Compliance Action Line – Frequently Asked Questions

This document is a compilation of frequently asked questions around reporting potential violations or the use of the Compliance Action Line. For better navigation, questions are grouped in four categories: “Who can Report?”, “What to Report?”, “How and Where to Report?”, and “What Happens with my Report?”

WHO CAN REPORT?

1. I do not work at FME – can I report a concern?
   Yes, absolutely. We welcome reports from external parties.
   In accordance with the EU Whistleblower Directive and other applicable laws, we offer reporting to employees and managers, freelance workers, contractors, subcontractors, suppliers, shareholders, former employees, and volunteers and trainees, whether paid or unpaid.
   Even if you are unsure whether you fall under the mentioned categories of the directive, we encourage you to contact us.
   You Speak – We Listen!

2. Does Fresenius Medical Care really want me to report a (suspected) violation of policy or law / regulation?
   Yes. You are encouraged under Fresenius Medical Care’s policies to report potential violations of policy or law/regulations or other compliance-related concerns. Reporting a potential violation or concern can minimize the potential negative impact on the company, patients, and customers. Please do not assume that someone else will file a report. Unless you report, the Company may not have the opportunity to review and address the potential violation.

3. I am worried that I might face resentment or adverse consequences for reporting a matter. How am I protected as a reporter?
   The laws and Fresenius Medical Care’s internal policies protect people who make a report on reasonable grounds, or in good faith. Such reporters may not be retaliated against in any way. If you believe you have faced intimidation for reporting or attempting to report your concerns or actual or attempted retaliation, please report it to the Compliance Action Line, so that we can initiate a review.
4. What is retaliation?

Retaliation is an adverse employment action taken, or negative consequences applied, against an individual because of the individual’s good faith reporting of a compliance concern. It is legally prohibited. Fresenius Medical Care has a zero-tolerance policy against retaliation.

Being retaliated against, or suspecting the same, is a reportable incident in and of itself.

5. What is a whistleblower and why do you talk about “reporters” instead of whistleblowers?

In some countries, the term “whistleblower” has a negative connotation. We prefer to talk about reporters, or persons raising a concern. This does not diminish our unfettered commitment to protecting those people whom we thank for their contribution and courage to come forward in order to help improve the way in which business is done by and with Fresenius Medical Care.

WHAT TO REPORT?

1. What should I do if I am facing an emergency concern?

If you require emergency assistance, please contact your local emergency services immediately.

2. What are the relevant areas of misconduct or questionable business conduct that can be reported?

The areas which are particularly relevant are, for example,

- Potentially unethical or inappropriate business practices,
- Bribery and Corruption
- Fraud, Embezzlement or Money Laundering and other financial crime
- Product Safety
- Health, Workplace Safety and Environmental impact
- Human Rights and Sustainability
- Data Privacy and Data Security
- Discrimination and Harassment.

You should not worry too much about whether your topic falls under one of the mentioned areas or satisfies certain conditions. In turning to us with your complaint, you are enabling us to assess the relevance of the matter and to follow up appropriately.

Fresenius Medical Care has a zero-tolerance policy against retaliation.
3. I am unsure if my concern is valid, or if I have enough facts to support it – should I report?

Yes. Every report is reviewed carefully to establish the merits of the concerns. No-one will be accused or face issues if the concern is unwarranted. On the other hand, reporters are not expected to deliver a full set of evidence along with their concern. Even if a concern is considered unwarranted as a result of an investigation, no reporter who turns to us in good faith (i.e., with an honest suspicion and no malevolence or ill intent) will be challenged or pursued.

When making a report, you shall provide all information on the issue available to you. Reports should provide enough information (i.e., circumstances, dates of incidents, names of potential witnesses) to allow us to investigate the matter properly.

Note that Fresenius Medical Care does not accept or process evidence that is illegal, e.g., video or audio recordings that were produced without respecting applicable privacy laws.

4. My report does not directly involve Fresenius Medical Care or its employees. It has to do with one of the partners or agents which Fresenius Medical Care does business with. Does it belong here?

