

# thyssenkrupp Code of Conduct



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Links with this symbol are accessible to all readers and lead to public content.



Links with this symbol are only suitable for employees and lead to internal company content.



Dr. Klaus Keysberg

Ilse Henne

Origuel Coper

Miguel López

Oliw Brushins

Oliver Burkhard

Dr. Volkmar Dinstuhl

### Dear colleagues,

Our thyssenkrupp mission statement works like a compass: It shows us the way to act so that we can ensure the sustainable success of our Group.

We all bear responsibility for thyssenkrupp. It is our common task to protect the Group and maintain the trust of our colleagues, business partners, customers and our entire community. Our Code of Conduct forms the foundation for this. In particular, personal responsibility, openness and transparency as well as legally compliant and ethically correct conduct at all times play an important role.

Our Code of Conduct brings together our binding basic rules and principles. It thus provides important guidance for members of the Executive Board and management, leaders and all employees. The Code of Conduct articulates the standards we set for ourselves within the Group and defines how we want to treat each other. At the same time, it is a global commitment to act responsibly towards partners, society and the environment. The behavior of each and every individual at thyssenkrupp is important for our sustainable corporate success and the reputation of our Group.

We are counting on you! The Executive Board of thyssenkrupp AG Über unseren Code of Conduct 4



# About our Code of Conduct

The Code of Conduct is an expression of our shared values and basic principles. Even if the Code of Conduct does not offer a solution for every situation, it still contains important information and guidelines for all employees to act in accordance with the rules, with integrity and in an ethically correct manner.

thyssenkrupp Group Regulations and Instructions contain specific rules and requirements for concrete workplace situations and circumstances. They are valid and binding for all thyssenkrupp employees without restriction. Employees who do not comply with these rules and requirements must expect appropriate consequences.

Our Code of Conduct summarizes the basic principles and rules that are important to us. It reflects the standards we set for ourselves and for our business partners and stakeholders. It applies to all thyssenkrupp companies, employees, leaders and members of the management and the Executive Board.



What we stand for 6

#### What makes us special

thyssenkrupp is made up of around 100,000 international employees with different lifestyles and cultures. But what unites us is that we are one team. We work together, learn from each other and continue to develop together. We are fair. We resp ect each other and communicate openly. We say what we do. And we do what we say. This framework of values unites us and makes us successful. We have set out our values in our mission statement. It expresses what thyssenkrupp stands for today and in the future. Our corporate success depends to a large extent on these values:

#### We are thyssenkrupp

Competence and diversity, global reach, and tradition form the basis of our worldwide market leadership. We create value for customers, partners, employees and shareholders.

#### We meet the challenges of tomorrow with our customers

We are customer-focused. We develop innovative products and services that create sustainable infrastructures and promote efficient use of resources.

#### We hold ourselves to the highest standards

We engage as entrepreneurs, with confidence, a passion to perform, and courage, aiming to be best in class. This is based on the dedication and performance of every team member. Employee development is especially important. Employee health and workplace safety have top priority.

#### We share common values

We serve the interests of the Group. Our interactions are based on transparency and mutual respect. We build on strong values: Reliability and honesty, credibility and integrity. Compliance is a must. We are a responsible corporate citizen.



What we stand for 7



Our values and basic principles also apply to all our decisions, actions and behavior.

#### We act in the overall interests of thyssenkrupp

We protect and promote the reputation and values of thyssenkrupp. They are essential for our sustainable and long-term corporate success. We are aware that unlawful or inappropriate behavior can cause considerable damage to our company. We are committed to meeting the high ethical standards set out in this Code of Conduct. In the same way, we want to remain true to our values and basic principles, which we have laid down in the mission statement.

We intend to continuously improve and make thyssenkrupp more agile and adaptable with a view to future challenges.

Mission statement

#### Candor shapes our interactions

We value openness, promoting a speak-up culture and making risks transparent in our respective areas of responsibility. Wherever people work, mistakes happen. Dealing openly with mistakes enables us to rectify them, identify sources of error and take measures to prevent them from happening again. We therefore expressly encourage our employees to communicate openly whenever things are not going smoothly.

