

Appendix to IN O 24000 Conflicts of Interest
COI Disclosure Form¹

Date:

☒ New

☐ Update

Name/Employee ID:

Department:

Position:

Entity:

Capitalized terms used but not defined herein shall have the respective meanings given to them in P 172152 Conflicts of Interest and IN O 24000 Conflicts of Interest (together with P 172152 Conflicts of Interest, the “**COI Rules**”).

1. I acknowledge that I have read and fully understand the Schaeffler Group Corporate Code of Conduct (“**Code of Conduct**”) and the principles and rules set out in the COI Rules. I also understand that where a Conflict of Interest exists, I am obliged to disclose all relevant details promptly to my Line Manager, HR, or Compliance, as the case may be.
2. I understand that Schaeffler may conduct investigations based on incident reports that suggest a violation of the Code of Conduct and/or the COI Rules. A confirmed breach of the Code of Conduct or the COI Rules constitutes a substantial violation of Schaeffler’s rules and guidelines, which entitles the company to take disciplinary and other actions leading up to and including the termination of my employment.
3. The information furnished below are true, accurate and complete:
 - a. Are you in a supervisory, subordinate, or control relationship (e.g. having influence over conditions of employment) with a Closely Related Person²?
☐ Yes ☐ No
 - b. Are you involved in any hiring decision regarding Closely Related Person (including internal/external hiring and internal transfers)?
☐ Yes ☐ No

¹ Please submit a completed and signed copy to HR.

² Closely Related Person means spouses, life partners or other family members, or friends of a Schaeffler representative.

c.

- i. Do you or does any Closely Related Person have any kind of paid or unpaid engagement with a Schaeffler business partner or competitor?

☐

Yes

☐

No

- ii. Are you in a position to influence Schaeffler's business with such business partner or competitor?

☐

Yes

☐

No

- d. Do you have any kind of paid or unpaid engagement with any other person or company that may impact your performance at Schaeffler?

☐

Yes

☐

No

- e. Do you or does any Closely Related Person own any interest equal to or greater than 5% in any company which competes with or does business with Schaeffler?

☐

Yes

☐

No

- f. Do you conduct Schaeffler business with any entity in which you or a Closely Related Person have a Substantial Interest³ or with which they or a Closely Related Person have a substantial affiliation?

☐

Yes

☐

No

- g. Do you act as an official of or advisor or consultant to any government agency with regulatory or supervisory power over Schaeffler?

☐

Yes

☐

No

- h. Have you, directly or indirectly, solicited or accepted from any actual or potential Schaeffler business partner or competitor gifts, meals, travel or entertainment that do not meet Schaeffler's criteria and requirements for favors under P 172151 Anti-Corruption?

☐

Yes

☐

No

³ Substantial Interest means (1) direct or indirect interest of at least 5% in a company's capital (e.g. stocks, assets); (2) other rights equivalent to the interest in (1), e.g. voting rights, profit sharing rights, contractual rights; (3) investment of at least 10% of an Employee's private assets in a company; (4) a managerial or supervisory function in a company, or can otherwise influence that company's business activities; or (5) direct benefit from a business relationship between a company and Schaeffler. The term "private assets" means an Employee's individual savings and goods of monetary value (e.g., property, possession, claims, etc.) minus debts and other obligations.

- i. Have you, directly or indirectly, solicited or received a fee, commission, service, or other favor from any actual or potential Schaeffler business partner or competitor?

☐

Yes

☐

No

- j. Are there any other matters where a Conflict of Interest may exist?

☐

Yes

☐

No

If the answer is 'Yes' to any of the questions above, please provide relevant details in the space below. Please use a separate sheet of paper if necessary.

1. I hereby confirm that neither I nor a Closely Related Person have/has been engaged in, or am/is presently engaged in, or plan to engage in any activity that contravenes the COI Rules, except as specifically indicated above and agreed to by my Line Manager below.
2. I understand that I am obliged to provide my Line Manager, HR, or Compliance, as the case may be, with prompt updates if there are any changes in the information provided above during the course of my employment.

Signature Employee

Name:

Date:

In case of a Conflict of Interest, the Conflict of Interest was accepted/avoided/removed or otherwise managed (delete as appropriate). If the Conflict of Interest has to be managed, the Employee and the Line Manager agree to the following measures:

Signature Line Manager

Name:

Date:

Signature HR

Name:

Date:

Signature Compliance

Name:

Date:

For HR use only:

Date received:

Receipt acknowledged: