



ETHICS AND COMPLIANCE REPORTING FORM

Otis provides various reporting channels for employees and third parties to raise concerns or issues or to report actual or suspected wrongdoing. This form may be used to facilitate a confidential communication.

Required Information:

The following information is needed in order to direct your submission to the appropriate responding manager.

Company Name: _____
 Work Town: _____
 Work County: _____
 Work Country/Territory: _____
 Date: _____

Tick this box if you are not an employee of Otis.

Warning: Do not include any technical data that may be regulated by any country or territory export controls regulations with your submission.

Please state your concerns, issues or reporting statement here:

(Attach additional pages if needed)

Optional Information:

If you would like a response to this submission, please provide the contact information for the manner which you would like to be contacted. In order to protect your identity, responses are not posted to your work location.

Name:	<input type="text"/>
Home Address:	<input type="text"/>
Home Town:	<input type="text"/>
Home County:	<input type="text"/>
Country/Territory:	<input type="text"/>
Postcode:	<input type="text"/>
Home Telephone:	<input type="text"/>
Mobile Phone:	<input type="text"/>
Email:	<input type="text"/>

Mail/Post to:
 Otis
 World Headquarters Office
 1 Carrier Place
 Farmington, CT 06034
 United States of America
 Attn: Global Ethics & Compliance

Form: Paper
Reporting 01/20



BASIC INFORMATION ABOUT REPORTING CHANNELS

Underlying Otis' commitment to its **Absolutes – Ethics, Safety and Quality** – is the fundamental commitment by all employees to do the right thing and to know when to ask questions or to raise a concern. If an employee is not sure of the appropriate course of action, there are resources in place to help. Concerns can be raised directly to a supervisor, a manager, an Ethics & Compliance Officer or to a member of the Legal or Human Resources department.

Employees should feel comfortable in raising a concern and are responsible for reporting actual or suspected violations or wrongdoing. Otis prohibits retaliation against anyone who in good faith reports or participates in an investigation of suspected wrongdoing. Otis ensures that those who raise a concern or report suspected or actual wrongdoing can do so without fear of retaliation.

Otis believes in an open and honest workplace where employees are empowered to voice concerns. However, there may be situations where an individual wishes to raise a concern or make a report anonymously. There are communication channels in place to meet those needs:

Submit this form

- This form is an alternative means of communicating business-related or ethics and compliance issues to Otis Ethics & Compliance and Otis management (except those subject to the provisions of a collective bargaining agreement or those restricted by applicable law). You have the option of remaining anonymous by not disclosing your name.
- Submit this form in your choice of language to the address on the reverse side of this form. An outside service may be retained to obtain translations as necessary.
- Otis Global Ethics & Compliance will review this form and will explore your concerns and investigate as appropriate. A response will be provided to you based on the contact information you have provided.

Submit electronically

As an alternative to using this form, you may submit a concern or report an issue anonymously electronically by clicking here. Specific instructions for submitting are provided on the website. The website is hosted outside of Otis by an external provider and transmissions to and from the website are encrypted and secure. Concern raised by this communication channel will be referred to the Otis Ethics & Compliance organisation to explore and investigate as appropriate. A response will be recorded in the encrypted website for your retrieval.

Submit via hotline

Should you wish to report a concern by telephone, you may do so by calling a hotline specifically for this purpose. An outside service has representatives available 24 hours a day, 7 days a week. Interpreters will be made available if necessary. You can call the freephone number **1-833-833-3001** within the United States, Canada and Puerto Rico. When calling from outside those areas, you must first dial the pertinent AT&T Direct access code found here. The Hotline representative will refer your concern to the Otis Ethics & Compliance organisation to explore and investigate as appropriate.

Privacy notice

Otis respects the privacy of the personal information that you may provide in the course of submitting this form. Unless local law requires that you identify yourself, all personal information you provide is entirely voluntary. If you must identify yourself, the only information that you will be required to provide is your name. Depending on the nature of your concern or enquiry, we may also request additional personal information it will be your choice whether to provide such additional information. But understand that it may impair our ability to respond to your concern.

The personal information that you provide will only be used: (1) to resolve your enquiry; (2) for statistical and reporting purposes after all identifying information is removed and in an aggregate form; (3) in the case of the sale or transfer of some or all of the assets of Otis, to transition to a new owner; and (4) as may be required by law. You may request an opportunity to review employee personal information maintained in this system to correct, amend or delete information that is demonstrated to be inaccurate or incomplete, unless prohibited by applicable law. Personal information may be used and shared among Otis entities, subsidiaries and affiliates, applicable government organisations and agencies, and service providers as permitted or required by law, regulation or court order. Otis obtains contractual assurances from its service providers that they will safeguard employee personal information consistently with this notice. We will not sell your personal information.

We recognise the legal rights granted in certain jurisdictions (including the EU and California) which are noted in the general Otis Privacy Notice available for review on our website.

For employees, all communications with the Ethics & Compliance organisation, including this form, are subject to the Employee Privacy Notice available here. Any questions or concerns regarding this Notice and its application should be directed to Otis Global Ethics & Compliance at ethics@otis.com can be raised anonymously if you prefer by calling the freephone number 1-833-833-3001. Our privacy team can be reached at privacy@otis.com – but you should know that this is not an anonymous channel. If you are calling from outside the United States, Canada or Puerto Rico, you will need to first dial the AT&T Direct Access number to the United States and then dialling the listed 1-800 number. AT&T Direct Access numbers can be found [here](#).