Yes. Fresenius Medical Care has a stringent process to screen our business partners, and to monitor their conduct in an ongoing contractual relationship. Moreover, we rigorously manage our supply chain with a view to sustainability aspects such as human right, environmental and governance issues. However, this does not mean that unethical or unlawful conduct could never happen in those relationships. We are thus grateful for any observations from within the organizations of our business partners, or from external observers.

5. Why is Fresenius Medical Care encouraging people to raise concerns?

Our goal is to do business in an ethical and sustainable way. We seek to prevent risks for the company, patients, and employees, but if something adverse has happened, we have to know about it – to remedy any violations, such as to address grievances, correct mistakes made, mitigate consequences and make improvements for the future.

We can only do the right thing if concerns are brought to our attention, properly investigated and responded to. We are committed to do our part!

6. I am a third party or a business partner of FME and have learned about misconduct by or on behalf of FME – should I report it?

Yes. FME has a strong ethical backbone, created and nurtured by the vast majority of our employees. However, singular cases where things go wrong or individuals knowingly or unknowingly engage in misconduct, cannot be entirely excluded. It is vital to us to know about such cases, and to be able to respond and remediate. Your observations and reports are incredibly valuable for us!
7. Can I make the substance of my report public?

We encourage you to address your concerns with us first, and to trust our processes of handling complaints responsibly. Besides our reporting channels, however, you may have options of reporting to authorities. You may seek advice on the applicable local laws on this subject before making your choice. Reporting Persons normally feel more at ease reporting internally, unless they have reasons to report externally. Empirical studies show that the majority of Reporting Persons tend to report internally, within the organization in which they work. Internal reporting is also the best way to get information to the persons who can contribute to the early and effective resolution of risks to the public interest. At the same time, the Reporting Person should feel free to choose the most appropriate reporting channel depending on the individual circumstances of the case.

HOW AND WHERE TO REPORT?

1. Should I file my report anonymously or reveal my identity?

This is entirely in your discretion. We, however, ask that you refrain from purporting to be someone that you are not, as it does not help the investigation.

When making your choice, consider that it is a lot easier for us to successfully investigate the matter if we can get in touch with you to clarify questions.

We sometimes have follow-up questions. Although you are not legally obliged to respond to those, we appreciate your willingness to further support our investigation. Hence, please think of a way we can contact you, such as an incognito e-mail account which you check regularly.

Even if you chose anonymous reporting, sometimes the facts of the matter may lead to your identity. You may consider leaving out certain pieces of information in order to protect your identity. However, it can hamper our ability to adequately investigate the matter if we do not have all available facts.

If you are concerned about adverse consequences of revealing your name or your being associated with the report, please be assured that FME is fully committed to protect reporters. We have a zero-tolerance policy against retaliation. Your concerns can be discussed and addressed.

2. I am an FME employee and have been approached by someone with a concern. What do I need to do?

Please use one of the available reporting channels and encourage the person who approached you to do the same to ensure that the concern is adequately investigated. Please refrain from own engagement in the matter.
3. Should I report to FME, or rather to authorities?

This is your choice. Obviously, our preference is to be given the chance to investigate and follow up immediately without any time lost. Should we be first to know, we will comply with all applicable information and disclosure requirements vis-a-vis the relevant authorities or the public.

WHAT HAPPENS WITH MY REPORT?

1. What happens, practically speaking, when I call the Compliance Action Line?

Once you have contacted the hotline, you will be connected with an agent you can share your impressions and observations about a potential violation of laws, regulations, and/or internal rules with. As this hotline is available 24 hours a day, internationally, an interpreter may be called in to assist in the translation process. Please allow this to take some time in some cases. The agent will take notes of your described impressions and observations in order to draft a short report, so that the matter can be further dealt with in a qualified way. To this end, you may be asked to provide more details on your observations or, if necessary, provide additional documentation. At the end of your call, the agent will agree with you on the suitable options for a future contact with you, if you wish to.

