

**SCOPE**

This is Pentair’s Notice in compliance with the European Union Whistleblowing Directive, and applies only to employees and other persons in the European Union.

**PURPOSE**

Pentair’s Reporting Helpline is provided by Pentair plc (hereafter referred to together with its subsidiaries as “**Pentair**”). It allows you to report certain possible misconduct, irregularities or other noncompliance connected to Pentair and its business practices and processes (as described below) through an [online website](#), via telephone, via email to [ethics@pentair.com](mailto:ethics@pentair.com), and when so provided by applicable law, an in-person meeting (collectively referred to as the “**Helpline**”).

The website through which you can report your concern is operated by SAI360, established at 205 West Wacker Drive, Suite 1800 Chicago, IL 60606, USA (“**SAI360**”), Pentair’s independent service provider for this website. The telephone helpline through which you can report your concern is operated by Ethico, established at 8615 Cliff Cameron Drive, Charlotte NC 28269 USA (“**Ethico**”), Pentair’s independent service provider for the telephone helpline. (These two service providers are hereafter collectively referred to in this Notice as “**Helpline Service Providers**”.)

This Notice sets out the rights that apply to individuals (i.e., whistleblowers) who use the Helpline to report their concerns. The Notice also provides more information about how the Helpline works, including when and how it may be used. Rights and practices may vary per country in which Pentair operates to reflect local practices and legal requirements.

The use of the Helpline is voluntary. The Helpline is available 24 hours a day, 7 days a week, 365 days a year for you to ask questions, or report compliance-related concerns.

**What Concerns May be Reported Through the Helpline**

The scope of reportable concerns varies per country:

- The Helpline may be used globally for reporting important concerns about Pentair’s various business practices and procedures, such as issues relating to accounting, accounting controls, auditing, and corrupt practices, or any other violation of our Code of Conduct.
- When EU law applies, the Helpline may also be used to report concerns about certain violations of EU law, including issues about public procurement, financial services, products and markets, prevention of money laundering and terrorist financing, product safety, transport safety, public health, protection of the environment, consumer protection affecting the financial interest of the EU or relating to the internal market (e.g., competition and State aid rules), radiation protection

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and nuclear safety, food safety, animal health and welfare, and protection of privacy, data protection and data security.

- In addition to the issues listed above, and subject to each applicable EU Member State law where Pentair has its offices, you may be entitled to make reports on other matters; please see Schedule 1 of this Notice ([“Scope of reportable concerns in EU Member States”](#)).

You may choose to provide the information on an anonymous basis, and any information submitted will be handled in a confidential manner. We do encourage you to identify yourself as this will benefit our investigation and resolution of your concern. Pentair will accept anonymous reports to the extent permitted by applicable law.

### **Collection of Information**

Pentair normally collects the following information through the Helpline: your name, title and contact details; the name and other information about individuals that are named in your report; your relationship to Pentair; a description of the conduct at issue in your report including the date and location, as well as other pertinent information for the investigation at hand; and any questions you may have. Pentair may also collect information from other sources (such as your colleagues and publicly available sources) during any subsequent investigation.

The information provided by you will be treated with appropriate levels of confidentiality.

Pentair may use the information mentioned above because we have to either comply with a legal obligation or because we have a legitimate interest to investigate the report that you submitted to us.

### **Processing Information and Access to Information**

When you call into the telephone helpline, a representative from Ethico will answer your telephone call. Ethico does not capture the telephone number of any incoming calls unless you choose to share that information, so your call-in information can remain anonymous. Ethico also does not record the calls. You will speak with a Helpline Operator who will ask you for several items of information, document your input, and ask follow-up questions to clarify information. Please note that the Helpline Operator is not able to answer any questions about our ethics or applicable laws or policies and cannot advise you on any course of action. Similar steps are taken if a report is made through the online website or via email to [ethics@pentair.com](mailto:ethics@pentair.com).

When so provided by applicable law, you can ask for a physical meeting to report your concern by contacting [ethics@pentair.com](mailto:ethics@pentair.com).

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After the initial report or inquiry is made, a detailed record is prepared and sent by SAI360 directly to the Office of Business Conduct & Ethics who are trained Pentair personnel responsible for administering and investigating the report or inquiry. Depending on the nature of the matter, the Office of Business Conduct & Ethics may communicate the report and related documentation to appropriate personnel at Pentair who may need to be informed, such as representatives of Human Resources (“HR”), Legal, Internal Audit, Compliance or Finance, for further investigation and resolution.

We might need additional information and clarification from you as the investigation progresses, in which case we will contact you again. Where we consider it necessary, the Office of Business Conduct & Ethics also may notify members of HR or Pentair’s leaders of investigation findings, for purposes of determining any disciplinary or other remedial action and for other compliance purposes. The information may also be shared with Pentair’s external advisers (such as lawyers and/or auditors) and competent authorities (such as regulators and/or police), as allowed or required by applicable law. When required by applicable law or when we deem it is appropriate for us to do so, we will inform you about the investigation’s progress and the actions taken following the outcome of the report within the timeframes prescribed by applicable laws.

When required under applicable law, Pentair aims to inform each person implicated in a report about the allegations against them within an appropriate time frame. Unless required by applicable law, we will not disclose your identity. When required under applicable law or when we deem it is appropriate, implicated individuals will have the right to react to the information reported by you.

Please note that the information you supply may result in decisions that affect employees of Pentair and other third parties involved in the relevant investigation. We therefore ask you to provide only information that you have reasonable grounds to believe is accurate. Knowingly providing inaccurate or misleading information may result in disciplinary actions or even civil or criminal liability against you. Also, where possible, any report should be limited to facts that are relevant to the report and the follow-up investigation.

