

2022 (virtual) Annual General Meeting of Knorr-Bremse AG

Information on Data Protection for Shareholders

Compliance with the provisions of data protection law is very important to Knorr-Bremse AG (hereinafter “we” or “us”). In the following, we would like to inform our shareholders, shareholder representatives and other participants attending our Annual General Meeting about the processing of their personal data and about their rights under data protection law.

Controller:

The Controller of the processing of personal data is Knorr-Bremse AG. You may reach Knorr-Bremse AG at:

Knorr-Bremse AG
Moosacher Str. 80
80809 Munich, Germany
+49 89 3547 182121
datenschutzbeauftragter@knorr-bremse.com

You may address your questions or comments on the processing of personal data to the data protection officer of Knorr-Bremse AG at:

Knorr-Bremse AG
Data Protection Officer (Datenschutzbeauftragte)
Moosacher Str. 80
80809 Munich, Germany
datenschutzbeauftragter@knorr-bremse.com

Purposes and legal bases of the processing:

We process your personal data in full compliance with the provisions of the EU General Data Protection Regulation (GDPR), the German Federal Data Protection Act (Bundesdatenschutzgesetz), the German Stock Corporation Act (Aktiengesetz, “AktG”) and all other applicable laws and regulations.

Knorr-Bremse AG will generally receive the shareholders’ personal data via the registration office of the credit institution that the shareholders have entrusted with the safekeeping of their bearer shares (so-called depository bank (Depotbank)). In some cases, Knorr-Bremse AG may receive personal data directly from shareholders.

We use your personal data (e.g., last name and first name, address, email address, number and class of shares, type of ownership of shares, absentee votes/instructions, admission ticket number, number of the voting right card and registration information for the AGM Portal for participation in the virtual Annual General Meeting) as well as personal data of shareholder representatives, where applicable, for the purposes provided for in the German Stock Corporation Act, particularly for communicating with you as a shareholder and for organizing and holding our Annual General Meeting. In our password-protected AGM Portal, in principle, we only use your personal data for the purpose for which you made the data available to us; for instance, in order to enable you to access the Annual General Meeting services including the possibility to participate in a virtual Annual General Meeting electronically via our AGM Portal, for the documentation of votes, for the documentation of your representation by an authorized representative and any instructions you may have issued, for revocation of a power of attorney, for the

casting of votes by absentee voting (where offered), for the submission of questions in advance of a virtual Annual General Meeting and for lodging objections (Widersprüche), for communication in the context of contact and service requests in connection with the Annual General Meeting or in order to provide you with access to specific information.

In this context, the legal basis for the processing of your personal data is Article 6 (1) sentence 1 lit. c) GDPR in conjunction with the German Stock Corporation Act (in particular Secs. 67e, 118 et seqq. AktG) and Sec. 1 (2) of the German Act Concerning Measures Under the Law of Companies, Cooperative Societies, Associations, Foundations and Commonhold Property to Combat the Effects of the COVID-19 Pandemic of 27 March 2020 (Gesetz über Maßnahmen im Gesellschafts-, Genossenschafts-, Vereins-, Stiftungs- und Wohnungseigentumsrecht zur Bekämpfung der Auswirkungen der COVID-19-Pandemie) (German Federal Law Gazette (BGBl.) Part I 2020 pp. 569, 570), as last amended by Article 15 of the Act of 10 September 2021 (BGBl. I 2021 p. 4147) (hereinafter the “Covid-19 Act”).

In addition, we process personal data in connection with organizing our Annual General Meeting based on our overriding legitimate interests (Article 6 (1) sentence 1 lit. f) GDPR). This includes, for example, the processing of data for statistical purposes or in connection with your participating in our Annual General Meeting as a guest. In this context, you are under no legal or contractual obligation to make your personal data available to us.

During our Annual General Meeting, visual and audio recordings may be taken. These visual recordings might show shareholders, shareholder representatives and other participants. The recordings are stored, processed and published for documentation purposes and as part of our public relations work. Both the recording and the publication of the recordings constitute legitimate interests of Knorr-Bremse AG within the meaning of Article 6 (1) sentence 1 lit. f) GDPR. In this context, you are under no legal or contractual obligation to make your personal data available to us. If you do not wish to be recorded, please contact us in advance of the Annual General Meeting so that your wish can be met. We would like to point out that information available on the Internet can be accessed worldwide, be found using search engines and be linked to further information, all of which makes it possible to create personality profiles. Information posted on the Internet, including photographs, can easily be copied and shared, and there are archiving services specializing in documenting the status of certain websites at certain points in time. Thus, information disclosed on the Internet can still be found online even after it has been erased from the original website.

