

# Agile into the Future

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**Annual Financial Statements**  
as of December 31, 2021  
(according to German Commercial Code “HGB”)  
Pfeiffer Vacuum Technology AG

# 2021



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**I. Pfeiffer Vacuum Technology AG, Asslar**  
**Balance Sheet as of December 31, 2021**

<b>Assets</b>	<b>€</b>	<b>€</b>	<b>Dec.31, 2020</b>
			<b>€</b>
<b>A. Fixed assets</b>			
<b>I. Intangible assets</b>			
1. Purchased franchises, industrial and similar rights and assets, and licenses in such rights and assets	1,618,412.00		440,014.00
2. Software (before implementation)	<u>10,484,709.61</u>		<u>8,894,221.86</u>
		12,103,121.61	9,334,235.86
<b>II. Property, plant and equipment</b>			
1. Land, land rights and buildings, including buildings on third-party land	8,288,272.40		9,170,419.40
2. Other equipment, furniture and fixtures	915,475.00		486,579.00
3. Prepayments and assets under construction	<u>79,300.00</u>		<u>594,103.50</u>
		9,283,047.40	10,251,101.90
<b>III. Financial assets</b>			
1. Shares in affiliates	224,009,480.03		224,009,480.03
2. Loans to affiliates	<u>9,550,000.00</u>		<u>12,550,000.00</u>
		233,559,480.03	236,559,480.03
		254,945,649.04	256,144,817.79
<b>B. Current assets</b>			
<b>I. Receivables and other assets</b>			
1. Trade accounts receivable	0,00		77,947.36
2. Receivables from affiliates	66,939,807.22		63,222,152.40
3. Other assets	<u>5,618,642.85</u>		<u>7,262,077.01</u>
		72,558,450.07	70,562,176.77
<b>II. Cash and cash equivalents</b>		<u>18,336,853.64</u>	<u>23,095,896.43</u>
		90,895,303.71	93,658,073.20
<b>C. Prepaid expenses</b>		<u>1,224,764.87</u>	<u>326,344.53</u>
		<u>347,065,717.62</u>	<u>350,129,235.52</u>

**I. Pfeiffer Vacuum Technology AG, Asslar**  
**Balance Sheet as of December 31, 2021**

Shareholders' equity and liabilities	€	€	Dec. 31, 2020 €
<b>A. Equity</b>			
<b>I. Share capital</b> (contingent capital € 6,315,299.84)	25,261,207.04		25,261,207.04
<b>II. Additional paid-in capital</b>	99,676,621.19		99,676,621.19
<b>III. Retained earnings</b> thereof profit brought forward € 128,245,109.41 (prior year: € 125,734,869.73)	180,459,837.58		144,033,363.81
		305,397,665.81	268,971,192.04
<b>B. Provisions</b>			
1. Provisions for pensions	6,240,700.14		5,720,719.75
2. Tax provisions	1,871,015.49		0,00
3. Other provisions	3,995,278.40		4,657,205.99
		12,106,994.03	10,377,925.74
<b>C. Liabilities</b>			
1. Liabilities to banks	5,000,000.00		60,000,000.00
2. Trade accounts payable	740,663.91		539,978.21
3. Liabilities to affiliates	23,194,003.06		10,184,504.89
4. Other liabilities thereof for taxes € 59,961.13 (prior year: € 54,682.20)	59,961.13		55,634.64
		28,994,628.10	70,780,117.74
<b>D. Deferred Income</b>		566,429.68	0.00
		<u>347,065,717.62</u>	<u>350,129,235.52</u>

**II. Pfeiffer Vacuum Technology AG, Asslar**  
**Income statement for fiscal year 2021**

	€	€	2020 €
1. Sales revenues	13,286,266.16		9,032,325.66
2. Income from profit and loss transfer agreement	51,741,130.67		27,701,741.84
3. Income from equity investments			
thereof from affiliates	16,268,115.95		3,718,961.72
€ 16,268,115.95 (prior year: € 3,718,961.72)			
4. Other operating income	101,277.19		227,459.29
		81,396,789.97	40,680,488.51
5. Cost of purchased materials and services		8,465,783.88	6,066,377.66
6. Personnel expenses			
a) Wages and salaries	2,234,230.21		1,988,764.22
b) Social security, pension and other benefit costs	778,063.99		1,077,932.95
thereof for old-age pensions			
€ 154,733.04 (prior year: € 510,408.01)			
		3,012,294.20	3,066,697.17
7. Amortization and depreciation of intangible assets and property, plant and equipment		1,511,410.63	1,554,904.54
8. Other operating expenses		10,261,562.68	8,650,549.37
9. Income from loans of financial assets	374,055.55		406,215.28
thereof from affiliates			
€ 374,055.55 (prior year: € 406,215.28)			
10. Other interest and similar income	153,888.00		130,884.72
thereof from affiliates			
€ 151,068.00 (prior year: € 121,542.72)			
11. Interest and similar expenses	637,133.68		1,199,894.97
		-109,190.13	-662,794.97
12. Income taxes	12,007,791.41		6,185,064.83
13. Taxes passed on to affiliates	6,800,000.00		4,000,000.00
		5,207,791.41	2,185,064.83
14. Income after income taxes		52,828,757.04	18,494,099.97
15. Other taxes		614,028.87	195,605.89
16. Net income		52,214,728.17	18,298,494.08
17. Profit brought forward from the previous year		128,245,109.41	125,734,869.73
18. Retained earnings		180,459,837.58	144,033,363.81

### **III. Notes to the Annual Financial Statements for Fiscal Year 2021**

#### **Pfeiffer Vacuum Technology AG, Asslar**

Pfeiffer Vacuum Technology AG, domiciled in Asslar, is a stock corporation organized under German law and recorded in the Register of Companies at the Local Court of Wetzlar under Number HRB 44.

The present Annual Financial Statements were prepared in accordance with §§ 242 et seq. and §§ 264 et seq. of the German Commercial Code ("HGB") and in accordance with the relevant provisions of the German Stock Corporation Act ("AktG") and the supplementary provisions of the Articles of Association. The rules for large corporations are applicable. The income statement has been prepared using the total expenditure format.

Information that must be disclosed in the balance sheets or the income statement, or alternatively in the notes to the financial statements, is set out in its entirety in the notes to the financial statements.

#### **1. Accounting and valuation methods**

The following accounting and valuation methods, which remained essentially unchanged, were used for the preparation of the Annual Financial Statements.

##### **1.1 Fixed assets**

Property, plant and equipment and purchased intangible assets are valued at acquisition cost and, if depreciable, taking scheduled depreciation/amortization into account. They are depreciated/amortized on a straight-line basis over their expected useful lives.

Prepayments and software (before implementation) are accounted for at their nominal value.

Financial assets in the form of equity interests are generally stated at cost of acquisition. Loans are accounted for at their nominal value.