#### We value diversity

Diversity and inclusion are integral parts of our human resources strategy and culture. We have also enshrined this in our mission statement, our principles for leaders and by signing the "Diversity Charter" and the "Free & Equal" initiative of the UN Human Rights Office against discrimination of people with an "LGBTIQ+" background.

Our interactions are characterized by mutual appreciation and respect. A culture of mutual trust and respect is of great importance to us. We promote equal opportunities and do not tolerate discrimination. We want to create a working environment that is free from prejudice. Any form of discrimination, harassment or bullying is contrary to the values and basic principles of thyssenkrupp.

Diversity & inclusion

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## We build on strong values: reliability and honesty, credibility and integrity

We are role models and keep our promises. We take personal responsibility for our decisions, actions and behavior. In matters concerning thyssenkrupp, we always act to the best of our knowledge and belief.

Our leaders are aware that they have a special responsibility. They take their duty of care towards their employees seriously. They fulfill their role model function by setting a good example and fulfilling their entrepreneurial responsibility. In their actions, they are particularly guided by this Code of Conduct. They foster a trust-based workplace and are always available to serve as collegial points of contact.

#### For us, Compliance is a must and is given the highest priority

We comply with the law applicable in the respective country and all internal company regulations at all times. This includes compliance with all necessary processes and controls. If national laws contain stricter regulations than those applicable at thyssenkrupp, national law takes precedence.

For us, however, Compliance means much more than adhering to all rules and the law. To us, Compliance is a question of mindset - every single day for every single person at thyssenkrupp. Always and everywhere. We would rather purposely forgo a business opportunity or fail to reach our internal goals than act against the law.

Violations of internal regulations or of legal or regulatory requirements can have serious consequences for thyssenkrupp or its employees, leaders and other individuals. Violations are not tolerated.

- Mission statement
- Compliance Commitment
- thyssenkrupp Whistleblower System
- © Compliance Regulations as well as further documents

#### We are committed to being socially responsible

thyssenkrupp is aware of its social responsibility. We are committed to the ten principles of the United Nations Global Compact. In addition to economic considerations, our decisionmaking processes also take social, ecological and ethical issues into account. Our brand claim "engineering. tomorrow. together." embodies our goal of creating long-term value together with our customers through innovative products, technologies and services. In this way, we want to make a positive contribution to sustainable global development and contribute to a better life for future generations.

To fulfill our high standards for sustainability activities, we actively involve not only the company management and individual thyssenkrupp companies, but also take into account the interests of other internal and external stakeholders, such as employees, investors, customers, partners, suppliers or political interests.

- Sustainability Strategy & Targets
   (see also UN Global Compact Index of thyssenkrupp AG (Communication on Progress))
- Principles of compliance with human rights and environmental due diligence requirements of thyssenkrupp AG





thyssenkrupp is committed to the highest sustainability standards. This includes good corporate governance as well as ecological and social responsibility. As an international Group, we source raw materials, goods and services worldwide. In everything we do, the focus is always on people. This applies equally to everyone - both our own employees and our suppliers.

In our thyssenkrupp "principles of compliance with human rights and environmental due diligence requirements", we describe what we understand by human rights and environmental due diligence. It also sets out our expectations of our employees, our suppliers and their subcontractors in this regard.

#### Human rights and fair working conditions

As an internationally active Group, we are aware of our responsibility and make an active contribution to improving human rights standards. We respect and support observance of internationally recognized human rights and fair working conditions.

We respect and support the principles of the United Nations Global Compact, the United Nations International Bill of Human Rights, the International Covenants on Civil and Political Rights and on Economic, Social and Cultural Rights and the core labor standards of the International Labor Organization (ILO). We expect the same from our suppliers.

