (arising from the human rights conventions within the meaning of § 2 par. 1) and the unlawfulness of which is obvious on reasonable appraisal of all the circumstances under consideration - § 2 par. 2 no. 12.

Environmental risks

U1 Prohibited production, use and/or disposal of mercury (Minamata Convention) - § 2 para. 3 nos. 1 to 3

U2 Prohibited production and/or use of substances within the scope of the Stockholm Convention (POPs) and non-environmentally sound handling of waste containing POPs - § 2 par. 3 nos. 4 and 5

U3 Prohibited import/export of hazardous waste as defined by the Basel Convention - § 2 par. 3 nos. 6 to 8

The following communication channels are available for notifications and complaints regarding the aforementioned risks and the violation of human rights-related or environmental obligations:

- Email
- By phone
- In person

At the same time, these communication channels are also those of Voith's worldwide whistleblowing system, which has been established at Voith for many years.

The Voith Group pays particular attention to ensuring that each of the four Voith regions has its own reporting office. This makes it possible to offer a wider range of languages in which notifications or complaints can be made.

The Voith employees responsible for the region can be reached at the following e-mail addresses, telephone numbers and addresses. It is expressly possible to also contact an employee responsible for another region.

Asia
Ms. Ke Xu
Voith Compliance Asia
Compliance.As@voith.com
+86 512 3663 5123

North America
Ms. Stephanie Vandertie
Voith Compliance North America
Compliance.Na@voith.com
+1 855 257-1618

South America
Ms. Monique Lorenzo
Voith Compliance South America
Compliance.Sa@voith.com
+55 11 3944 6667

Germany and the rest of the world
Ms. Sahar Fallah
Head of Integrity
Voith Compliance Deutschland
Compliance.De@voith.com
+49 7321 37-9600

Sequence of the complaint procedure

- The complaints procedure is overseen by the Integrity Compliance department at the Group parent company Voith GmbH & Co. KGaA.
- The above-mentioned reporting offices shall receive the complaint in accordance with the LkSG and shall acknowledge receipt of the complaint to the reporting party within seven days.
- Both the report and the confirmation are documented in an appropriate manner. The reporting offices in Asia, North America and South America forward reports received to the Integrity Compliance Department for evaluation and internal assignment for further processing in accordance with these Rules of Procedure. Integrity Compliance checks the plausibility of the facts. If the report is not submitted anonymously, the Integrity Compliance Department will maintain contact with the whistleblower (if necessary, via the reporting offices in North America, South America and Asia) and can thus discuss the facts in more detail and ask questions about the reported facts. A dispute resolution procedure can also be established in discussion with the whistleblower.
- If the indication turns out to be plausible, the Integrity Compliance Department informs the responsible department or purchasing organization, whose task it is to

initiate suitable remedial measures in accordance with § 7 of the LkSG (cf. par 3.4.1 for the company's own business unit and par 3.4.2 for direct suppliers).

- The Integrity Compliance Department informs the Compliance Committee of the Voith Group of any information relating to the Voith Group's own operatjons (eigener Geschäftsbereich) of the if human rights risks or their implementation are at issue, and the Head of Corporate HSE if environmental risks within the meaning of the LkSG or their implementation are at issue. It is the task of the Compliance Committee in the case of identified violations of human rights-related obligations and of the Head of Corporate HSE in the case of identified violations of environment-related obligations to take appropriate remedial action without delay in accordance with § 7 par. 1 LkSG.
- In the case of information concerning direct or indirect suppliers of a Voith company, the Integrity Compliance Department informs the head of the responsible purchasing organization of the respecve Voith Group Division concerned (DSP) or the head of Corporate Purchasing (CSP). It is the task of the responsible purchasing organization in each case to immediately take appropriate remedial measures in accordance with § 7 par. 1 LkSG in the event of identified violations of human rights-related obligations or of environment-related obligations by an indirect or direct supplier of a Voith company.
- The task of the reporting offices is to provide feedback to the whistleblower (no later than three months after receipt of the tip or complaint) regarding remedial action already taken or planned. Feedback to the whistleblower may only be provided to the extent that it does not jeopardize internal inquiries or investigations and does not affect the rights of the persons who are the subject of a report or who are named in the report.

The employees who perform the task of a hotline are not bound by instructions in their work with regard to the complaint's procedure. They are independent in the processing of reports.

All persons involved in the processing of tips and complaints are obliged to maintain confidentiality. For persons accused in the context of tips or complaints, the presumption of innocence applies until proven otherwise.

Employees who report suspicious circumstances in good faith need not fear discrimination or even punishment, even if the content of the report ultimately turns out to be inaccurate.