Unscheduled depreciation/amortization is deducted in non-current assets in the event of expected permanent impairment losses and in financial assets additionally in the event of temporary impairment losses. If the reason for impairment no longer applies, appropriate write-ups are made.

##### **1.2 Current assets**

Receivables and other assets are stated at their nominal values or at the lower attributable value on the balance sheet date.

Cash and cash equivalents include cash on hand and bank balances. They are stated at their nominal value.

##### **1.3 Prepaid expenses**

Prepaid expenses are payments before the balance sheet date deemed as expenses for a certain period of time after the balance sheet date. They are accounted for at their nominal value.

#### **1.4 Deferred tax assets**

Deferred tax assets result from temporary and quasi-permanent valuation differences between the accounting and tax valuation of pensions, property, plant and equipment and intangible assets. Deferred tax assets are generally calculated using a company-specific tax rate of 29.0%, but deferred tax assets are not capitalized as the available capitalization option is exercised.

#### **1.5 Equity**

Equity components are stated at their nominal value.

#### **1.6 Provisions and liabilities**

Provisions take account of all identifiable risks and uncertain obligations and are recognized in each case at the settlement amount that is reasonably necessary in accordance with prudent business judgment (including future cost and price increases).

The recognition of pension obligations is based on an actuarial report. Valuation is based on the projected unit credit method, taking into account expected future salary and pension increases as well as fluctuation rates. Discounting is performed in accordance with the average market interest rate published by the Deutsche Bundesbank in accordance with the German Regulation on the Discounting of Provisions from the last ten financial years for an assumed residual term of 15 years of 1.87% (previous year: 2.30%) and again using the 2018 G mortality tables published by Prof. Dr. Heubeck in 2018. As a result of the statutory netting obligation under commercial law with the plan assets valued at fair value (assets in Pfeiffer Vacuum Trust e.V., which are withdrawn from the recourse of all other creditors and which serve exclusively to meet pension obligations) only the net pension liability is shown in the balance sheet. In the income statement, the income from the plan assets and the expenses from the changed discounting of the pension obligation are shown on a net basis.

Liabilities are stated at their settlement amount.

#### **1.7 Deferred income**

Deferred income are all invoices before the balance sheet date deemed as income for a certain period of time after the balance sheet date. They are accounted for at their nominal value.

#### **1.8 Foreign currency translation**

Assets and liabilities denominated in foreign currencies were recorded with the average spot rate at the date they incurred and were generally revalued with the period-end average spot rate as of the balance sheet date. For remaining terms of more than one year, the realization principle (§ 252 Sub-Para. 1 No. 4, half-sentence 2, German Commercial Code ("HGB")) and the acquisition cost principle (§ 253 Sub-Para. 1 sentence 1, German Commercial Code ("HGB")) were applied.



## **2. Notes to the balance sheets**

### **2.1 Assets**

#### **2.1.1 Fixed assets**

The development of individual fixed asset items is shown in Appendix 1 to the Notes to the Annual Financial Statements.

#### **2.1.2 Shares in affiliates**

The direct and indirect shares in affiliated companies are shown in Appendix 2 to the Notes to the Annual Financial Statements. There were no changes during the year under review.

#### **2.1.3 Loans to affiliates**

The loans recorded in the balance sheet as of December 31, 2021 (K€ 9,550) related to various companies in the Pfeiffer Vacuum Group and have decreased by K€ 3,000 compared with the previous year (K€ 12,550) due to repayments.

#### **2.1.4 Special asset pension trust**

Since the application of the German Accounting Laws Modernization Acts ("BilMoG"), the assets in Pfeiffer Vacuum Trust e.V. are reported netted against the Company's pension obligations, as these assets are to be classified as plan assets. Accordingly, only a net pension liability is reported in the year under review. The valuation of pension assets is based on stock-market prices as of the balance sheet date.

#### **2.1.5 Receivables and other assets**

As of the balance sheet date, there were receivables from affiliated companies in the amount of K€ 66,940 (previous year: K€ 63,222). This amount mainly includes receivables from profit and loss transfer agreements from Pfeiffer Vacuum GmbH and receivables from trade tax passed on also to Pfeiffer Vacuum GmbH. Receivables from affiliated companies included no trade accounts receivable (previous year: K€ 78).

Other assets mainly include receivables from income tax refunds (K€ 1,922; previous year: K€ 6,170) and VAT refunds (K€ 3,640; previous year: K€ 1,056).

As in the previous year, there are no amounts with a remaining term of more than one year.

## **2.2 Shareholders' equity and liabilities**

### **2.2.1 Share capital**

The share capital of Pfeiffer Vacuum Technology AG remains unchanged at K€ 25,261 as of December 31, 2021. The shares are bearer shares and are divided into 9,867,659 no-par value shares. The calculated proportion of the share capital attributable to the individual shares is € 2.56.

### **2.2.2 Treasury shares**

At the Annual Shareholders Meeting on May 20, 2020, the shareholders authorized the Management Board to acquire treasury shares pursuant to § 71, Sub-Para. 1, No. 8, German Stock Corporation Act. This authorization allows the Company to acquire treasury shares representing up to € 2,526,120.70 of the capital stock (986,766 shares equal to 10% of capital stock at the time of the resolution), requires the consent of the Supervisory Board for execution, and is valid through May 19, 2025.

### **2.2.3 Authorized capital**

The Annual Shareholders Meeting on May 23, 2018, authorized the Management Board to increase the Company's share capital by € 12,630,602.24, or 4,933,829 shares, in consideration for contributions in cash and/or kind once or in partial amounts (authorized capital). This authorization is valid through May 23, 2023, and is subject to the consent of the Supervisory Board.

### **2.2.4 Contingent capital**

According to the resolution of the Annual Shareholders Meeting on May 23, 2019, the Management Board is authorized to issue fractional bonds with option or conversion rights or option or conversion obligations, profit participation rights or participating bonds (or combinations of these instruments) with an aggregate nominal value of up to € 200,000,000.00 and to grant the holders conversion rights for up to 2,466,914 no-par bearer shares of the Company having a pro-rata amount of up to € 6,315,299.84 of the share capital. This authorization is valid until May 22, 2024, and requires the consent of the Supervisory Board.

### **2.2.5 Additional paid-in capital**

The paid-in capital of K€ 99,677 as at December 31, 2021 is unchanged compared to the previous year.

### **2.2.6 Retained earnings**

In accordance with the resolution of the Annual General Meeting on May 12, 2021, a total of K€ 15,788 of retained earnings of the previous year amounting to K€ 144,033 was distributed. The remaining amount of K€ 128,245 was carried forward to new account. Taking into account the net income for the year in the amount of K€ 52,215, this resulted in retained earnings of K€ 180,460.

