

Whistleblower System in the JUNKER Group

1. General information on the Whistleblower System

A whistleblower system has been set up in the JUNKER Group.

The whistleblower system serves to receive and process reports on actual or alleged violations of laws, mandatory regulations, directives or the specifications of the individual companies of the JUNKER Group. The whistleblower system is not available for general complaints or for general inquiries.

All persons who are in contact with JUNKER in the course of their professional activities, i.e. both employees of JUNKER and external business partners and their employees as well as all other stakeholders, can report.

The reporting of misconduct is possible in particular in the case of the following facts that are contrary to the interests of the affected companies of the JUNKER Group:

- Fraud and misconduct in relation to accounting.
- corruption
- Violations of competition law
- Bribery, abuse of office
- betrayal of secrets
- Falsification of contracts, reports or records
- Misuse of company assets, theft or embezzlement
- Environmental hazards, common hazards, hazards to the health or safety of our employees, and similar cases
- Failure to comply with applicable workplace safety regulations
- Violations in connection with the employment of employees
- Violations of tax and money laundering laws

Only those reports should be made where the whistleblower has a good faith belief that the facts he or she is reporting are accurate. He is not in good faith if he knows that a reported fact is untrue. In case of doubts, corresponding facts shall not be presented as a fact, but as an assumption, evaluation or as a statement of other persons. In the case of a whistleblower, any doubts must be pointed out. The whistleblower should report only those cases in which he or she has a reasonable suspicion that an incident relevant under this guideline has occurred. It will not be clear to the whistleblower in all cases whether a particular act or conduct must or should be reported in accordance with the principles of this Policy. Nevertheless, it is preferable to report suspicions in good faith rather than to remain silent.

Any whistleblowing should always be as specific as possible. The whistleblower should provide the responsible office with as detailed information as possible about the facts to be reported so that the office can properly assess the matter. In this context, the background, the course of events and the reason for the report as well as the names of the persons concerned, dates, places and other information should ideally be specified. In principle, the whistleblower is not obligated to conduct his or her own investigations.

2. Reporting channels

In order for employees and/or external parties to be able to report information within the framework of the whistleblower system, they must know who they can contact. For this reason, the reporting channels described below have been defined.

2.1 Erwin Junker Maschinenfabrik GmbH, LTA Lufttechnik GmbH, Erwin Junker Grinding Technology a.s. and LTA Industrial Air Cleaning Systems s.r.o.

2.1.1 at Erwin Junker Maschinenfabrik GmbH and LTA Lufttechnik GmbH: Head of Legal Department JUNKER Group

If employees or external parties wish to submit a report directly to Erwin Junker Maschinenfabrik GmbH or LTA Lufttechnik GmbH, this can be done by using the e-mail address **compliance@junker.de**. For employees, forms for reporting potential compliance violations are available on the intranet and can (but do not have to) be used.

When using this e-mail address, it is ensured that the report reaches the head of the legal department directly and that no other processor has access to this e-mail account.

2.1.2 at Erwin Junker Grinding Technology a.s. and LTA Industrial Air Cleaning Systems s.r.o.: Head of Human Resources Department

If employees or external parties wish to submit a report directly to Erwin Junker Grinding Technology a.s. or LTA Industrial Air Cleaning Systems s.r.o., this can be done using the e-mail address **compliance@junker.cz**. For employees, forms for reporting potential compliance violations are available on the intranet and can (but do not have to) be used.

When using this e-mail address, it is ensured that the report reaches directly the head of the HR department of Erwin Junker Grinding Technology a.s. and LTA Industrial Air Cleaning Systems s.r.o. and that no other processor has access to this e-mail account.

2.2 Ombudsman as contact person independent of the company (if anonymity is desired)

JUNKER has appointed an independent ombudsman at Erwin Junker Maschinenfabrik GmbH and Erwin Junker Grinding Technology a.s. to whom you can turn in the event of actual or alleged violations of laws, mandatory regulations or guidelines or the rules of the individual companies of the JUNKER Group, in writing, verbally or, if necessary, in person.

If you so wish, the ombudsman will not disclose that you have contacted him with your concerns (preservation of the anonymity of the so-called whistleblower). Since the ombudsman is engaged as a lawyer, he has a professional duty of confidentiality.

If the ombudsman confirms your suspicions and there is indeed a violation of our core values, a law or our internal guidelines, the ombudsman will pass on this information to the compliance officer without disclosing your identity. For each case forwarded by the Ombudsman, the Compliance Officer will initiate an investigation.

The following is the contact information for the current Ombudsman:

Ombudsman at Erwin Junker Maschinenfabrik GmbH is:

Dr. Matthias Uhl, Lawyer

RITTERSHAUS Rechtsanwälte Partnerschaftsgesellschaft mbB

Harrlachweg 4, D-68163 Mannheim

Phone: +49 621 4256-248

Fax: +49 621 4256-250

Mobile: +49 162 2501510

E-Mail: matthias.uhl@rittershaus.net

Ombudsman at Erwin Junker Grinding Technology a.s. is:

Jaroslav Melzer, Lawyer

LTA Legal s.r.o.

