

## INFORMATION ON DATA PROTECTION FOR SHAREHOLDERS OF KNORR-BREMSE AG

Since 25 May 2018, new rules for data protection apply under the EU General Data Protection Regulation (GDPR). 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 you about the processing of your personal data and your 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  
+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  
datenschutzbeauftragter@knorr-bremse.com

### **Purposes and legal bases of the processing:**

We process your personal data in full compliance with the provisions of the 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 generally will 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). 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, postal votes/instructions and admission ticket number) as well as personal data of your shareholder representatives, where applicable, for the purposes provided for in the AktG, for communicating with you as the shareholder and for organizing Shareholders' Meetings. Processing of personal data for these purposes is a mandatory requirement under applicable law. The legal basis for the processing of your personal data is the AktG in conjunction with Article 6 (1) sentence 1 lit. c) GDPR.

In addition, we use your personal data on the basis of Article 6 (1) sentence 1 lit c) and (4) GDPR for purposes that are compatible with the aforementioned purposes (in particular, for preparing statistics on, for instance, the changes in the shareholder structure, the number of transactions or overviews of major shareholders).

We also process your personal data, where necessary, to comply with other legal obligations, e.g. regulatory requirements, record retention requirements under stock corporation, commercial and tax laws. In the context of the authorization of the company-named proxies for the Shareholders' Meeting, for example, we are obligated under the provisions of the German stock corporation law to keep a verifiable record of the data provided as proof of the authorization. In this case, the legal basis for the processing of personal data is the respective legal provisions and Article 6 (1) sentence 1 lit. c) GDPR.

In certain individual cases, we also process your personal data as necessary for the purposes of the legitimate interests pursued by Knorr-Bremse AG (Article 6 (1) sentence 1 lit. f) GDPR). This occurs, inter alia, for statistical purposes, for the processing of contact and service requests, for photographs and video recordings at our meetings and gatherings, or for participating in our Shareholders' Meeting as a guest.

In our eVoting 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 Shareholders' Meeting services, for an individual registration or electronic registration, for the documentation of your representation by authorized proxy and any instructions you may have issued, for revocation of an authorization, for the casting of votes by postal voting (where offered), for communication in the context of contact and service requests in connection with the Shareholders' Meeting or in order to provide you with access to specific information.

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.

# DATA PROTECTION FOR SHAREHOLDERS

## Recipient(s) of your data:

For the organization of the Shareholders' Meeting (e. g. for printing and sending of the invitation documents or for conducting the Shareholders' 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, we may be obligated to transmit your personal data to further recipients such as, for instance, public authorities in order to comply with statutory reporting obligations.

If you participate in the Shareholders' Meeting, other shareholders of Knorr-Bremse AG may access, pursuant to Sec. 129 AktG, the data relating to you that is contained in the list of participants, if any, for up to two years following the Shareholders' Meeting. If you wish to submit a motion for including additional items in the agenda, counter-motions or nominations for election, we may be obligated, under certain conditions, to publish your name.

## 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).

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 anonymize or erase your personal data as soon as they are no longer required for the aforementioned purposes, the personal data is no longer required for any administrative or court proceedings, if any, and no other statutory obligations to furnish evidence or record retention requirements (e. g. under the AktG, in the German Commercial Code (Handelsgesetzbuch) or in the German Tax Code (Abgabenordnung)) apply or any reasons justifying the storage exist.

The data collected in connection with the Shareholders' Meeting will be stored, as a rule, for up to three years.

The data stored in the share register must be stored, as a rule, for a further ten years after the shares were sold. Beyond that period of time, we will only retain personal data in individual cases to the extent that this is necessary, for instance, in order to manage claims, if any.

## 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.

Furthermore, you may also contact the competent supervisory authority.

Right to object (Article 21 GDPR): If we process your 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 oppose such data processing. Please submit your objection to the contact address indicated above.

If we process your personal data on the basis of your consent (Article 6 (1) sentence 1 lit. a) GDPR), you may withdraw your consent at any time (Article 7 (3) GDPR). Please submit your objection to the contact address indicated above. If we process your personal data on the basis of your consent (point (a) of Article 6 (1) sentence 1 GDPR), you are further entitled to receive the personal data concerning you in a structured, commonly used and machine-readable format (Article 20 GDPR).

