SMA Speak-Up Line User Guide & FAQs

TABLE OF CONTENTS

A. Background

Because there are situations in which it may be difficult to speak openly about serious compliance violations, it is important that SMA offers a tool for anonymous reporting. For SMA, this is the SMA Speak-Up Line. The SMA Speak-Up Line is a misconduct reporting system hosted by an external provider (People Intouch – based in the Netherlands) offering those who would like to report serious violations or misconduct involving SMA (hereinafter "Reporting Persons") a secure – even anonymous – indirect channel to communicate with the Group Compliance team at SMA AG. The line is open 24/7 and is available in several languages.

SMA strongly encourages Reporting Persons to make reports openly and directly to allow for a more effective investigation process and help ensure that Reporting Persons receive proper protection and support. For SMA employees, this means talking to their direct supervisors or the Group Compliance team (directly or through the Compliance Helpline – Compliance@SMA.de). For external parties, the Compliance Helpline is also available. Reporting Persons should only make anonymous reports through the SMA Speak-Up Line if the other channels of communication are not an option.

Reporting Persons should refer to the SMA Misconduct Reporting Policy for a description of the misconduct reporting process at SMA and the protections available.

B. How to leave a message

Reporting Persons can choose to leave a message via either the Speak-Up phone system or the Speak-Up web system. The working of both systems is similar and quite simple. The web system has the advantage that Reporting Persons can print out the exact message and upload documents right away.

Access to the SMA Speak-Up Line (either phone or web) is available through the following links:

- For employees: https://www.speakupfeedback.eu/web/5tRv8A/
- For external parties: https://www.speakupfeedback.eu/web/8tnh98

To make a report, Reporting Persons should choose their country of location or "Germany" if their country is not listed, select their preferred language if given the option and follow the instructions to sign in (to the web system) or call in (to the phone system).

Reporting Persons will receive a personal six-digit case number, which is randomly generated. It is very important that this is written down, as it will be needed to check responses that the Group Compliance team leaves in the system.

Note regarding the Speak-Up phone system: Reporting Persons do not speak to a person – the message will simply be recorded, and the recording will end after hanging up. Tip: Reporting Persons should write their message down before speaking into the phone system.

Note regarding the Speak-Up web system: Reporting Persons can type in or simply copy/paste their message. Supporting documents may also be uploaded with the message. When finished, Reporting Persons can press the "send message" button; a screen with a case number and message will appear, which can easily be printed out.

C. What happens after you send your message

Immediately after Reporting Persons hang up the phone (phone system) or send their message online (web system), People Intouch begins working on the message. If the message is in a language other than German or English, it will be translated into English. With phone messages, the recorded sound file is first transcribed word-for-word. The recorded sound file will never be given to SMA. This means that nobody at SMA will ever hear the caller's voice.

Once the transcription and translation steps are done, the exact message – both in the original language as well as in English (if translated) – will be sent to the Group Compliance team at SMA. This team will evaluate the message and send a response to People Intouch.

People Intouch will translate the response into the language in which the message was left, if necessary, and post it on the system. For users of the phone system, People Intouch will also record the response.

D. Receiving a response

Reporting Persons should receive an acknowledgment that their report was received by the Group Compliance team within the SMA Speak-Up Line within seven days. In general, Reporting Persons can find these responses via the same way they left the original message, using the dial-in/sign-in details mentioned above. Note: It is possible to switch from **phone** to **web** at a later stage, but it is not possible to switch from **web** to **phone**.

To check for replies in the Speak-Up phone system: Reporting Persons will be asked to press "1" if they already have a case number. To hear the response, the number "1" will be pressed and the case number will need to be entered. After the response has been heard, Reporting Persons can immediately post a new follow-up message. If additional time to think is necessary, Reporting Persons can simply hang up and come back at a later time.

To check for replies in the Speak-Up web system : Reporting Persons will simply log in in the same manner as when they posted the message, except this time they enter the case number when prompted rather than leave a new message.

If Reporting Persons notice that a response has not yet been left, they should check back again and regularly. The message is being reviewed and a response will be available.

E. Frequently asked questions

1) What is the SMA Speak-Up Line?

The SMA Speak-Up Line is a service (communication tool) enabling a person to report serious violations of SMA policies or applicable laws to SMA in complete anonymity that would otherwise not be reported openly and directly.

2) Who can use the SMA Speak-Up Line?

The SMA Speak-Up Line is available to all SMA employees and external parties, such as suppliers or customers, who wish to report serious violations of SMA policies or applicable laws.

3) How does the SMA Speak-Up Line work?

Phone: Reporting Persons dial the free phone number, enter the access code and leave their message. During the call, Reporting Persons do not talk to an operator. All instructions have been pre-recorded and guide Reporting Persons through the process easily. Within one week Reporting Persons can call back to listen to SMA's response and post a new follow-up message to this response if necessary. This conversation cycle can be repeated endlessly.

Web: Reporting Persons can proceed to the Speak-Up web system page, choose their country, enter the access code and leave their message. Within one week Reporting Persons can return to the web system to read SMA's response and post a reply to this response if necessary. This communication cycle can be repeated endlessly.

4) How can I access the SMA Speak-Up Line?

To access the Speak-Up system (either phone or web), Reporting Persons should go to website mentioned above, select the country in which they are located, select the preferred language if given the option and follow the instructions to sign in (to the web system) or call in (to the phone system). A message may then be left within the system.

5) Who operates the SMA Speak-Up Line?

The SMA Speak-Up Line is operated by a third party, People Intouch, an independent Dutch company. People Intouch is responsible for processing all messages. Founded in 2004, the company is based in Amsterdam.