### **2.2.7 Provisions for pensions**

According to the mandatory netting of pension obligations with the corresponding plan assets required by BilMoG from 2010 onwards, net pension obligations of K€ 6,241 (previous year: K€ 5,721) are reported as of December 31, 2021. This item consists of the settlement amount of the pension obligations of K€ 14,007 and the fair market value of plan assets of K€ 7,766 (previous year: K€ 13,485 and K€ 7,764 respectively). The acquisition costs of the plan assets amount to K€ 7,868 (previous year: K€ 8,073). Since 2015, the provisions for pensions have included individual contractual commitments to former members of the Management Board, and additionally pension commitments to employees of the Company.

In the evaluation of pension obligations as of December 31, 2021, a discount rate of 1.87% (previous year: 2.30%), salary dynamics of unchanged 3.00%, a pension trend of unchanged 2.00% and a fluctuation rate of unchanged 3.00% were taken into account. Plan assets were measured on the basis of stock exchange or market prices determined at the end of the year.

The difference between the recognition of provisions in accordance with the corresponding average market interest rate from the past ten fiscal years and the recognition of provisions in accordance with the corresponding average market interest rate from the past seven fiscal years was determined in accordance with § 253 Sub-Para. 6 sentence 1, German Commercial Code ("HGB") and amounts to K€ 1,164 (previous year: K€ 1,544) as at the balance sheet date.

### **2.2.8 Other provisions**

Other provisions comprise K€ 2,736 for personnel expenses (previous year: K€ 3,027), K€ 874 for pending incoming invoices (previous year: K€ 1,309) and K€ 385 for year-end financial statement costs (previous year: K€ 321).

### **2.2.9 Liabilities**

The remaining terms of the liabilities and the collateral are shown in Appendix 3 to the Notes to the Annual Financial Statements.

The liabilities to banks reported as of December 31, 2021 totaling K€ 5,000 result from the financing of an acquisition in the USA in the year 2017 (previous year: K€ 60,000).

Liabilities to affiliated companies relate to Pfeiffer Vacuum SAS, Annecy, France, and result from a cash pooling agreement concluded in the year 2017. Open amounts are subject to interests at market rates.

Liabilities to affiliated companies include trade accounts receivable of K€ 51 (previous year: K€ 829).

## **2.3 Additional Notes and Supplemental Information to the Balance Sheet**

### **2.3.1 Commitments according to §§ 251, 268 Sub-Para. 7 German Commercial Code ("HGB")**

Pfeiffer Vacuum Technology AG is liable for guarantee loans of various subsidiaries in the amount of K€ 1,307 (previous year: K€ 1,482). Due to the good asset, financial and earnings situation of the subsidiaries, the risk of utilization of guarantee loans is considered to be low.

### **2.3.2 Commitments and other financial obligations**

The commitments/other financial obligations as of the balance sheet date amount to K€ 9,300 (previous year: K€ 2,800). The increase is mainly due to new IT service arrangements.

## **3. Notes to the Statements of Income**

The presentation of the income statement remains unchanged according to the total cost method. The structure of the income statement has been adapted to the special features of the Company in order to improve clarity.

### **3.1 Sales revenues**

Sales revenues mainly include rental income (K€ 2,161; previous year: K€ 2,161) and costs passed on to subsidiaries (K€ 11,701; previous year: K€ 6,748).

Sales revenues in the amount of K€ 5,681 (previous year: K€ 4,091) are attributable to costs passed on to subsidiaries not domiciled in Germany. All other sales revenues were generated in Germany.

### **3.2 Income from profit and loss transfer agreement**

Income from the profit and loss transfer agreement relates exclusively to Pfeiffer Vacuum GmbH, Asslar.

### **3.3 Other operating income**

In the current financial year, other operating income mainly comprises income from the dissolution of provisions (K€ 66; previous year: K€ 227). An amount of K€ 66 (previous year: K€ 227) of other operating income is attributable to other financial years. An amount of K€ 19 (previous year: K€ 0) of other operating income is attributable to foreign exchange translation gains.

### **3.4 Cost of purchased materials and services**

The cost of purchased materials and services includes third-party service costs (K€ 412; previous year: K€ 504) and insurance premiums (K€ 182; previous year: K€ 72). The cost of purchased materials and services additionally include passed on IT expenses from affiliates totaling K€ 5,588 (previous year: K€ 4,479).

### 3.5 Other operating expenses

Other operating expenses essentially comprise legal and consulting expenses (K€ 1,291; previous year: K€ 1,682), expenses for services by third parties (K€ 4,815; previous year: K€ 2,919), compensation for the Supervisory Board (K€ 454; previous year: K€ 315), travel expenses (K€ 63; previous year: K€ 34), contributions (K€ 63; previous year: K€ 109) and maintenance costs by third parties (K€ 1; previous year: K€ 17). The other operating expenses include no foreign exchange losses (previous year: K€ 21).

### 3.6 Other interest and similar income

The amount for the year 2020 included interests and other income of K€ 153, thereof K€ 121 from affiliates (previous year: K€ 131, thereof K€ 122 from affiliates).

### 3.7 Interest and similar expenses

In accordance with the legal requirements, expenses from discounting were offset against income from plan assets in the income statement. Having recorded expenses from discounting in the amount of K€ 306 (previous year: K€ 336) and net gains from plan assets of K€ 230 (previous year: net losses of K€ 291), a total amount of K€ 76 is included in the net interest expenses (previous year: K€ 627).

In addition, the interest expenses for bank loans (K€ 432, previous year: K€ 499) and other interest expenses (K€ 129, previous year: K€ 74) were recorded here.

### 3.8 Income taxes

Composition of Income Taxes (in K€)		
	2021	2020
Trade taxes	5,528	2,816
Corporate taxes	6,142	3,193
Solidarity surcharge	338	176
<b>Total</b>	<b>12,008</b>	<b>6,185</b>

A total of K€ 6,800 of this was passed on to Pfeiffer Vacuum GmbH (previous year: K€ 4,000). As a result of tax repayments for previous years the income tax expenses included income relating to other periods totaling K€ 26 (previous year: expenses relating to other periods of K€ 21).



## **4. Additional Notes and Supplemental Information**

### **4.1 Management Board**

In the 2021 fiscal year, the Management Board consisted of:

- Dr. Britta Giesen, Diploma in Industrial Engineering, (Chairwoman of the Management Board, from January 1, 2021), and
- Wolfgang Ehrk, Diploma in Industrial Engineering (Chief Operations Officer).

With effect from January 1, 2021, Dr. Britta Giesen assumed the CEO function upon the scheduled retirement of the previous CEO, Dr. Eric Taberlet, on December 31, 2020.

Remuneration of the members of the Management Board as recorded in the income statement amounted to K€ 1,241 (previous year: K€ 1,873). In addition, retirement benefits for Board Members totaling K€ 50 were recorded in 2021 (previous year: K€ 74). On December 31, 2021, unchanged compared to the previous year, there were no pension entitlements to be recorded under pension provisions for active members of the Board of Management.