#### Protection of freedom of expression, personal rights and privacy

We respect the dignity, privacy and personal rights of every individual. We recognize the right to freedom of opinion and expression.

#### Forced and child labor

We strictly reject all forms of forced, compulsory and child labor as well as modern slavery and human trafficking.

- Human rights at thyssenkrupp (e.g. International Framework Agreement, core labor standards of the International Labor Organization, thyssenkrupp Modern Slavery Statement)
- Occupational Safety & Health
- Principles of compliance with human rights and environmental due diligence requirements of thyssenkrupp AG

# Environmental and climate protection as well as ecological responsibility

Environmental and climate protection as well as ecological responsibility have a high priority at thyssenkrupp.

We have set ourselves ambitious, science-based targets to become CO neutral. These targets are in line with the Paris Climate Agreement. We therefore pay attention to the careful use of natural resources throughout the entire product life cycle, both in the development of new products and services as well as in our operational processes. From duction, to the end of the product life cycle with the reuse of valuable resources in the sense of a complete circular economy. In this way, we aim to minimize our impact on the climate and environment and make a positive contribution to climate and environmental protection with our products.

In order to live up to our ecological responsibility, we promote energy efficiency measures and the use of renewable energies and protect biodiversity through the careful use of resources. Compliance with legal and regulatory requirements is just as much a part of our binding obligations as the observance of environmentally relevant duties of care.

Environmental and energy management systems in conforming to ISO 14001 and ISO 50001 have been implemented at relevant locations.

- Climate Strategy and Targets
- Environment, Social Responsibility and Responsible Corporate Governance
- Group Policy on Environmental and Energy Management
- Group Regulation Environmental and Energy Management



#### Quality standards and product risk management

We aim to always meet legal requirements and customer expectations regarding product safety and product and process quality. We continuously analyze relevant feedback. This helps us to identify errors and product risks at an early stage or to avoid them altogether. It also enables us to improve the quality of our products and our performance.

Innovative and sustainable technologies for the industry of the future

#### Sustainability in the supply chain

Sustainability is an integral part of our corporate strategy. It also plays an important role at thyssenkrupp when it comes to selecting suppliers. We have established responsible business practices as an integral part of our procurement processes. Our supplier expectations are set forth in the thyssenkrupp Supplier Code of Conduct and in the principles of compliance with human rights and environmental due diligence requirements of thyssenkrupp AG. In accordance with legal requirements, we regularly review our requirements for suppliers and our suppliers' fulfillment of the same.

- Responsible Procurement
- Supplier Code of Conduct
- Principles of compliance with human rights and environmental due diligence requirements of thyssenkrupp AG
- thyssenkrupp Supplier Declaration

#### Dealing with conflict minerals and high-risk raw materials

We expect our suppliers to fulfill their due diligence obligations to promote responsible raw material supply chains and to comply with all applicable legal regulations on conflict minerals. In particular, tin, tantalum, tungsten, gold and the corresponding ores and metals must be acquired from conflict-free sources. Should a product contain so-called conflict minerals or high-risk raw materials, such as cobalt, we expect our suppliers to be able to provide transparency upon request about their supply chain up to the smelter and point of origin of the material.

We adhere to the strict requirements of the "Mineral Resources Due Diligence Act" and the "Dodd-Frank Wall Street Reform and Consumer Protection Act". Furthermore, thyssenkrupp complies with the REACH regulation ("Registration, Evaluation, Authorization and Restriction of Chemicals") for chemical substances. In this way, we help to avoid potential impacts on human health and the environment.

- thyssenkrupp Conflict Minerals Statement

#### Social responsibility and social commitment

Supporting the community is of particular importance to us. Our social engagement in the form of donations, sponsorship and memberships is guided by our brand claim "engineering. tomorrow. together.". This is why we support the key areas of "Technology and Innovation", "Education" and "Together with and for Society". We expressly welcome the voluntary engagement of our employees to make our "tomorrow" better for all of us.

