



Stakeholder Hotline at ABB

The following information applies only to

- subjects who are located within the European Union
- reports provided from within the European Union.

SCOPE

The purpose of the ABB Stakeholder hotline is to report breaches of company code and corporate policies and not to limit the scope to issues related to fields of accounting, internal accounting controls, auditing, anti-bribery etc.

Although the main scope is to report wrongdoing in the area of severe violations like corruption, bribery and antitrust, business partners should have the possibility to report wrongdoing in other areas like Health, Safety and Environment for example.

When the vital interests of the data subject or moral integrity of employees are at stake, or when, there is a legal obligation under national law to communicate the information to public bodies or authorities competent for the prosecution of crimes, ABB will take the necessary action in such circumstances.

GENERAL INFORMATION

The scheme is only an additional mechanism; it does not replace regular information and reporting channels.

INFORMATION ABOUT THE SCHEME:

Controller:

ABB Asea Brown Boveri Ltd, Affolternstrasse 44, 8050 Zurich

Recipients of the reports:

[Global Compliance Services Inc.](#) (Service provider)

ABB Group Administrators (consists of three persons, all located in Switzerland: Global Hotline Operations Officer, Head of Office of Special Investigations and the Head of Global Operations – within the Group Integrity organization).

ABB General Counsel and EC member, located in Switzerland

ABB Chief Integrity Officer, located in Switzerland

ABB Office of Special Investigations (Investigators) only on a strictly need to know basis

Contact address for further inquiry:

ABB Asea Brown Boveri Ltd
Attn. Chief Integrity Officer
Affolternstrasse 44
P.O. Box 8131
8050 Zurich
Switzerland



Rights of access and rectification

Every data subject has the right to obtain from the controller without constraint at reasonable intervals and without excessive delay or expense:

- confirmation as to whether or not data relating to him are being processed and information at least as to the purposes of the processing, the categories of data concerned, and categories of recipients to whom the data are disclosed,
- communication to him in an intelligible form of the data undergoing processing and of any available information as to their source,
- knowledge of the logic involved in any automatic processing of data concerning him at least in the case where automated decisions are taken.

If you wish to exercise your right of access please contact ABB on the above mentioned address. Please submit a written request and a form of identification in order to verify your identity. In order to help us to meet your request please be as specific as possible and let us know what information exactly you are looking for.

Right of rectification

If you find out that information kept about you by ABB is inaccurate or incomplete, you may have a right to have that information corrected (or "rectified"). You may also ask for notification of third parties to whom the data has been disclosed, and of any rectification, erasure or blocking to be carried out, unless this proves impossible or involves a disproportionate effort.

Identity of the reporter

The identity of the reporter shall be kept confidential throughout the whole reporting process. ABB informs reporters that it may become necessary that their identity may need to be disclosed to relevant people involved in any further investigation or subsequent judicial proceedings instigated as a result of the enquiry conducted by the reporting scheme. Also, if a report is found to be unsubstantiated and the reporter to have maliciously made a false accusation and the accused person wants to pursue a case for libel or defamation, the reporter's identity may have to be disclosed to the incriminated person if national law allows.

Sanctions

The abuse of the scheme and reporting in bad faith may be sanctioned.

PROPORTIONALITY

Limitation on category of employees entitled to report

Only business partners who have been or are currently in a business relationship with ABB are entitled to report. The business relation has to be specified in the reporting process.

Limitation on category of persons to be reported

The business partner can report an allegation only on people directly involved in his business relation. A report made against an ABB employee who is not involved in a business relation with the business partner will not be regularly processed by ABB unless the vital interests or integrity of an ABB employee and/or the reputation of an ABB company is at stake.



IDENTITY OF THE REPORTER

ABB encourages reporters to identify themselves when making their report.

PROCESS FOR HANDLING CALLS:

- The ABB Stakeholder Hotline number has been created and made available to ABB business partners only.
- The phone call is charged at normal international rates.
- The service is available 24/7.
- Reports can be submitted in English only.
- When a call is made to the ABB Stakeholder Hotline the reporter will be connected with a Communications Specialist. The Communication Specialist is employed by Global Compliance Services Inc., who is ABB's outsourced service provider of the Hotline.
- Global Compliance Services Inc. is fully independent of ABB.
- The Communications Specialist will note all information the reporter provides during the phone call, and may also ask some questions in order to complete the reported information.
- All calls made to the ABB Stakeholder Hotline will be allocated a specific Identification number, and the reporter will be requested to call back in 7 days so that s/he can obtain some feedback about their report.

The ABB Stakeholder hotline number, which is an existing Swiss phone number is re-routed to the United States where the independent third party (Global Compliance Services Inc.) receives the call and gathers specific data from the reporter including contact details, relationship details, allegation, facts etc. The information is gathered into a written report and not voice-recorded. The report is then saved in the Global Compliance Services Inc. case management system as a formal report where only the ABB Group Integrity Office can access the information.

REPORTING VIA WEB-PORTAL

The business partner can find the ABB Stakeholder reporting process information on the ABB external website (www.abb.com/ethics). The website provides a detailed explanation of the reporting process and any restrictions on the process also.

The reporter chooses the appropriate country in which they are reporting from and manually answers the following questions:

- Contact details
- Classification of the issue/allegation
- Identify Business Relationship with ABB
- Location of incident
- ABB employees involved
- Incident details
- Attachments
- Country where reporter is located



The reporter will be contacted directly either via e-mail or by telephone by the ABB Integrity Office to confirm receipt of their report.

PROCESSING OF ANONYMOUS REPORTS

If the reporter decided to make a report using a fictitious identity, the report will nevertheless be transmitted for review to the Group Integrity Office. The Group Integrity Office will assess the information and make a determination if there is sufficient information or evidence to justify further inquiry into the allegations on the basis that the report is legitimately made. Reports that are unclear or provide insufficient information or that may unfairly incriminate the subject will not be investigated further.

LIMITED DATA RETENTION

If a report is not substantiated and there is insufficient information to justify further investigation into the matter, the report will be closed and the information that identifies people involved will be permanently deleted as soon as possible.

If the report is substantiated, the data is only used to investigate the reported allegation and, as soon as the investigation can be finalized, ABB will generally delete the personal information in accordance with applicable law.

SECURITY OF PROCESSING OPERATIONS

The contract between ABB and Global Compliance Services Inc. as the service provider contains the obligation to take all reasonably applicable measures to guarantee the confidentiality of the information processed.

INTERNATIONAL DATA TRANSFER

The information contained in the report to ABB may be transferred to one of ABB's companies outside the country of the reporter's domicile. By registering an ABB Stakeholder report, the reporter agrees that ABB may distribute the data within ABB Group companies or entities as well as involved third parties worldwide where they might have lower level of Data Privacy than the country where the employee is reporting from. Even if the country to which the data is to be transferred does not require ABB to provide adequate protection for the data, ABB will nonetheless seek to ensure that data transfers in that country are adequately protected.

Safe Harbor

Global Compliance Services Inc. is Safe Harbor certified.