The current pension payments to former members of the Management Board in 2021 totaled K€ 401 (previous year: K€ 371). After K€ 13,426 at the end of 2020, the provision set up for this group of persons amounts to K€ 13,825 as of December 31, 2021 (before offsetting against plan assets).

The members of the Management Board are members of supervisory organs of various group subsidiaries. Since May 11, 2021, Dr. Giesen is also a member of the Supervisory Board of Rheinmetall AG, Düsseldorf, Germany. The membership in the Supervisory Board of Neles Corporation, Vantaa, Finland, ended on March 26, 2021.

## 4.2 Supervisory Board

Pursuant to § 96, Sub-Para. 1, § 101, Sub-Para. 1, German Stock Corporation Act ("AktG"), § 4, German One-Third Participation Act ("DrittelbG") of 2004, and § 9, Sub-Para. 1, Articles of Association and Bylaws, the Supervisory Board comprises four members elected by the Annual General Meeting and two members elected by the Company's employees.

In 2021, all Supervisory Board members were elected on a regular basis. Accordingly, the composition of the Supervisory Board changed from the day of the Annual General Meeting on May 12, 2021 compared to the previous year.

Membership during the course of the year 2021 was therefore as follows:

- Ayla Busch (Chairwoman),  
Co-CEO of Busch SE, Maulburg
- Götz Timmerbeil (Vice Chairman),  
Certified Public Accountant and Tax Advisor
- Timo Birkenstock (Employee Representative),  
Development Engineer,  
since May 12, 2021
- Filippo Th. Beck,  
Attorney of Swiss law,  
until May 12, 2021
- Minja Lohrer,  
Director,  
since May 12, 2021
- Matthias Mädler (Employee Representative),  
Development Engineer  
until May 12, 2021
- Henrik Newerla,  
self-employed management consultant
- Stefan Röser (Employee Representative),  
Chairman of the Employee Council

The members of the Supervisory Board received a fixed remuneration of K€ 454 (previous year: K€ 315) in the period under review.

The following members exercised further mandates. These are supervisory board mandates unless otherwise indicated:

- Götz Timmerbeil:
  - Richard Stein GmbH & Co. KG, Engelskirchen, (Chairman of the Advisory Board),

The remaining members of the Supervisory Board belong solely to the Supervisory Board of Pfeiffer Vacuum Technology AG, Asslar.

## 4.3 Employees

In fiscal 2021, the Company employed an average of seven employees (previous year: five employees), thereof three female and four male employees (previous year: three females and two male employees).

#### **4.4 Profit appropriation proposal**

The Management Boards proposes that a dividend of K€ 40,260 be distributed from the retained earnings of K€ 180,460 and that the remaining amount be carried forward to new account. This would correspond to a distribution of € 4.08 per no-par share.

#### **4.5 Consolidated Financial Statements**

Pfeiffer Vacuum Technology AG prepares Consolidated Financial Statements for the smallest group of companies in accordance with International Financial Reporting Standards (IFRS) as adopted by the European Union. The subsidiaries of Pfeiffer Vacuum Technology AG as presented in Appendix 2 to the Notes are included in these financial statements. The Consolidated Financial Statements are published in the electronic Federal Gazette ("Bundesanzeiger").

Busch Holding GmbH & Co. KG, Maulburg, Germany, prepares Consolidated Financial Statements for the largest group of companies. The Consolidated Financial Statements of Pfeiffer Vacuum Technology AG are included in these Financial Statements. The Consolidated Financial Statements of Busch Holding GmbH & Co. KG are published in the electronic Federal Gazette ("Bundesanzeiger").

#### **4.6 Profit and loss transfer agreement between Pfeiffer Vacuum Technology AG and Pfeiffer Vacuum GmbH**

In August 2002, Pfeiffer Vacuum Technology AG concluded a profit and loss transfer agreement with Pfeiffer Vacuum GmbH (as subsidiary company). Pfeiffer Vacuum Technology AG recorded a profit transfer from Pfeiffer Vacuum GmbH of K€ 51,741 in the income statement for 2021 under income from profit and loss transfer agreements (previous year: K€ 27,702).

#### **4.7 Information on shareholdings**

The relevant information on shareholdings is given in Appendix 4 of the Notes to the Annual Financial Statements.

#### **4.8 Declaration pursuant to § 161 German Stock Corporation Act ("AktG"), German Corporate Governance Code**

On November 4, 2021, the Management and Supervisory Boards of Pfeiffer Vacuum Technology AG submitted the declaration of compliance for the year 2021 pursuant to § 161 of the German Stock Corporation Act ("AktG"). The declaration of compliance has been made permanently accessible to shareholders on the Corporation's website.

#### **4.9 Audit fees for independent auditor**

The audit fees billed by the auditor for the fiscal year pursuant to § 285 No. 17 of the German Commercial Code ("HGB") are detailed in the Notes to the Consolidated Financial Statements of Pfeiffer Vacuum Technology AG.

Significant other services rendered by the auditor for Pfeiffer Vacuum Technology AG related to other certification services in connection with the audit of the Group's non-financial declaration.

## **5. Subsequent Events**

Significant changes to the company situation or branch environment have not occurred since the beginning of the 2022 fiscal year.

Asslar, Germany, March 4, 2022

**Pfeiffer Vacuum Technology AG**

Management Board

Dr. Britta Giesen

Wolfgang Ehrk

**Fixed assets**

	Acquisition costs				Accumulated amortization and depreciation				Net book values			
	EURO				EURO				EURO			
	Balance as at Jan. 1, 2021	Additions	Reclassifications	Disposals	Balance as at Dec. 31, 2021	Balance as at Jan. 1, 2021	Additions	Reclassifications	Disposals	Balance as at Dec. 31, 2021	Net book value Dec. 31, 2021	Net book value Dec. 31, 2020
<b>Intangible assets</b>												
1. Purchased franchises, industrial and similar rights and assets, and licenses in such rights and assets	2,678,126.77	1,499,131.23	0.00	0.00	4,177,258.00	2,238,112.77	320,733.23	0.00	0.00	2,558,846.00	1,618,412.00	440,014.00
2. Software (before implementation)	8,894,221.86	1,590,487.75	0.00	0.00	10,484,709.61	0.00	0.00	0.00	0.00	0.00	10,484,709.61	8,894,221.86
<b>Intangible assets</b>	11,572,348.63	3,089,618.98	0.00	0.00	14,661,967.61	2,238,112.77	320,733.23	0.00	0.00	2,558,846.00	12,103,121.61	9,334,235.86
<b>Property, plant and equipment</b>												
1. Land, land rights and buildings, including buildings on third-party land	35,362,740.81	10,984.00	0.00	0.00	35,373,724.81	26,192,321.41	893,131.00	0.00	0.00	27,085,452.41	8,288,272.40	9,170,419.40
2. Other equipment, furniture and fixtures	2,313,381.43	751,085.78	0.00	-194,525.78	2,869,941.43	1,826,802.43	297,546.40	0.00	-169,882.40	1,954,466.43	915,475.00	486,579.00
3. Prepayments and assets under construction	594,103.50	0.00	0.00	-514,803.50	79,300.00	0.00	0.00	0.00	0.00	0.00	79,300.00	594,103.50
<b>Property, plant and equipment</b>	38,270,225.74	762,069.78	0.00	-709,329.28	38,322,966.24	28,019,123.84	1,190,677.40	0.00	-169,882.40	29,039,918.84	9,283,047.40	10,251,101.90
<b>Financial assets</b>												
1. Shares in affiliates	224,909,480.03	0.00	0.00	0.00	224,909,480.03	900,000.00	0.00	0.00	0.00	900,000.00	224,009,480.03	224,009,480.03
2. Loans to affiliates	12,550,000.00	0.00	0.00	-3,000,000.00	9,550,000.00	0.00	0.00	0.00	0.00	0.00	9,550,000.00	12,550,000.00
<b>Financial assets</b>	237,459,480.03	0.00	0.00	-3,000,000.00	234,459,480.03	900,000.00	0.00	0.00	0.00	900,000.00	233,559,480.03	236,559,480.03
<b>Total fixed assets</b>	287,302,054.40	3,851,688.76	0.00	-3,709,329.28	287,444,413.88	31,157,236.61	1,511,410.63	0.00	-169,882.40	32,498,764.84	254,945,649.04	256,144,817.79