2. What happens when I send a direct e-mail to the addresses provided?

Your e-mail report will be assessed by Fresenius Medical Care’s Global Investigation Department (GID). GID will send you a confirmation receipt and may follow up with you for detailed information.

3. Who is looking into a case that I report?

All cases reported into our Compliance Action Line and other channels are routed to the Global Investigations Department (GID) first, an independent department within the Compliance function. GID is mandated by resolution of the Management Board for receiving, assessing, processing, and/or investigating – with the support of other departments within the FME Group, as the case may be – and remedying reports. The employees of GID are skilled and experienced professionals. They seek to establish all relevant aspects of the matter without any bias or intention to confirm or to rebut the case. They act independently and impartially according to their due discretion, in compliance with legal requirements, the procedural principles of the FME Reporting Potential Violations Policy and the interests of FME as well as its subsidiaries. In this respect, the employees of GID are expressly not subject to any instructions from other bodies within the FME Group, including the Management Board of
4. How does Fresenius Medical Care deal with a report?
As a separate, independent and impartial department within the FME Compliance organization, the Global Investigation Department (GID) handles all internal investigations in a proportionate, professional and consistent manner.

GID is mandated by resolution of the Management Board for receiving, assessing, processing, and/or investigating – with the support of other departments within the FME Group, as the case may be – and remediying reports. The employees of GID shall perform these tasks independently and impartially according to their due discretion, in compliance with legal requirements, the procedural principles of the FME Reporting Potential Violations Policy and the interests of FME as well as its subsidiaries. In this respect, the employees of GID are expressly not subject to any instructions from other bodies within the FME Group, including the Management Board of FME and its members. Our professionals attend to matters swiftly, discreetly and without any bias. Investigations are handled with the highest level of confidentiality.

GID is guided above all by the fundamental principles of independence, impartiality, confidentiality, professionalism, and protection.

5. What happens after I made my report?
All reports, no matter through which channel they are made - via the Compliance Action Line (CAL), any other incoming channel or Employee Service Center (US) - will be reviewed by the Company. As a reporting person, you will receive acknowledgment of receipt of the report within seven days of receipt, unless you have not provided us with the opportunity or permission to contact you. Follow-up questions may be raised to gain further background information on the concerns.

The matter proceeds in the following steps:

**Assessment and Assignment (Follow-Up)**
All incoming reports are assessed in a timely manner. Only if enough information is provided, the company can follow-up and start, for instance, an investigation. Depending on the topic, the cases are categorized and assigned to the Subject Matter Experts. For instance, HR related cases will be assigned to HR as they can review these concerns best. Once the assignment is made, the concerns are reviewed and investigated.

**Internal Investigation / Internal Review**
The Company will review the matter at hand, which may include interviews as appropriate, fact gathering and documentation review. At the end of an internal investigation/review, the results and findings will be summarized, and conclusions will be drawn. From these conclusions, remediation measures will be proposed to and discussed with relevant stakeholders. Moreover, responsibility to implement specific remediation measures will be assigned to the appropriate teams/functions.
Feedback to Reporter
The reporter will receive feedback in a reasonable timeframe not exceeding three months from the acknowledgment of receipt, or six months in duly justified cases. The Company will communicate the final outcome of the investigation/review triggered by the report, in accordance with procedures provided for under applicable national law and in accordance with the interests of the Company. Whilst a reasonable timeframe for a standard investigation should not exceed three months, the nature and complexity of the matter may sometimes require a longer investigation period. In such cases, and where the determination of the appropriate follow-up takes more time, the reporter may be informed about this and about any further feedback to expect.

At a minimum, the reporter will hear whether the matter is still under investigation, and the reporter will hear when it is closed. We understand that informing Reporting Persons comprehensively, to the extent legally possible, is crucial for building trust in the effectiveness of our investigations. We do our best to meet Reporting Persons’ reasonable expectations to that effect. The circumstances and applicable law, however, may not allow for us to share information about, e.g., the precise status, parties involved, the findings or the result of the investigation, including possible actions taken to address the issue.