Retaliation against any Pentair employee or anyone who seeks advice, raises a concern, or reports misconduct in good faith is strictly prohibited. If anyone retaliates against an employee or individual who has made a report in good faith, Pentair will take appropriate action — even if it later turns out that the employee or individual made the report in good faith but was mistaken as to the facts. If you think that you, or anybody else involved, have been retaliated against for raising a concern, you should contact the Chief Compliance Officer at [OBCE@pentair.com](mailto:OBCE@pentair.com).

**Information Use, Cross-Border Transfers, Retention**

Pentair has contracted with the Helpline Service Providers to protect the confidentiality and security of your personal information, and the Helpline Service Providers are only permitted to use your personal information for purposes indicated herein. Information we receive from the Helpline Service Providers

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and any personal information that you provide to us will be stored in a Pentair owned or controlled database with limited access.

Beyond the Helpline Service Providers, other transfers of personal information may take place to countries that have different data protection rules than are found in the country where you work or are from, including to other Pentair affiliates or vendors, as required to investigate the report and administer the Helpline. A list of Pentair subsidiaries is included in Pentair’s most recent annual report, which is available at [Pentair Entities](#).

Note that some non-European Economic Area (“**EEA**”) countries are recognized by the European Commission and the UK government as providing an adequate level of protection according to EEA standards; the full list of these countries is available [here](#) for the EEA and [here](#) for the UK.

For transfers from the EEA or UK to countries not considered adequate by the European Commission or the UK government, respectively, we have put in place adequate measures, such as standard contractual clauses to protect your information. You may obtain a copy of these measures by contacting us at [privacy@pentair.com](mailto:privacy@pentair.com).

Information relating to a report made via the Helpline will be archived or deleted based on the following criteria: when the investigation has been closed and no further action is needed; when the time period for any relevant litigation has lapsed; and when our obligations for record keeping relating to investigations have lapsed.

### **Questions & Complaints**

If you have any questions or concerns about the Helpline or Pentair’s compliance program, please contact us at [Ethics@Pentair.com](mailto:Ethics@Pentair.com). Note that you may also have the right to report your concerns about violations of EU laws externally to competent authorities of EU Member States, when EU law applies to your report. You have this right (1) if this Helpline does not function properly, (2) if your report was not dealt with diligently or within a reasonable timeframe, or (3) if no appropriate action was taken to address your concerns despite the results of the related internal enquiry confirming the existence of a violation of an EU law. We do encourage you to first contact the Chief Compliance Officer at [OBCE@pentair.com](mailto:OBCE@pentair.com) who will ensure any such complaints are addressed and who will try to independently resolve your concerns about the effectiveness of the Helpline and subsequent investigation.

For more information on how Pentair processes personal information please see the Pentair privacy notice that applies to you (i.e., the privacy notice that was previously provided to you). If you use our services, transact business with us or access our websites, please see the Pentair [Privacy Notice](#). If you are a Pentair employee, please see the Global Employee Notice on myPentair. If you are a job applicant,

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please see the [Applicant Privacy Notice](#). If you are uncertain which privacy policy applies to you, please contact [privacy@pentair.com](mailto:privacy@pentair.com) for clarifications.

If you would like to request to access, correct, update, suppress, restrict, delete personal information, or object to the processing of personal information (to the extent these rights are provided to you by applicable law), you may contact us at [privacy@pentair.com](mailto:privacy@pentair.com). We will respond to your request consistent with applicable law.

Where required by law, we have appointed a data protection officer. You can contact our data protection officer for our German entities at:

TÜV NORD Group  
IT Security, Business Security & Privacy  
Am TÜV 1  
45307 Essen  
Germany  
Phone: +49 (0)201-8999-899  
E-Mail: [privacyguard@tuvit.de](mailto:privacyguard@tuvit.de)

Subject to applicable law, you may also lodge a complaint with a data protection authority where you have your habitual residence or place of work or where an alleged infringement of applicable data protection law occurs (see [here](#) for the list of EEA authorities and [here](#) for the UK Information Commissioner's Office's contact details).

### Changes

We will update this notice from time to time. Any changes will be posted on this page with an updated revision date.

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**Schedule 1  
Scope of reportable concerns in EU Member States**

This table sets out the scope of reportable concerns in EU Member States in addition to the matters set out in the EU Whistleblowing Directive ((EU) 2019/1937).

<b>Country</b>	<b>Scope of reportable concerns</b>
<b>1. Belgium</b>	The scope permits reporters to report tax and social fraud (social fraud can encompass undue receipt of benefits and other infringements of social legislation in Belgium by individuals and organizations).
<b>2. Denmark</b>	The scope is extended to matters which otherwise relate to serious offenses or other serious matters; and actions or omissions that make it possible to circumvent the purpose of the provisions of the Danish Whistleblowers Protection Act.
<b>3. Germany</b>	The scope is extended to all violations which are punishable by law in Germany, as well as violations that are subject to fines, insofar as the violated regulation serves to protect (i) the life, limb, or health of individuals; or (ii) the rights of employees or their representatives.
<b>4. Italy</b>	The scope is extended to: <ul style="list-style-type: none"><li>• Administrative, accounting, civil and criminal offenses;</li><li>• Unlawful conduct set out in Decree 231/2001; and</li><li>• Acts or conduct that undermine the object or purpose of the matters within the scope of the EU Whistleblowing Directive.</li></ul>
<b>5. The Netherlands</b>	The scope is extended to acts or omissions having an impact on the public interest, such as violations or potential violations of internal rules established by an employer, or a danger to public health, to the safety of persons, to the environment, or to the proper functioning of the public service or of an organization.

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