

Code of Procedure (Verfahrensordnung) for Complaints according to Section 8 of The Act on Corporate Due Diligence Obligations in Supply Chains (Gesetz über die unternehmerischen Sorgfaltspflichten in Lieferketten / Lieferkettensorgfaltspflichtengesetz – LkSG)

Version 1st June 2023

This code of procedure describes how persons can report concerns regarding potential risks or violations of human rights and environmental- related risks and obligations by Fujitsu (hereinafter “we”) or by its direct suppliers according to the German Act on Corporate Due Diligence Obligations in Supply Chains (Lieferkettensorgfaltspflichtengesetz-LkSG).

For concerns regarding other potential risks or violations, please see the general information on Whistleblowing and reporting concerns on [Europe Connect](#) or on the [Fujitsu Europe website](#).

As further detailed in Fujitsu's Code of Conduct, the [Fujitsu Way](#), and [Fujitsu's Global Business Standards](#), we are strongly committed to act in line with the applicable laws and jurisdictions in each country where Fujitsu is doing business.

To learn about potential business-related breaches of law or our policies, Fujitsu is depending on the support and co-operation of its employees, managers and other persons speaking up.

Whistleblower reports and complaints are highly important for Fujitsu to uncover unethical and illegal conduct. Fujitsu has zero tolerance for retaliation against persons having reported an information and/or whistleblowers as outlined in our Global Business Standards and our Whistleblowing Policy, which shall apply respectively for the complaint procedure in the context of the LkSG.

Article 1 Scope and Right to Complain

This code of procedure applies to any person's complaint or report concerning risks or violations to/of human rights and environmental-related obligations that may have arisen as a result of the economic actions of Fujitsu in its own business area or of a direct supplier of Fujitsu as detailed in the LkSG (hereinafter “LkSG Incidents”).

Article 2 Competence

- (I) LkSG Incidents raised within the scope of this code of procedure are handled by a designated case manager (hereinafter “LkSG Case Manager”) based at Fujitsu Germany and is bound to secrecy.
- (II) The case manager shall follow up and investigate the complaint fairly, impartially, ensure confidentiality and shall not be bound by instructions regarding the investigation.
- (III) The case manager may consult with other authorized departments if deemed appropriate whilst ensuring confidentiality.

Article 3 Reporting System

- (I) Any person complaining or providing a report concerning risks or violations to/of human rights and environmental-related obligations that may have arisen as a result of the economic actions of Fujitsu in its own business area or of a direct supplier of Fujitsu as detailed in the LkSG, may make use of the [Fujitsu Alert](#), as further explained in Article 3 II-V below. The Fujitsu Group has established an internally and externally accessible portal, Fujitsu Alert, to receive work- or business-related complaints or reports of concerns from external sources and all Fujitsu Group employees.
- (II) [Fujitsu Alert](#) is provided through a web application and a telephone call system operated by the third-party provider Navex. Fujitsu Alert is available in several languages 24 hours a day, 365 days a year.
- (III) In Fujitsu Alert, complaints or concerns may also be reported anonymously if provided for by the respective national laws.

Article 4 Fujitsu Alert: Complaints procedure for LkSG incidents

- (I) From the Fujitsu Alert start page, reporters can either select a (local) phone number to call or complete the online form. In both cases, the information provided either orally, documented by the call handler, or in writing is made available to Fujitsu via the portal.
- (II) As access to reports and information within the Fujitsu Alert portal is severely restricted to ensure confidentiality, to establish the appropriate case manager, reports are first reviewed by a specially authorized team member of Fujitsu’s Corporate Compliance department who then assigns the report to the pre-defined and dedicated case manager and in case of complaints or reports within the scope of the LkSG, to the LkSG Case Manager.
- (III) The LkSG Case Manager shall contact the reporter promptly, usually within 7 days of receipt to acknowledge receipt of the report and stay in touch with the reporter during the follow-up/investigation, also to understand the reporter’s expectations regarding potential countermeasures.
Using Fujitsu Alert, the reporter can directly communicate with the LkSG Case Manager, explain the background, provide further information, amend, and revise the report and stay in touch, even if reporting anonymously.
- (IV) The objective of the internal follow-up by the LkSG Case Manager is to understand the facts, verify the allegation and in communication with the reporter, propose/plan (immediate) countermeasures that will be monitored following the investigation.
Consideration of applicable laws and appropriate investigation steps, evaluation of collected evidence, documentation of results, reporting and/or escalation are all part of the follow-up. The LkSG Case Manager may be supported by external (legal) advisors, bound to Fujitsu by contractual or legal confidentiality obligations to keep confidential the information provided by the reporter.
- (V) Usually within 3 months of receipt of the report, the LkSG Case Manager provides feedback to the reporter as far as legally possible without jeopardizing the investigation or the persons affected.

- (VI) Depending on the progress of the investigation, the feedback may for example include information on a referral to another channel or procedure, launch of an internal inquiry, measures taken and/or planned in consideration of the reporter's expectations or closure of the procedure based on lack of sufficient evidence or other grounds. If the follow-up/investigation identifies issues in accordance with the provisions of applicable laws and regulations, they will be addressed, including disciplinary actions and remedial actions such as training and review of procedures to prevent them from recurring, including but not limited to the remedial actions described in Section 7 of the LkSG., which will be monitored following the investigation.
- (VII) Fujitsu ensures confidentiality and data protection compliance as described on the Fujitsu Alert Homepage. The identity of the reporter will not be disclosed to anyone beyond authorized persons. Fujitsu may however be required by law to provide information about violations to certain government and/or judicial agencies, including government agencies or courts, or may choose to do so based on business judgement.

Article 5 Protection of reporting persons

- (I) Fujitsu strongly encourages reporting of suspected or actual misconduct and does not tolerate retaliation for reporting. Such retaliation will be treated as a serious violation and may result in disciplinary/legal measures.
- (II) Reporting persons experiencing any kind of discrimination, harassment, or unjustified detriment even after finalization of the investigation are asked to immediately inform the LkSG Case Manager or to start a corresponding report in Fujitsu Alert. Examples of retaliatory measures may include, but are not limited to, termination (incl. by mutual agreement) of the employment or other contracts, intimidation, defamation, a change in salary (incl. variable income) as well as a change of scope of responsibility or workplace and similar measures, which may give the impression of being retaliatory. The LkSG Case Manager will investigate any reported retaliation.

Article 6 Effectiveness review

The effectiveness of the complaints and reporting system for LkSG Incidents must be reviewed at least annually and, on an ad-hoc basis. Parameters for the effectiveness review shall be the effectiveness criteria as recommended in the effectiveness criteria for non-judicial grievance mechanisms of the UN Guiding Principles on Business and Human Rights (UNGPR), in particular the aspects to what extent the process enables and encourages relevant target groups to submit notices, even before a breach of duty occurred and (ii) to what extent the procedure is averting damage from informing persons or creates appropriate remedial action.

Contact

Fujitsu: www.fujitsu.com

Fujitsu Alert Portal: [Fujitsu Alert](#)

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