- Group Regulation Communications

#### Political Engagement and Lobbying

Our political engagement and lobbying activities are coordinated, open and transparent. We act in accordance with regulatory and ethical standards. Through political engagement and lobbying, thyssenkrupp pursues the goal of achieving corporate objectives by representing our interests to the political decision-making process in order to actively meet the challenges we face and to help shape the future with our expertise. thyssenkrupp does not make any financial contributions to political parties, organizations related or similar to political parties, elected officials or candidates for political offices. thyssenkrupp AG is registered in the lobby register in accordance with the German Lobby Register Act. In addition, our company has voluntarily joined the transparency register of the European Union (EU) and observes the respective ethical and behavioral principles. In countries outside the EU, thyssenkrupp registers in applicable lobbyist registers when required by national and local laws.



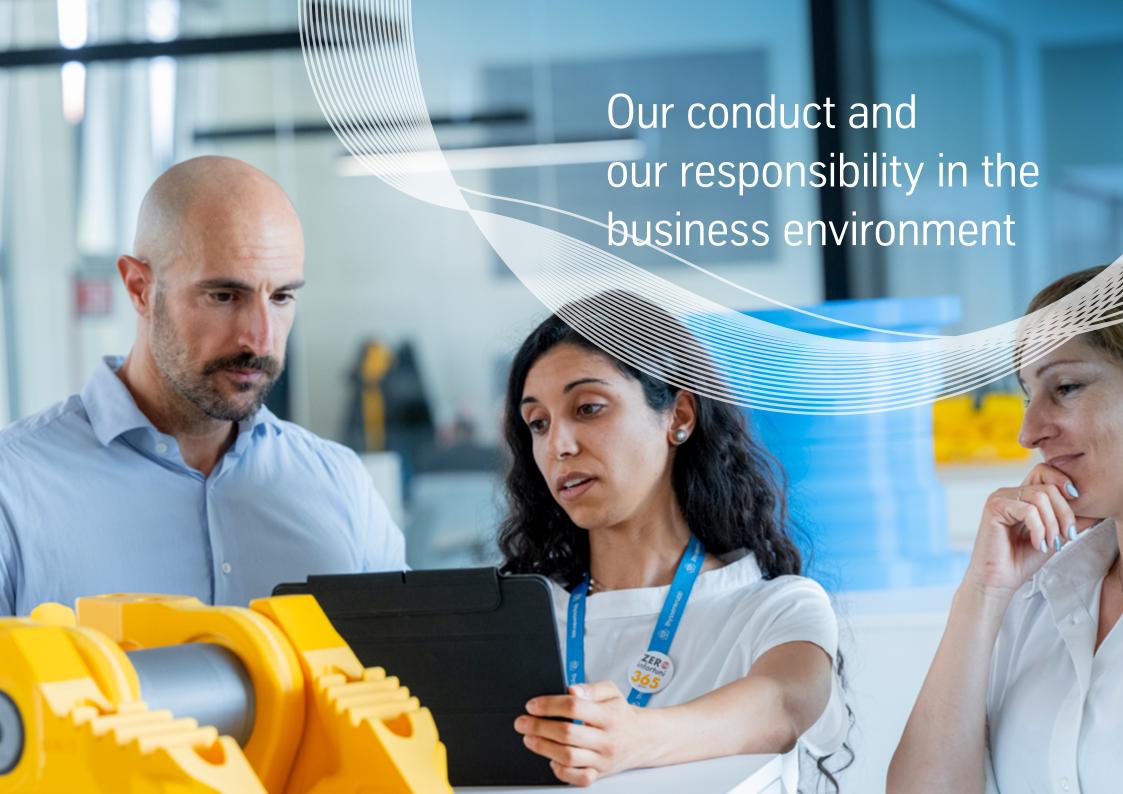
Group Regulation Communications



#### Appearance and communication in public

We are aware that we can also be perceived as part of thyssenkrupp in the private sphere. We preserve the image and reputation of thyssenkrupp with our behavior and appearance in public - especially towards the media. We take care not to associate our function and activities at thyssenkrupp with any private expression of opinion. We protect ourselves and thyssenkrupp by avoiding inappropriate disclosure of personal, confidential or proprietary information. As employees, we are also ambassadors for thyssenkrupp on social media platforms - and are therefore as well jointly responsible for the company's public image.