Appeal Process
In certain cases with a human rights and environment impact, the Reporting Person may appeal the resolution with a period of 7 days of receipt of FME’s notice that the investigation was closed. The appropriate team will handle the appeal and review the matter independently and impartially. The appeal will be decided upon within a period of 3 months, and the Reporting Person will receive a notification that the internal investigation/review has been concluded and the proposed resolution of the concern is communicated to them. At the end of any appeal, any responsibility to implement appropriate remedy actions and measures will be assigned. The outcome of the appeal is final. For more information on the appeal process, please contact humanrights@fmc-ag.com

Conclusion of the Internal Investigation/Review
In cases not subject to an appeal, the Reporting Person will receive a notification, that the internal investigation/review has been concluded. As mentioned above, the level of details shared depends on the specific local legal legislation or other important considerations. The circumstances and applicable law may not allow for us to share information about, e.g., the precise status, parties involved, the findings or the result of the investigation, including possible actions taken to address the issue.

Documentation
The outcome of the internal investigation/review is recorded in the company’s case management system and periodically monitored, to ensure proper implementation of any remedy. At the end of an internal investigation/review, the documentation will be filed in the respective directory of the investigating body.
6. What kind of information can I expect when having reported?

At a minimum, you will hear whether your matter is still under investigation, and you will hear when it is closed. We understand that informing reporters comprehensively, to the extent legally possible, is crucial for building trust in the effectiveness of our investigations. We do our best to meet reporters’ reasonable expectations with respect to content and timing. The circumstances and/or applicable law, however, may not allow for us to share information about, e.g., the precise status, parties involved, the findings or the result of the investigation, including possible actions taken to address the issue.

7. How long does a case take to be investigated? And in what time frame can I expect to receive feedback?

This varies depending on the circumstances. Whilst a reasonable timeframe for a standard investigation should not exceed three months, the nature and complexity of the matter may sometimes require a longer investigation period.

GID will provide feedback to you in a reasonable timeframe not exceeding three months from the acknowledgment of receipt, or six months in duly justified cases. The nature and complexity of the matter may sometimes require a longer investigation period. In such cases, and where the determination of the appropriate follow-up takes more time, you may be informed about this and about any further feedback to expect.

8. I have made a report. How – and when - do I know what has become of it?

You will receive confirmation of receipt within seven days from filing your report, and an update on the course of the matter within the legal three-months period from the day the report was made. Even if you have reported anonymously to the Compliance Action Line, you will receive an acknowledgement of receipt, along with a complaint number and a password. On this basis, you have the opportunity to check the status of your matter online, if you chose this option at the time of filing your report. Such acknowledgement will be sent within seven days of receipt of your complaint. Exceptions may apply if you have explicitly requested otherwise, or the Company believes that acknowledging receipt of the report would jeopardize the protection of your, the Reporting Person’s, identity.

GID will provide feedback to you in a reasonable timeframe not exceeding three months from the acknowledgment of receipt, or six months in duly justified cases. The nature and complexity of the matter may sometimes require a longer investigation period. In such cases, and where the determination of the appropriate follow-up takes more time, you may be informed about this and about any further feedback to expect.
9. What will happen to the person(s) I complained about? Will they be in trouble immediately?

This really depends on the facts that can be established in the investigation. Our Global Investigations Department investigates discretely, thoroughly and from all angles without any bias. No-one will get in trouble before the allegations can be substantiated. While on the one hand the accused deserves to be treated fairly and not be prejudged, we are firmly committed to end potential misconduct as quickly as possible, and to not compromise the protection of those who have reported, or who may be affected by the misconduct. We are always striving to balance relevant aspects and risks so that all parties involved in a reported incident receive appropriate protection.

10. Will there be a reward for my report?

We do not believe in premiums for doing the right thing.

Disclaimer: The answers to these frequently asked questions represent the views of Fresenius Medical Care. They are not binding rules or requirements and do not represent as legal advice to possible reporters or whistleblowers. These FAQs provide short general orientation from Fresenius Medical Care’s perspective, and do not purport to be a complete or comprehensive discussion of the relevant laws and regulations. Individuals are advised to inform themselves about the subject.