Lazarská 13/8, CZ - 120 00 Praha 2

Phone: +420 246 089 010

Mobile: +420 736 654 828

E-Mail: jaroslav.melzer@LTAparters.com

3. Confidentiality

Every whistleblower can be sure that all their reports are being reviewed. All issues raised by employees are kept strictly confidential. Compliance violations can also be reported by JUNKER employees anonymously to the relevant office.

4. Procedure after receipt of a report / informing the whistleblower how the report was handled and what follow-up measures the company has planned and taken

4.1 Procedure at Erwin Junker Maschinenfabrik GmbH including its ombudsman and at LTA Lufttechnik GmbH

The office receiving the report shall confirm receipt of the report to the whistleblower within seven (7) days of receipt of the report (unless the report was submitted anonymously).

After receipt of a report, the receiving office (head of the legal department of the JUNKER Group or the ombudsman) carries out an initial review of the information, in particular whether there is evidence, proof, documents or other indications that corroborate or refute the information provided (validity of the information). If necessary, further inquiries are made. If the receiving office (Head of Legal Department JUNKER Group or Ombudsman) is of the opinion that further inquiries should be initiated or investigations should be carried out, it documents this. If the receiving office is the ombudsman, the ombudsman will forward the information, anonymized as far as possible, to the office responsible for this within the company. For the time being, this is the head of the legal department. If the head of the legal department is involved in the process, the management is responsible for this and the CTO there. If the CTO himself is involved, another member of the management shall be responsible. This responsible department within the company will then carry out the internal investigation, possibly with the assistance of other special lawyers or authorities.

The name of the whistleblower will only be disclosed - unless the whistleblower is already anonymous - if the whistleblower does not wish to remain anonymous and there is no legal obligation to disclose.

If a report turns out to be false or if it cannot be sufficiently substantiated with facts after the investigations carried out, this will be documented accordingly and the proceedings will be discontinued immediately. No consequences may arise for the employee concerned; in particular, the matter will not be documented in the personnel file.

The investigation shall be conducted as quickly as reasonably possible. However, the company shall inform the whistleblower in detail within 3 months of the report of how the report was handled and what follow-up measures the company has planned and taken.

The company will also endeavor to use the results and suggestions of any investigation in such a way that misconduct can be corrected to the extent possible under the existing circumstances.

All reports received and actions taken will be documented at the receiving office in such a way that they can later be used as evidence.

4.2 Procedure at Erwin Junker Grinding Technology a.s. including its ombudsman as well as LTA Industrial Air Cleaning Systems s.r.o.

The office receiving the report shall confirm receipt of the report to the whistleblower within seven (7) days from receipt of the report (unless the report was submitted anonymously).

After receipt of a report, the receiving office (Head of the Human Resources Department of Erwin Junker Grinding Technology or the ombudsman) will conduct an initial review of the information, in particular, whether there is evidence, proof, documents or other indications that corroborate or

refute the information provided (validity of the information). If necessary, further inquiries are made. If the receiving office (Head of Human Resources of Erwin Junker Grinding Technology or Ombudsman) is of the opinion that further inquiries should be initiated or investigations should be carried out, it will document this. If the receiving office is the ombudsman, the ombudsman will forward the information, anonymized as far as possible, to the responsible office within the company. Until further notice, this is the head of the personnel department of Erwin Junker Grinding Technology. If the head of the personnel department is involved in the process, the management is responsible for this, and there the head of finance and accounting. Should the latter himself be involved, another member of the management is responsible. This responsible department within the company will then carry out the internal investigation, possibly with the assistance of other special lawyers or authorities.

The name of the whistleblower will only be disclosed - unless the whistleblower is already anonymous - if the whistleblower does not wish to remain anonymous and there is no legal obligation to disclose.

If a report turns out to be false or if it cannot be sufficiently substantiated with facts after the investigations carried out, this will be documented accordingly and the proceedings will be discontinued immediately. No consequences may arise for the employee concerned; in particular, the matter will not be documented in the personnel file.

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All reports received and actions taken will be documented at the receiving office in such a way that they can later be used as evidence.

5. Protection against reprisals

A whistleblower never has to fear disadvantages because he or she has raised suspicions on the subject of "compliance". Reprisals of any kind (e.g. suspension, dismissal, demotion, shifting of tasks or transfer, salary reduction or denial of a promotion, coercion, intimidation, mobbing or exclusion, non-extension of fixed-term employment contracts, damage to reputation, discrimination, disadvantage or unequal treatment, etc.) are prohibited in the JUNKER Group.

6. Compliance with data protection regulations

All legal conditions of data protection (BDSG, DSGVO) with regard to the personal data of all parties involved (whistleblowers, the persons affected by the whistleblowing and any observers) are strictly observed. The personal data will be processed exclusively for the purpose of processing the notification.

December 15, 2021
JUNKER Group (CLO)