- Group Regulation Communications
- Social Media Guide



#### Prohibition of corruption and bribery

Our business success is based on the quality of our products and services. We have signed the UN Global Compact and support the United Nations Convention against Corruption. We expressly reject corrupt behavior.

Personal gain is never a motive for a business relationship. We demand the same level of integrity from our customers and suppliers. We strictly reject any form of corruption, bribery, theft, embezzlement, fraud or extortion, whether in relation to public officials or in the private sector.

#### Invitations and gifts

Good business relationships with our customers are important to us. The same applies to suppliers and other stakeholders. Invitations and gifts can strengthen these relationships, but we never use them to unfairly influence business relationships or decisions.

#### Avoidance of conflicts of interest

We make business decisions free of personal interests and motives and exclusively in the best interests of thyssenkrupp in order to avoid conflicting decisions.

- Group Regulation Anticorruption
- **⊙** Group Regulation Compliance in dealings with Business Partners
- **⊙** Group Supporting Document Q&A Anticorruption
- **⊙** Compliance eLearning
- © Compliance Toolbox: Overview of the responsible contact persons

#### Fair competition: Compliance with antitrust and competition laws

We compete on fair terms and comply with applicable antitrust and competition laws. We do not participate in agreements that violate antitrust laws or other business practices that restrict competition. We do not participate in the exchange of competitively sensitive information with competitors, nor do we abuse a dominant market position.

- Group Regulation Antitrust Law
- **⊙** Group Supporting Document Q&A Antitrust Law
- Compliance eLearning
- © Compliance Toolbox: Overview of the responsible contact persons

#### Data protection

The protection of personal data, in particular that of employees, customers and suppliers, is of particular importance to thyssenkrupp.

We respect the right of our employees, customers and suppliers to informational selfdetermination.

We process personal data only to the extent permitted by law.

- Group Regulation Data Protection
- Compliance eLearning
- **⊙** Compliance Toolbox: Overview of the responsible contact persons

#### Prevention of money laundering and terrorist financing

At thyssenkrupp we are working to ensure we are not misused or exploited for money laundering activities or even terrorist financing. With the help of our internal control systems, we endeavor to prevent such abuse.

- Group Regulation on the prevention of Money Laundering and Terrorist Financing
- Compliance Toolbox: Overview of the responsible contact persons

#### Trade compliance

We comply with the foreign trade regulations of the countries in which we do business.

Our Group companies regulate responsibilities and processes internally in such a way that only lawful business that is compatible with thyssenkrupp's principles is conducted in compliance with applicable trade regulations.

- Group Regulation Trade Compliance
- **⊙** Compliance Toolbox: Overview of the responsible contact persons

#### Information security

We are aware of the importance of information assets and ensure their appropriate technical protection against unauthorized access.

We regard the data and information required for our business activities as essential productivity drivers. We therefore protect them against alteration, falsification or loss.

To this end, we regularly train our employees and constantly review our systems and processes to identify any need for action.

Group Regulation Information Security

#### Transparent financial and sustainability reporting

Due to our global business activities, we are subject to accounting and reporting requirements nationally and internationally. Correct and complete records by all employees are also essential for the strategic planning and further development of the Group. The records not only help us to comply with regulatory requirements, but also help us to improve our processes.

Open and truthful reporting and communication on the company's sustainability performance to investors, employees, customers, business partners, the public in general and government institutions are also part a matter of course for us.

- Reporting and publications
- Sustainability Strategy & Targets, incl. Reporting
- Group Regulation Communications
- Group Regulation Risk and Internal Control

#### Tax and customs compliance

Our global business activities trigger a wide range of tax and customs obligations.