## Shareholdings

Appendix 2 to the Notes

Directly held shares	Share capital	Total equity	Net income 2021	Share in %
Pfeiffer Vacuum SAS, France	K€ 9,424	K€ 102,961	K€ 17,246	100.0
Pfeiffer Vacuum Semi Korea Ltd., Republic of Korea	KKRW 29,273,100	KKRW 61,178,231	KKRW 18,323,719	100.0
Dreebit GmbH, Germany	K€ 26	K€ 2,498	K€ 420	100.0
Pfeiffer Vacuum GmbH, Germany	K€ 7,700	K€ 174,592 *	K€ 56,057 *	100.0
Pfeiffer Vacuum Holding B.V., Netherlands	K€ 454	K€ 5,970	K€ 1,022	100.0
Pfeiffer Vacuum Components & Solutions GmbH, Germany	K€ 451	K€ 16,507	K€ 2,389	100.0
Pfeiffer Vacuum Korea Ltd., Republic of Korea**	KKRW 0	KKRW 0	KKRW 1,745,879	0

Values based on International Financial Reporting Standards (IFRS)

\* Before profit and loss transfer

\*\* Merged into Pfeiffer Vacuum Semi Korea Ltd., South Korea, as of 31 December 2021

Appendix 2 to the Notes

## Shareholdings

Indirectly held shares	Share capital	Total equity	Net income 2020	Share in %
Pfeiffer Vacuum (Wuxi) Co., Ltd., China	KCNY 22,463	KCNY 22,463	KCNY 0	100.0
Pfeiffer Vacuum Romania S.r.l., Romania	KRON 15,750	KRON 30,125	KRON 5,336	100.0
Pfeiffer Vacuum Singapore Pte. Ltd., Singapore	KSGD 4,700	KSGD 20,805	KSGD 1,704	100.0
Pfeiffer Vacuum Taiwan Corporation Ltd., Taiwan	KNTD 77,000	KNTD 213,345	KNTD 65,472	100.0
Pfeiffer Vacuum Austria GmbH, Austria	K€ 146	K€ 3,375	K€ 2,895	100.0
Pfeiffer Vacuum Shared Services GmbH, Deutschland	K€ 50	K€ 50	K€ 0	100.0
Pfeiffer Vacuum Benelux B.V., Netherlands	K€ 18	K€ 5,586	K€ 1,161	100.0
Pfeiffer Vacuum Inc., USA	KUSD 23,550	KUSD 138,615	KUSD 5,771	100.0
Pfeiffer Vacuum (India) Private Ltd., India	KINR 10,056	KINR 246,393	KINR 64,321	100.0
Pfeiffer Vacuum Italia S.p.A., Italy	K€ 384	K€ 5,037	K€ 213	100.0
Pfeiffer Vacuum Korea Ltd., Republic of Korea *	KKRW 0	KKRW 0	KKRW 1,745,879	75.5
Pfeiffer Vacuum Ltd., Great Britain	KGBP 350	KGBP 4,634	KGBP 769	100.0
Nor-Cal Products Holdings, Inc., USA	KUSD 36,706	KUSD -6,038	KUSD -1,159	100.0
Nor-Cal Products Inc., USA	KUSD 63	KUSD 70,685	KUSD 1,273	100.0
Nor-Cal Products Viet Nam Co., Ltd., Vietnam	KVND 16,613,114	KVND 97,246,636	KVND 18,573,813	100.0
Nor-Cal Products Asia Pacific Pte. Ltd., Singapore	KUSD 20	KUSD 3,344	KUSD 1,272	100.0
Nor-Cal Products Korea Co. Ltd., Republic of Korea	KKRW 0	KKRW 3,874,145	KKRW 579,306	100.0
Pfeiffer Vacuum New Hampshire Realty Holdings, LLC, USA	KUSD 3,538	KUSD 11,120	KUSD -2	100.0
Pfeiffer Vacuum Indiana Realty Holdings, LLC, USA	KUSD 2,099	KUSD 2,209	KUSD 10	100.0
Pfeiffer Vacuum California Realty Holdings, LLC, USA	KUSD 4,018	KUSD 4,772	KUSD 11	100.0
Pfeiffer Vacuum Malaysia SDN. BHD., Malaysia	KMYR 8,173	KMYR 1,100	KMYR -1,228	100.0
Pfeiffer Vacuum (Xi'an) Co. Ltd., China	KCNY 25,900	KCNY 24,616	KCNY 7,471	100.0
Pfeiffer Vacuum Scandinavia AB, Sweden	KSEK 100	KSEK 27,777	KSEK 13,484	100.0
Pfeiffer Vacuum (Schweiz) AG, Switzerland	KCHF 500	KCHF 2,335	KCHF 818	100.0
Pfeiffer Vacuum (Shanghai) Co. Ltd., China	KCNY 35,389	KCNY 85,792	KCNY 13,445	100.0

Values based on International Financial Reporting Standards (IFRS)

\* Merged into Pfeiffer Vacuum Semi Korea Ltd., South Korea, as of 31 December 2021

## Schedule of liabilities in K€

Appendix 3 to the Notes

Type of liability	Total Dec. 31, 2021	Thereof with a remaining term of			Secured amounts	Type of collateral
		up to 1 year	1 to 5 years	over 5 years		
To banks						
	(prior year)	-	5,000	-	-	-
			(60,000)	(60,000)	-	-
From trade payables						
	(prior year)	741	-	-	-	-
		(540)	-	-	-	-
Liabilities to affiliates						
	(prior year)	23,194	-	-	-	-
		(10,185)	-	-	-	-
Other liabilities						
	(prior year)	60	-	-	-	-
		(56)	-	-	-	-
- thereof for taxes						
	(prior year)	60	-	-	-	-
		(55)	-	-	-	-