6) Is the SMA Speak-Up Line difficult to use?

Not at all: straightforward prompts and instructions guide Reporting Persons through the simple process and phone menu.

7) Can my identity be discovered?

The Group Compliance team at SMA will receive typed word-for-word transcripts of messages left by Reporting Persons. Reporting Persons are in total control of the content of the messages they leave. If contact details are left with the message, they will be forwarded to SMA. If no contact details are left, the message will be sent anonymously. Furthermore, SMA will not seek the identity of Reporting Persons and if contact details (including of witnesses) are included in the message, they will not be shared with an accused person. The only exception is when SMA is obliged to share information under mandatory legislation.

8) Will my voice be heard by the company?

No. The SMA Speak-Up Line is operated by People Intouch, an independent company that transcribes and translates phone message and sends SMA a typed word-for-word transcript of what was said. Tip: Reporting Persons can always have someone else read the message into the phone system or leave a written message on the web system if they feel unsure.

9) Can SMA trace my connection data?

No, the SMA Speak-Up Line is operated by People Intouch. SMA has no access to the connection data. Phone details or IP-addresses are not handed over to SMA. However, Reporting Persons can always use a public or non-identifiable telephone or computer rather than an SMA device if they feel unsure.

10) What happens with the recording of my message?

Upon confirmation of receipt of the transcribed or translated message by SMA, the recording will be erased immediately by People Intouch.

11) Will I be informed as to whether and how the reported issue was handled by SMA?

The Group Compliance team will send a quick acknowledgment soon after the message was received and send a notification once SMA has completed its investigation. However, SMA is not permitted to inform Reporting Persons of the results of the investigation.

12) Will confidentiality ever be broken?

SMA and the Group Compliance team take confidentiality very seriously.

For messages in which Reporting Persons make direct threats of violence or criminal acts: voice files or connection data held by People Intouch may be handed over directly to the police.

For all other messages: voice files or connection data will not be passed from People Intouch to SMA. During the investigation of reports of non-compliance, the involvement of other relevant departments (e.g. Corporate Audit,

HR, Labor Relations) or management may be necessary, in which case the identifying information (if provided) may be passed on to these departments. If Reporting Persons do not provide identifying information, the message will remain anonymous.

13) Who is paying for my call?

Phone access is via a free phone number, so there is no cost for the call. However, it could be that in exceptional cases (e.g. for some mobile operators) local costs could apply.

14) What do I need to do if the Speak-Up phone system is not available?

If calling from a mobile phone has failed, a fixed land line should be tried. Reporting Persons encountering problems accessing the Speak-Up phone system can ask People Intouch for technical support by sending an email to speakup@peopleintouch.nl. No information included in this email will be passed on to SMA.

15) How quickly will my message be passed on to SMA?

Messages are generally sent to SMA within one working day.

16) Who at SMA receives my message?

The Group Compliance team at SMA AG will receive the message.

17) I want to remain anonymous but would like to receive a response – how can I manage this?

The SMA Speak-Up Line gives Reporting Persons a unique case number, which should be written down. This case number enables Reporting Persons to listen to or read responses from SMA when they return to the system.

18) When should I check for a response?

Generally, a response will be available within one week. If no answer is available after one week, Reporting Persons should check back after a few days or leave a follow-up message within the same case.

19) Can I use the SMA Speak-Up Line any time?

Yes, the SMA Speak-Up Line is available 24 hours per day and 365 days per year.

20) Can I leave a message in my native language?

Yes, Reporting Persons can leave a message in their native language. Messages left in German or English will be sent directly to the Group Compliance team at SMA. Other languages will be translated into English before being sent. Reporting Persons simply choose their preferred language before leaving their message. Instructions are provided in this same language.

21) Can I upload documents or evidence?

Yes, the Speak-Up web system enables Reporting Persons to attach (electronic) documents. If Reporting Persons leave a message on the phone system, they can log on to the web system using the same case number by clicking the option "if you already have a case number." Here Reporting Persons can upload (electronic) documents. Reporting Persons who wish to remain anonymous should also not include their contact details in attached documents or document properties.

22) What if I forget my case number?

Reporting Persons who have lost or forgotten their case number should leave their message again with a new case number and use the new case number for all further communication.

23) Is my personal data protected if I leave a message through the SMA Speak-Up Line?

The processing of personal data through the SMA Speak-Up Line is strictly regulated (under the General Data Protection Regulation (GDPR). Reporting Persons should also refer to the SMA Speak-Up Line Data Protection Notice.

24) What will happen if my report turns out to be wrong?

Among other things, the SMA Speak-Up Line has been put in place so that Reporting Persons may report perceived violations of SMA policies and applicable laws within contexts that they may not fully understand. It is therefore possible that there are legitimate explanations behind these observations, and concerns may prove to be unfounded. Nevertheless, it is important that these instances are reported.

However, it must also be understood that SMA does not tolerate false accusations by employees against others for the purpose of causing harm. The Group Compliance team reviews incoming messages carefully and confidentially to determine plausibility before they are further investigated. If the Group Compliance team comes to the conclusion that the message is not plausible (e.g. a named employee was not employed by SMA at the time of the reported event), then the message will be deleted. The message will likewise be deleted if the facts are plausible but nothing serious.

25) What if it becomes known that I made the report?

The Group Compliance team handles messages responsibly and confidentially. SMA takes concerns seriously and will not tolerate retaliation against employees who express them legitimately. In the event of a police or public prosecutorial investigation, which could follow an internal examination, SMA could be forced to disclose all information.