In addition to tax laws, we also comply with all relevant internationally recognized standards and principles. Furthermore, we do not engage in any aggressive tax or customs avoidance activities and do not use any artificial arrangements.

Taxes are paid where the actual economic value is created.

- Group Regulation Taxes and Customs
- **⊙** Group Function TAX

#### Confidential company and insider information

We take all necessary steps to protect confidential information and business secrets from being accessed and viewed by uninvolved employees and other third parties in an appropriate manner.

This also applies to the use of artificial intelligence which brings us new opportunities, but is also associated with great responsibility. In addition to the careful handling of company information, we also ensure that it is used transparently. We ensure that the data is correct and respect the rights of data subjects.

Employees who have access to insider information do not trade in shares or other thyssenkrupp financial instruments and do not pass on this information outside their work for thyssenkrupp.

- Group Regulation Insider Law
- Social Media Guide





#### Occupational Safety and Health

For thyssenkrupp, the focus is on the individual. All employees should be able to work and return home safely. It is therefore our goal to create safe and healthy working conditions as part of a preventive approach.

Together, we strive for a progressive safety and health culture. Occupational safety, health protection and health promotion are leadership tasks. The employees take personal responsibility, are actively involved and help to shape the company.

We work systematically for continuous improvement. We always comply with applicable law and other requirements. This also applies to obligations that we have given ourselves. We take appropriate action in the event of infringements.

Occupational safety, health protection and health promotion are an integral part of all operational processes. They are included in the technical, organizational, economic and social considerations right from the start. This applies right from the planning phase. Our guiding principle always applies to everything we do:

"Zero compromise on safety and health. This is our value. Because we care."

- Occupational Safety & Health
- **⊙** Group Regulation Occupational Safety and Health
- Group Operating Instruction Occupational Safety and Health Management Manual
- **⊙** Group Operating Instruction Travel Security



#### Fair treatment and freedom from discrimination

All employees are entitled to work in an environment that is free from discrimination, favoritism, or harassment on the basis of characteristics such as age, ethnic origin and nationality, gender and gender identity, physical and mental abilities, religion and belief, sexual orientation and identity, social origin, political or other beliefs or union membership. We do not tolerate unacceptable treatment of employees or the threat of any form of negative treatment. This includes mental or physical coercion, discrimination, sexual or personal harassment, abuse, verbal abuse, bullying or other personal attacks.

#### Cooperation with employee representatives

We recognize the right of all employees to form or join trade unions and employee representative bodies on a democratic basis and to conduct collective bargaining within the frameworks of applicable national and local laws and regulations. For thyssenkrupp, close and trusting cooperation with employee representatives is a key component and proven cornerstone of corporate policy. The basis for mutual trust and cooperation is an open and constructive dialog characterized by mutual respect.

- Co-determination
- International Framework Agreement

#### Working hours

We comply with the applicable national and local laws on working, rest and recovery times. If there are no national legal or local regulations, the standards of the International Labor Organization (ILO) apply.

#### Remuneration

The right to appropriate remuneration is recognized for all employees. Remuneration and other benefits correspond at least to the respective national and local legal standards or the level of the national economic sectors, industries and regions.