### Publication according to § 26 (1) of German Securities Trading Act ("WpHG")

No.	Corporation	Holding (%)	Date	Published by	Content of publication															
1	Allianz Global Investors GmbH, Frankfurt, Germany	2,94	Nov. 5, 2018	DGAP	<div><div><div>1. Details of issuer</div><div><div>Name:</div><div>Pfeiffer Vacuum Technology AG</div></div><div><div>Street:</div><div>Berliner Str. 43</div></div><div><div>Postal code:</div><div>35614</div></div><div><div>City:</div><div>Asslar Germany</div></div><div><div>Legal Entity Identifier (LEI):</div><div>8945004AW6QK8JHNQP69</div></div></div><div><div>2. Reason for notification</div><div><div><div>X</div>Acquisition/disposal of shares with voting rights</div><div>Acquisition/disposal of instruments</div><div>Change of breakdown of voting rights</div><div>Other reason:</div></div></div><div><div>3. Details of person subject to the notification obligation</div><div><div>Legal entity: Allianz Global Investors GmbH</div><div>City of registered office, country: Frankfurt am Main, Germany</div></div></div><div><div>4. Names of shareholder(s)</div><div>holding directly 3% or more voting rights, if different from 3.</div></div><div><div>5. Date on which threshold was crossed or reached:</div><div>01 Nov 2018</div></div><div><div>6. Total positions</div><table><thead><tr><th></th><th>% of voting rights attached to shares (total of 7.a.)</th><th>% of voting rights through instruments (total of 7.b.1 + 7.b.2)</th><th>Total of both in % (7.a. + 7.b.)</th><th>Total number of voting rights pursuant to Sec. 41 WpHG</th></tr></thead><tbody><tr><td>New</td><td>2.94 %</td><td>0.00 %</td><td>2.94 %</td><td>9567659</td></tr><tr><td>Previous notification</td><td>4.97 %</td><td>0.00 %</td><td>4.97 %</td><td>7</td></tr></tbody></table></div></div>		% of voting rights attached to shares (total of 7.a.)	% of voting rights through instruments (total of 7.b.1 + 7.b.2)	Total of both in % (7.a. + 7.b.)	Total number of voting rights pursuant to Sec. 41 WpHG	New	2.94 %	0.00 %	2.94 %	9567659	Previous notification	4.97 %	0.00 %	4.97 %	7
	% of voting rights attached to shares (total of 7.a.)	% of voting rights through instruments (total of 7.b.1 + 7.b.2)	Total of both in % (7.a. + 7.b.)	Total number of voting rights pursuant to Sec. 41 WpHG																
New	2.94 %	0.00 %	2.94 %	9567659																
Previous notification	4.97 %	0.00 %	4.97 %	7																

# Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication																																																																										
					<div>7. Details on total positions</div> <div>a. Voting rights attached to shares (Sec. 33, 34 WpHG)</div> <table><thead><tr><th rowspan="2">ISIN</th><th colspan="2">Absolute</th><th colspan="2">In %</th></tr><tr><th>Direct (Sec. 33 WpHG)</th><th>Indirect (Sec. 34 WpHG)</th><th>Direct (Sec. 33 WpHG)</th><th>Indirect (Sec. 34 WpHG)</th></tr></thead><tbody><tr><td>DE0006916604</td><td></td><td>290319</td><td></td><td></td></tr><tr><td>Total</td><td>290319</td><td></td><td>2.94 %</td><td></td></tr></tbody></table> <div>b.1. Instruments according to Sec. 38 (1) no. 1 WpHG</div> <table><thead><tr><th>Type of instrument</th><th>Expiration or maturity date</th><th>Exercise or conversion period</th><th>Voting rights absolute</th><th>Voting rights in %</th></tr></thead><tbody><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td>Total</td><td></td><td></td></tr></tbody></table> <div>b.2. Instruments according to Sec. 38 (1) no. 2 WpHG</div> <table><thead><tr><th>Type of instrument</th><th>Expiration or maturity date</th><th>Exercise or conversion period</th><th>Cash or physical settlement</th><th>Voting rights absolute</th><th>Voting rights in %</th></tr></thead><tbody><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td>Total</td><td></td><td></td></tr></tbody></table> <div>8. Information in relation to the person subject to the notification obligation</div> <div><input type="checkbox"/> Person subject to the notification obligation is not controlled nor does it control any other undertaking (s) that directly or indirectly hold(s) an interest in the (underlying) issuer (1.).</div> <div><input checked="" type="checkbox"/> Full chain of controlled undertakings starting with the ultimate controlling natural person or legal entity:</div> <table><thead><tr><th>Name</th><th>% of voting rights (if at least 3% or more)</th><th>% of voting rights through instruments (if at least 5% or more)</th><th>Total of both (if at least 5% or more)</th></tr></thead><tbody><tr><td>Allianz SE</td><td>%</td><td>%</td><td>%</td></tr><tr><td>Allianz Asset Management AG</td><td>%</td><td>%</td><td>%</td></tr><tr><td>Allianz Global Investors GmbH</td><td>%</td><td>%</td><td>%</td></tr></tbody></table> <div>9. In case of proxy voting according to Sec. 34 para. 3 WpHG</div> <div>(only in case of attribution of voting rights in accordance with Sec. 34 para. 1 sent. 1 No. 6 WpHG)</div> <div>Date of general meeting:</div> <div>Holding total positions after general meeting (6.) after annual general meeting:</div> <table><thead><tr><th>Proportion of voting rights</th><th>Proportion of instruments</th><th>Total of both</th></tr></thead><tbody><tr><td>%</td><td>%</td><td>%</td></tr></tbody></table> <div>10. Other explanatory remarks:</div>	ISIN	Absolute		In %		Direct (Sec. 33 WpHG)	Indirect (Sec. 34 WpHG)	Direct (Sec. 33 WpHG)	Indirect (Sec. 34 WpHG)	DE0006916604		290319			Total	290319		2.94 %		Type of instrument	Expiration or maturity date	Exercise or conversion period	Voting rights absolute	Voting rights in %								Total			Type of instrument	Expiration or maturity date	Exercise or conversion period	Cash or physical settlement	Voting rights absolute	Voting rights in %										Total			Name	% of voting rights (if at least 3% or more)	% of voting rights through instruments (if at least 5% or more)	Total of both (if at least 5% or more)	Allianz SE	%	%	%	Allianz Asset Management AG	%	%	%	Allianz Global Investors GmbH	%	%	%	Proportion of voting rights	Proportion of instruments	Total of both	%	%	%
ISIN	Absolute		In %																																																																												
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Proportion of voting rights	Proportion of instruments	Total of both																																																																													
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### Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication
2	Allianz Global Investors Kapitalanlagegesellschaft mbH, Frankfurt, Germany	2.99	Jan. 17, 2012	EANS	Allianz Global Investors Kapitalanlagegesellschaft mbH, Frankfurt am Main, Germany, notified Pfeiffer Vacuum pursuant to § 21 (1) of the German Securities Trading Act that its percentage of voting rights in our corporation fell below the threshold of 3% on January 12, 2012 and stood at 2.99% (equivalent to 295,977 votes) as of that date. 1.14 percentage points of these voting rights (equivalent to 112,554 votes) are attributable to Allianz Global Investors Kapitalanlagegesellschaft mbH, Frankfurt am Main, Germany, pursuant to § 22 (1) sentence 1, no. 6, German Securities Trading Act.
3	Ameriprise Financial Inc., Minneapolis, USA	2.53	April 9, 2015	DGAP	Ameriprise Financial Inc., Minneapolis, USA, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that its percentage of voting rights in our corporation fell below the threshold of 3% on March 30, 2015 and stood at 2.53% (equivalent to 249,588 votes) as of that date. These 2.53 percentage points are attributable to Ameriprise Financial Inc., Minneapolis, USA, pursuant to § 22 (1), sentence 1, no. 6, in conjunction with sentence 2, German Securities Trading Act.
4	BNP Paribas Investment Partners S.A., Paris, France	2.28	Nov. 24, 2014	DGAP	BNP Paribas Investment Partners S.A., Paris, France, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that its percentage of voting rights in our corporation fell below the threshold of 3% on November 21, 2014 and stood at 2.28% percent (equivalent to 225,116 votes) as of that date. These 2.28 percentage points (equivalent to 225,116 votes) are attributable to BNP Paribas Investment Partners S.A. pursuant to § 22 (1), sentence 1, no. 1, German Securities Trading Act, of which 1.84 percentage points (equivalent to 181,564 votes) are attributable to BNP Paribas Investment Partners S.A. pursuant to § 22 (1), sentence 1, no. 6, in conjunction with sentence 2, German Securities Trading Act.
5	BNP Paribas Investment Partners UK Ltd, London, Great Britain	2.97	Nov. 21, 2014	DGAP	Correction of a notification dated October 30, 2014 BNP Paribas Investment Partners UK Limited, London, GB, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that its percentage of voting rights in our corporation fell below the threshold of 3% on October 30, 2014 and stood at 2.97% (equivalent to 292,977 votes) as of that date. These 2.97 percentage points (equivalent to 292,977 votes) are attributable to BNP Paribas Investment Partners UK Limited, London, GB, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act.

### Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication
6	BNP Paribas Asset Management SAS, Paris, France	2.99	Nov. 21, 2014	DGAP	<p>Correction of a notification dated November 5, 2014 BNP Paribas Asset Management SAS, Paris, France, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that its percentage of voting rights in our corporation fell below the threshold of 3% on November 5, 2014 and stood at 2.99% (equivalent to 295,081 votes) as of that date.</p> <p>1.14 percentage points of these voting rights (equivalent to 112,712 votes) are attributable to BNP Paribas Asset Management SAS, Paris, France, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act.</p>

## Publication according to § 26 (1) of German Securities Trading Act ("WpHG")

No.	Corporation	Holding (%)	Date	Published by	Content of publication																																									
7	Dr.-Ing. Karl Busch, Ayan Busch, Ayla Busch, Sami Busch, Kaya Busch  and Busch GbR, Busch SE and Pangea GmbH, all in Maulburg, Germany	50,02	Nov 05, 2018	DGAP	<div><div>1. Details of issuer</div><table><tr><td>Name:</td><td>Pfeiffer Vacuum Technology AG</td></tr><tr><td>Street:</td><td>Berliner Str. 43</td></tr><tr><td>Postal code:</td><td>35614</td></tr><tr><td>City:</td><td>Asslar Germany</td></tr><tr><td>Legal Entity Identifier (LEI):</td><td>8945004AW6QK8JHNQP69</td></tr></table><div>2. Reason for notification</div><table><tr><td><input checked="" type="checkbox"/> Acquisition/disposal of shares with voting rights</td></tr><tr><td><input type="checkbox"/> Acquisition/disposal of instruments</td></tr><tr><td><input type="checkbox"/> Change of breakdown of voting rights</td></tr><tr><td><input type="checkbox"/> Other reason:</td></tr></table><div>3. Details of person subject to the notification obligation</div><table><tr><td>Natural person (first name, surname): Dr.-Ing. Karl Busch</td></tr><tr><td>Date of birth: 20 Apr 1929</td></tr><tr><td>Natural person (first name, surname): Aynhan Busch</td></tr><tr><td>Date of birth: 08 Jun 1934</td></tr><tr><td>Natural person (first name, surname): Ayla Busch</td></tr><tr><td>Date of birth: 07 Oct 1969</td></tr><tr><td>Natural person (first name, surname): Sami Busch</td></tr><tr><td>Date of birth: 13 Jun 1973</td></tr><tr><td>Natural person (first name, surname): Kaya Busch</td></tr><tr><td>Date of birth: 17 Dec 1974</td></tr></table><div>4. Names of shareholder(s) holding directly 3% or more voting rights, if different from 3.</div><table><tr><td>Pangea GmbH</td></tr></table><div>5. Date on which threshold was crossed or reached:</div><table><tr><td>02 Nov 2018</td></tr></table><div>6. Total positions</div><table><tr><th></th><th>% of voting rights attached to shares (total of 7.a.)</th><th>% of voting rights through instruments (total of 7.b.1 + 7.b.2)</th><th>Total of both in % (7.a. + 7.b.)</th><th>Total number of voting rights pursuant to Sec. 41 WpHG</th></tr><tr><td>New</td><td>50.02 %</td><td>0 %</td><td>50.02 %</td><td>9867659</td></tr><tr><td>Previous notification</td><td>30.53 %</td><td>0.17 %</td><td>30.70 %</td><td>7</td></tr></table></div>	Name:	Pfeiffer Vacuum Technology AG	Street:	Berliner Str. 43	Postal code:	35614	City:	Asslar Germany	Legal Entity Identifier (LEI):	8945004AW6QK8JHNQP69	<input checked="" type="checkbox"/> Acquisition/disposal of shares with voting rights	<input type="checkbox"/> Acquisition/disposal of instruments	<input type="checkbox"/> Change of breakdown of voting rights	<input type="checkbox"/> Other reason:	Natural person (first name, surname): Dr.-Ing. Karl Busch	Date of birth: 20 Apr 1929	Natural person (first name, surname): Aynhan Busch	Date of birth: 08 Jun 1934	Natural person (first name, surname): Ayla Busch	Date of birth: 07 Oct 1969	Natural person (first name, surname): Sami Busch	Date of birth: 13 Jun 1973	Natural person (first name, surname): Kaya Busch	Date of birth: 17 Dec 1974	Pangea GmbH	02 Nov 2018		% of voting rights attached to shares (total of 7.a.)	% of voting rights through instruments (total of 7.b.1 + 7.b.2)	Total of both in % (7.a. + 7.b.)	Total number of voting rights pursuant to Sec. 41 WpHG	New	50.02 %	0 %	50.02 %	9867659	Previous notification	30.53 %	0.17 %	30.70 %	7
Name:	Pfeiffer Vacuum Technology AG																																													
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# Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

