

Data protection information on the whistleblower system

Information on the processing of personal data in the context of whistleblower reports

1. What information does this document contain for you?

Below we inform you about the processing of your personal data and your rights as a data subject in the context of whistleblower reports.

In doing so, we ensure that we comply with the requirements of the applicable data protection laws. Below we provide you with a detailed overview of how we handle your data and your rights.

2. Who is jointly responsible for the processing and who is the data protection officer in each case?

The controller responsible for processing at thyssenkrupp AG is

thyssenkrupp AG
thyssenkrupp Allee 1
45143 Essen
Phone: +49 201 844-0

You can reach the data protection officer at

E-mail : compliance.gdpr@thyssenkrupp.com

3. What categories of data do we process and where do they come from?

We process personal data that you provide to us as part of the whistleblower report or that is collected as part of an investigation. In principle, it is possible to submit reports anonymously and you are not obliged to provide personal data. If you submit a whistleblower report, the following data or data categories, among others, may be processed:

- Master data (e.g. title, surname, first name, gender, date of birth, nationality, photograph, personnel number, 8-ID)
- Salary data
- Contact details (e.g. e-mail address, telephone, fax number, address)

- Business communication data (e.g. content of personal, telephone or written communication)
- Contract data (e.g. contract identifier, contract history)
- Communication data (e.g. content and information on personal, telephone or written communication)
- Bank data, payment data (e.g. payment details, account data, billing information)
- Special categories of personal data, if applicable
- Data on working hours (e.g. recording coming and going)
- Technical data (e.g. log data generated when using our IT systems and machines)
- SAP data (payment release, approval process, order process)
- Data on association memberships (minutes etc.)
- Proof of performance / contracts / proof of payment
- In addition, we process data that we have permissibly obtained from publicly accessible sources (e.g. social or professional networks, land registers, commercial registers, company law links, D&B information) and data that we obtain from public authorities (e.g. search warrants).

4. For what purposes and on what legal basis is data processed?

We process your data in compliance with the applicable data protection regulations and all other relevant laws and regulations.

The personal data is processed for the purpose of conducting internal compliance investigations. The purpose of these investigations is to identify or disprove conduct potentially relevant to regulatory and criminal law and to identify or disprove violations of internal compliance guidelines. Personal data is processed in particular for plausibility checks, clarification of misconduct, implementation of legal obligations, taking countermeasures and assertion of legal claims.

In addition, your data will be processed for the purpose of complying with the respective national implementation law for Directive (EU)2019/1937 (EU Whistleblowing Directive).

Your personal data is processed on the basis of the following legal grounds:

- Fulfilment of a legal obligation (Art. 6 para. 1 lit. c) General Data Protection Regulation (GDPR) in conjunction with the respective national implementation law for Directive (EU)2019/1937 (EU Whistleblowing Directive)
- Legitimate interest (Art. 6 para. 1 lit. f) GDPR:
The legitimate interest consists in the assertion, exercise and defense of legal claims, implementation of legal regulations, implementation and further development of the compliance management system at thyssenkrupp Group.

5. Who receives your data?

All data is treated as strictly confidential and only made available to persons who are involved in the specific process. This may essentially concern the following group of people:

- Responsible Investigation Compliance Officer
- Responsible Compliance Managers or members of a Collegial Body (e.g. Criminal Compliance Body)
- If necessary, the following additional recipients:
 - Other companies in the thyssenkrupp Group
 - Responsible Business Compliance Officer and/or Regional Compliance Officer
 - Internal employees of other corporate functions involved such as Internal Auditing (AUD), Human Resources (HR) etc.
 - External employees of involved service providers (law firms, auditing firms and IT service providers)
 - Employees at the level of the Group companies, business units or business segments involved
 - Law enforcement, financial and other authorities

6. How long will your data be stored?

We delete your data as soon as it is no longer required for the above-mentioned purposes, at the latest after 10 years. Processes for which internal compliance investigations have taken place may result in material criminal and administrative tax offenses, so that in these cases in particular we also take into account potential limitation periods for prosecution.

7. Will your data be transferred to a third country?

In principle, your data will not be transferred to a third country outside the EU/EEA. In exceptional cases, the transfer of your data to third countries to affected group companies or involved authorities may be necessary for the proper conduct of an internal compliance investigation. In these cases, the appropriate level of protection is established by providing standard data protection clauses (see Art. 46 (2) lit. c) GDPR). You can request further information on this by using the contact information above.

8. What data protection rights can you assert as a data subject?

You have the right to request information about the personal data stored about you, Art. 15 GDPR. In addition, you can request the rectification or erasure of your data, Art. 16, 17 GDPR. You may also have the right to restrict the processing of your data and the right to receive the data you have provided in a structured, commonly used and machine-readable format, provided that this does not adversely affect the rights and freedoms of others, Art. 18, 20 GDPR.

If you have given us your consent to process your personal data, you can withdraw this consent at any time with effect for the future. This shall not affect the lawfulness of processing based on consent before its withdrawal.

To exercise these rights, please contact the responsible body or data protection officer named in section 2.

You also have the right to object, which is explained in more detail at the end of this data protection notice.

You also have the option of lodging a complaint with a data protection supervisory authority, Art. 77 GDPR.

Information about your right to object in accordance with Art. 21 of the General Data Protection Regulation (GDPR)

You have the right to object, on grounds relating to your particular situation, at any time to processing of personal data concerning you which is based on point (f) of Article 6(1) GDPR (data processing based on a weighing of interests); this also applies to any profiling based on this provision within the meaning of Article 4(4) GDPR.

If you object, we will no longer process your personal data unless we can demonstrate compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defense of legal claims.

If you object to processing for direct marketing purposes, we will no longer process your personal data for these purposes.

Information pursuant to Art. 26 para. 2 GDPR on joint responsibility:

The joint responsibility of the parties applies to the operation and organization of the whistleblower system within the thyssenkrupp Group. This includes the internal administration of the whistleblower system and the implementation of whistleblower procedures. The parties use a uniform compliance management system and uniform IT systems for this purpose. The parties have agreed that data subjects can assert their data protection rights directly against thyssenkrupp AG using the contact details given above. Data subjects may nevertheless exercise their rights against any jointly responsible party.

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