

Whistleblowing system – Reporting Misconduct

Caterpillar has established communication channels to support compliance and to enable the reporting of suspected unlawful or unethical conduct. Through these channels, employees, shareholders and other individuals working with or for Caterpillar (e.g., contractors, suppliers, customers, interns or applicants) may report violations of applicable laws, [Caterpillar's Code of Conduct](#), internal policies and procedures, or other misconduct.

Whistleblowers submitting reports concerning violations of applicable law under *Act No. 54/2019 Coll. on the Protection of Whistleblowers and on Amendments to Certain Acts* (the “Act”) will be afforded protection to the extent provided by the Act.

All reports will be thoroughly assessed and investigated (including anonymous reports), while ensuring confidentiality and protection of the whistleblower’s identity. Any identified violations will be addressed in accordance with applicable legal requirements, taking into account the nature of the breach. Where a whistleblower chooses to remain anonymous, or where anonymity is required by law, such anonymity will be preserved. Please note, however, that if no contact details (e.g., email address or telephone number) are provided, we may not be able to contact you during the investigation process to request additional information or inform you of the outcome.

- A report may be submitted to Caterpillar Slovakia, s. r. o. through the following channels:
 - in writing to the registered office of the Company (Zbrojničná č. 6, 040 01 Košice) marked as “confidential”
 - by e-mail to the responsible person for whistleblowing matters at Caterpillar Slovakia: whistleblowingSK@cat.com

- A report may also be submitted to the parent company, Caterpillar Inc., through the following channels:
 - Online reporting (may be submitted anonymously):
<https://caterpillar.ethicspoint.com>
 - Call Collect Helpline: +1-770-582-5275 (language translation available)
 - International Toll-free OBP Helpline Numbers: available at [Caterpillar | Code of Conduct | Office of Business Practices](#). Callers need to first dial the number required for an external line. You may remain anonymous where permitted by applicable local law.
 - E-mail: BusinessPractices@cat.com

- Mail: 100 N.E. Adams Street, Peoria, IL 61629-6485, USA
- A report may also be submitted to a public authority competent to receive such reports, including:
 - The Office for the Protection of Whistleblowers (<https://www.oznamovatelia.sk/>)
 - The Public Prosecutor's Office or the competent law enforcement authority
 - The administrative authority competent to handle administrative offences constituting serious wrongdoing (*závažná protipoloženská činnosť*) within the meaning of the Act
 - Relevant institutions, bodies, offices or agencies of the European Union

To enable proper assessment of a report, whistleblowers are encouraged, where possible, to provide the following information in their report:

- a detailed description of the conduct, including all known material facts
- information on how the whistleblower became aware of the reported facts
- whether there are any witnesses or other persons involved (identify them where possible)
- whether the whistleblower has any supporting documents or evidence (please attach)
- whether the matter has already been discussed with anyone and, if so, with whom
- the identity and contact details of the whistleblower – if the report is submitted anonymously, such details are not provided

Retaliation or any form of adverse action against whistleblowers is strictly prohibited. No individual shall be subject to retaliation, discrimination, or disciplinary action for reporting in good faith or on the basis of a reasonable belief, or for refusing to participate in unlawful or unethical conduct.

Further information on the whistleblowing system is available at: [Caterpillar | Code of Conduct | Office of Business Practices](#)

[Information on the Protection and Processing of Personal Data – Whistleblowing](#)