We also use temporary cookies in our password-protected AGM Portal in order to ensure the functionality of the website. Cookies are small text files that store information on the user behavior when visiting a website and that are placed on the user’s computer and held available for further visits to the website. The data collected via cookies, device IDs and similar processes during a shareholder’s use of the AGM Portal will be anonymized and will not be combined to

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create specific customer or profile data. The legal basis for this particular method of data processing is provided for in Article 6 (1) sentence 1 lit. f) GDPR. In this context, you are under no legal or contractual obligation to make your personal data available to us.

In addition, we use your personal data on the basis of Article 6 (1) sentence 1 lit. f) and (4) GDPR (based on our overriding legitimate interests) for additional purposes that are compatible with the aforementioned processing purposes, in particular for preparing statistics on, for instance, the changes in the shareholder structure, or overviews of our major shareholders. In this context, you are under no legal or contractual obligation to make your personal data available to us.

Finally, we process your personal data, where necessary, to comply with other legal obligations, e.g., regulatory requirements and record retention requirements under stock corporation, commercial and tax laws. In the context of the authorization of the company-nominated proxies for the Annual General Meeting, for example, we are obligated under the provisions of the German Stock Corporation Act to keep a verifiable record of the data provided as proof of the authorization. In this case, the respective legal provisions in conjunction with Article 6 (1) sentence 1 lit. c) GDPR form the legal basis for the processing of personal data.

In the event that we intend to process your personal data for a purpose that was not previously mentioned, we will inform you in advance in accordance with and subject to applicable statutory provisions.

Recipient(s) of your data:

For the organization of the virtual Annual General Meeting (e. g., for printing and sending of the invitation documents or for conducting the Annual General Meeting), we commission, to some extent, third-party service providers as well as group-affiliated companies that will be granted access to your personal data in the context of the tasks assigned to them. In the context of commissioned data processing, our partners are carefully selected and are obligated pursuant to Article 28 GDPR to observe the data protection standards of Knorr-Bremse AG. The service providers and group-affiliated companies commissioned by us will process your personal data exclusively as instructed by us and only to the extent that this is necessary for the performance of the services commissioned. All employees of Knorr-Bremse AG, the group of companies as well as all staff of commissioned service providers who have access to and/or process your personal data have committed to treat such data confidentially.

Furthermore, personal data of shareholders or, as the case may be, shareholder representatives exercising their voting rights will be made available to other shareholders and shareholder representatives subject to the statutory requirements (including the requirements governing the list of participants in Sec. 129 AktG). This also applies to questions that shareholders or, as the case may be, shareholder representatives may have submitted in advance of the Annual General Meeting (cf. Sec. 1 (2) no. 3 Covid-19 Act). Under certain conditions, in the case of motions to add items to the agenda, counter-motions, election proposals or lodged objections, personal data of shareholders or, as the case may be, shareholder representatives will also be published or made available to other shareholders and shareholder representatives subject to the statutory requirements.

Under certain circumstances, we may provide visual and audio recordings taken at our Annual General Meeting to press representatives who may process these recordings for journalistic purposes.

Furthermore, we may be obligated by law to transmit your personal data to further recipients such as, for instance, public authorities in order to comply with statutory reporting obligations.

Transfer of data to third countries:

In the event that we transfer personal data to service providers located outside the European Economic Area (EEA), the transfer will only take place to the extent that the EU Commission has confirmed that the third country offers an adequate level of protection or that other adequate data protection safeguards exist (e. g., binding corporate rules on data protection or an agreement on the EU Commission's standard contractual clauses and, to the extent required, data transfer impact assessments).

You may request detailed information in this regard as well as on the level of data protection offered by individual service providers located in third countries using the above indicated contact information.

Storage period:

We will erase or anonymize your personal data in compliance with the applicable statutory provisions as soon as and to the extent that statutory record retention periods have expired, your personal data is no longer required for the aforementioned purposes, your personal data is no longer required for any administrative or court proceedings, and no other statutory obligations to furnish evidence or record retention requirements (e. g., under the German Stock Corporation Act, the German Commercial Code (Handelsgesetzbuch) or the German Tax Code (Abgabenordnung)) apply or any reasons justifying the retention exist. Data collected in connection with the General Meeting will be stored, as a rule, for three years.

Rights of the data subjects:

Subject to the statutory requirements, you have the right to access information (Article 15 GDPR) about your processed personal data and to require rectification (Article 16 GDPR) or erasure (Article 17 GDPR) of your personal data or the restriction of processing (Article 18 GDPR) using the above-stated contact information; whether or not these statutory requirements have been met is a matter that has to be determined on a case-by-case basis.

Furthermore, you may also contact the competent supervisory authority and receive your personal data in a structured, commonly used and machine-readable format (data portability) (Article 20 GDPR).

Right to object (Article 21 GDPR): If we process your personal data for the purposes of the legitimate interests pursued by us (Article 6 (1) sentence 1 lit. f) GDPR), you may object to such processing on grounds relating to your particular situation that conflict with such data processing. Please submit your objection to the contact address indicated above.