#### Use of external personnel

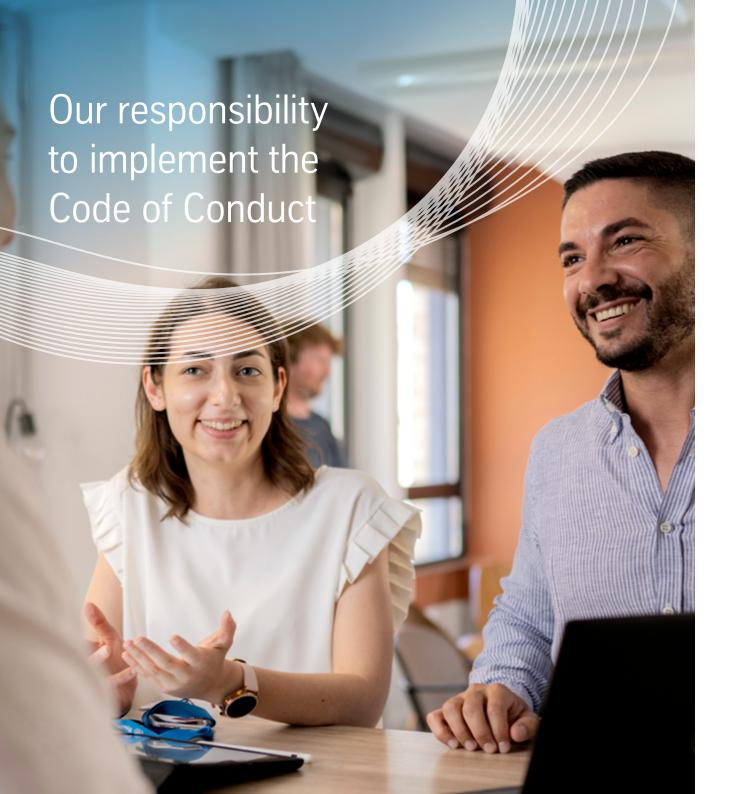
Regardless of the type of contract, the applicable national and local laws are complied with in contractual and labor relations when using external personnel (e.g. security personnel). We take appropriate measures to sensitize and monitor external personnel, particularly with regard to human rights risks.

- Occupational Safety and Health of external personnel
- Group Operating Instruction Use of external personnel Germany

#### Protection of company property

We use the company's property and resources appropriately and carefully and protect them from loss, theft or misuse. Our company's intellectual property in the form of patents and other property rights, e.g. brands and designs, is one of our most important corporate resources. We defend this valuable asset against any unauthorized access by third parties. We also avoid the unauthorized use of third-party intellectual property.

**⊙** Group Operating Instruction Future Handling of Patent protection at thyssenkrupp



We are all responsible for implementing and complying with this Code of Conduct.

thyssenkrupp actively promotes the communication of those binding documents that concretize the Code of Conduct. The individual Group companies ensure their implementation. In addition, they must ensure that no employee suffers any disadvantage as a result of complying with the binding rules of the Group respectively.

Our leaders are the first point of contact for employee questions about understanding the provisions. They ensure that all employees know and understand the Code of Conduct. As part of their leadership role, they prevent unacceptable behavior. If necessary, they take appropriate measures to prevent breaches of the provisions in their area of responsibility. Trusting and good cooperation between employees and leaders is demonstrated by honest and open communication and mutual support.

For further questions about the Code of Conduct, all employees as well as third parties (customers, suppliers, etc.) can also contact the central e-mail address codeofconduct@thyssenkrupp.com.

All information will be treated in strict confidence.

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# Reporting possible misconduct

Bona fide reports help to counteract violations at an early stage. This can prevent damage to thyssenkrupp, our employees and business partners. All thyssenkrupp employees have the opportunity to submit reports or complaints on all topics listed in the Code of Conduct and beyond. The same applies to customers and suppliers. Several channels are available for this purpose — anonymously if desired, of course.

#### Direct contact with superiors or business partners

An open communication culture is an essential component of our cooperation and our corporate culture. Employees must be able to address mistakes openly and, above all, at an early stage. The primary point of contact should therefore always be the respective line manager. If you are a third party, please contact your business partner at thyssenkrupp.

#### **Central reporting channels**

The Compliance Investigations department at thyssenkrupp AG and the International Committee, a co-determination body, are available as central reporting offices. thyssenkrupp and the central reporting offices protect the interests of whistleblowers not only by setting up secure reporting systems, but also by promising to treat incoming reports confidentially and to protect whistleblowers acting in good faith from any disadvantages resulting from a report by all necessary means. When investigating reports, however, we also take into account the legitimate interests of the persons affected by a report. Please bear in mind that suspicions and accusations against a person can have serious consequences for that person. We therefore ask you to use the whistleblowing channels listed below responsibly.

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#### **Compliance Investigations**

The Compliance Investigations department in particular receives reports on compliance violations with a focus on anticorruption, antitrust law, data protection, anti-money laundering and trade compliance as well as environmental and human rights-related infringements in the supply chain.

The following contact options are available:

On the one hand possible violations can be reported via our Compliance Whistleblowing System.

This electronic Whistleblowing System is available in 34 languages. You can access our electronic Whistleblowing System via the Internet here. We also accept your report of possible misconduct by telephone via BKMS VoiceIntake, available 24/7 worldwide. Please find the numbers of BKMS VoiceIntake here.

The TKNA Ethics Hotline is available specifically for the United States of America and Canada.

Incoming reports are checked and processed by thyssenkrupp AG Compliance Officers (exception North America/Canada: NAVEX Global and thyssenkrupp North America LLC Legal & Compliance). By setting up a protected mailbox communication between the Compliance Officer/NAVEX Global and the whistleblower is possible – anonymously, of course, if desired.

You can also contact the Compliance Investigations department by post:

thyssenkrupp AG CO/L&C-INV thyssenkrupp Allee 1 45143 Essen / Germany

E-mail: whistleblowing@thyssenkrupp.com

thyssenkrupp employees can also contact the Compliance Officer or Compliance Manager responsible for them directly. A detailed overview of all contact persons can be found here.

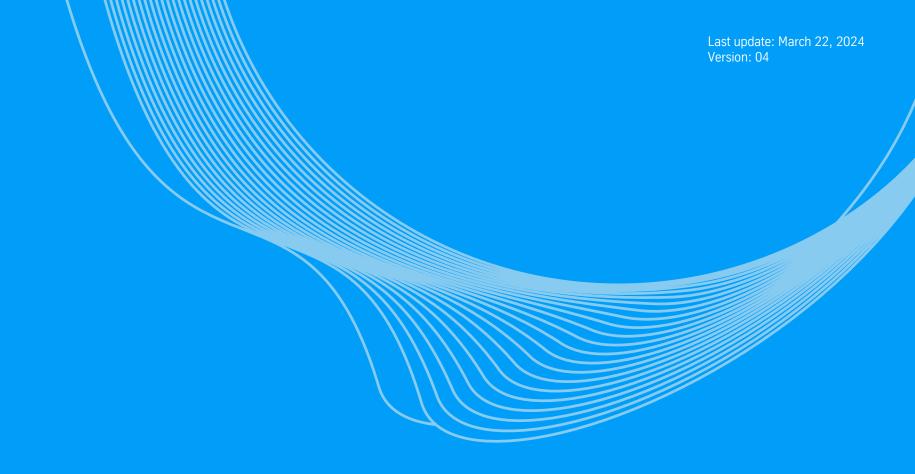
#### International Committee

The International Committee receives reports of possible violations of employee rights, i.e. human rights-related infringements at thyssenkrupp.

Our online-based reporting system is available to you for reporting such violations.

In addition to the reporting system, the e-mail address frameworkagreement@thyssenkrupp.com is available.

Incoming reports are examined and processed by the International Committee, a codetermination body with the participation of the Group Works Council, the European Works Council, the IG Metall and IndustriALL trade unions and representatives of thyssenkrupp AG.



#### thyssenkrupp AG

Postfach, 45063 Essen, Germany
P: +49 201 844 - 0
F: +49 201 844 - 536000
codeofconduct@thyssenkrupp.com
www.thyssenkrupp.com

If you have a printed version of this document, you can download an online version with all links here: www.thyssenkrupp.com/en/codeofconduct



Where we refer to thyssenkrupp or the Group, we mean thyssenkrupp AG and all domestic and foreign companies affiliated with it within the meaning of §§ 15 ff. AktG (German Stock Corporation Act). These are generally all companies in which thyssenkrupp AG directly or indirectly holds the majority of voting rights.