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					<div>7. Details on total positions</div> <div>a. Voting rights attached to shares (Sec. 33, 34 WpHG)</div> <table><thead><tr><th rowspan="2">ISIN</th><th colspan="2">Absolute</th><th colspan="2">In %</th></tr><tr><th>Direct (Sec. 33 WpHG)</th><th>Indirect (Sec. 34 WpHG)</th><th>Direct (Sec. 33 WpHG)</th><th>Indirect (Sec. 34 WpHG)</th></tr></thead><tbody><tr><td>DE0006916604</td><td>0</td><td>4935402</td><td>0 %</td><td>50.02 %</td></tr><tr><td>Total</td><td>4935402</td><td></td><td>50.02 %</td><td></td></tr></tbody></table> <div>b.1. Instruments according to Sec. 38 (1) no. 1 WpHG</div> <table><thead><tr><th>Type of instrument</th><th>Expiration or maturity date</th><th>Exercise or conversion period</th><th>Voting rights absolute</th><th>Voting rights in %</th></tr></thead><tbody><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><t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### Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication
8	Capital Research and Management Company, Los Angeles, USA	2.68	Dec. 2, 2014	DGAP	<p>Capital Research and Management Company, Los Angeles, USA, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act, in conjunction with § 22 (1), sentence 1, no. 6, German Securities Trading Act, that its percentage of voting rights in our corporation fell below the threshold of 3% on November 24, 2014 and stood at 2.68% (equivalent to 264,558) as of that date.</p> <p>2.68 percentage points of these voting rights (equivalent to 264,558 votes) are attributable to Capital Research and Management Company, Los Angeles, USA, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act.</p>
9	Credit Suisse Group AG, Zurich, Switzerland	2.98	May 29, 2015	DGAP	<p>Credit Suisse Group AG, Zurich, Switzerland, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that its percentage of voting rights in our corporation fell below the threshold of 3% on May 25, 2015 and stood at 2.98% (equivalent to 294,178 votes) as of that date.</p> <p>2.98 percentage points of these voting rights (equivalent to 294,178 votes) are attributable to the Credit Suisse Group AG pursuant to § 22 (1), sentence 1, no. 1, German Securities Trading Act.</p>
10	Credit Suisse AG, Zurich, Switzerland	2.98	May 29, 2015	DGAP	<p>Credit Suisse AG, Zurich, Switzerland, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on May 25, 2015 and stood at 2.98% (equivalent to 294,178 votes) as of that date.</p> <p>2.32 percentage points of these voting rights (equivalent to 228,688 votes) are attributable to Credit Suisse AG pursuant to § 22 (1), sentence 1, no. 1, German Securities Trading Act.</p>
11	Henderson Global Investors (Holdings) Limited, London, Great Britain	1.97	June 10, 2015	DGAP	<p>Henderson Global Investors (Holdings) Limited, London, Great Britain, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on June 5, 2015 and stood at 1.97% (equivalent to 194,745 votes) as of that date. These 1.97 percentage points (equivalent to 194,745 votes) are attributable to Henderson Global Investors (Holdings) Limited, London, Great Britain, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act, in conjunction with sentence 2, German Securities Trading Act.</p>



**Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)**

<b>No.</b>	<b>Corporation</b>	<b>Holding (%)</b>	<b>Date</b>	<b>Published by</b>	<b>Content of publication</b>
12	Henderson Global Investors Limited, London, Great Britain	1.97	June 10, 2015	DGAP	Henderson Global Investors Limited, London, Great Britain, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation June 5, 2015 fell below the threshold of 3% on and stood at 1.97% (equivalent to 194,745 votes). These 1.97 percentage points (equivalent to 194,745 votes) are attributable to Henderson Global Investors Limited, London, Great Britain, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act.
13	Henderson Group plc, London, Great Britain	1.97	June 10, 2015	DGAP	Henderson Group plc, London, Great Britain, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on June 5, 2015 and stood at 1.97% (equivalent to 194,745 votes) as of that date. These 1.97 percentage points (equivalent to 194,745 votes) are attributable to Henderson Group plc, London, Great Britain, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act, in conjunction with sentence 2, German Securities Trading Act.
14	Massachusetts Financial Services Company (MFS), Boston, USA	2.81	Sept. 24, 2015	DGAP	Massachusetts Financial Services Company (MFS), Boston, USA, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on September 18, 2015 and stood at 2.81% (equivalent to 276,892 votes) as of that date. 1.83 percentage points of these voting rights (equivalent to 180,993 votes) are attributable to Massachusetts Financial Services Company (MFS) pursuant to § 22 (1), sentence 1, no. 6. Additional 0.97 percentage points (equivalent to 95,899 votes) are attributable to Massachusetts Financial Services Company (MFS) pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act, in conjunction with sentence 2.

### Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication															
15	Ministry of Finance on behalf of the State of Norway, Oslo, Norway	2.94	July, 27 2018	DGAP	<div><div><div><div>1. Details of issuer</div><div>Pfeiffer Vacuum Technology AG Berliner Str. 43 35614 Asslar Germany</div></div><div><div>2. Reason for notification</div><div><div><div>X</div>Acquisition/disposal of shares with voting rights</div><div>Acquisition/disposal of instruments</div><div>Change of breakdown of voting rights</div><div>Other reason:</div></div></div><div><div>3. Details of person subject to the notification obligation</div><div><div>Name:</div>Ministry of Finance on behalf of the State of Norway</div><div><div>City and country of registered office:</div>Oslo, Norway Norway</div></div><div><div>4. Names of shareholder(s)</div><div>holding directly 3% or more voting rights, if different from 3.</div></div><div><div>5. Date on which threshold was crossed or reached:</div><div>24 Jul 2018</div></div><div><div>6. Total positions</div><table><tr><th></th><th>% of voting rights attached to shares (total of 7.a.)</th><th>% of voting rights through instruments (total of 7.b.1 + 7.b.2)</th><th>total of both in % (7.a. + 7.b.)</th><th>total number of voting rights of issuer</th></tr><tr><td>Resulting situation</td><td>2.94 %</td><td>0.19 %</td><td>3.13 %</td><td>9867659</td></tr><tr><td>Previous notification</td><td>3.04 %</td><td>0.16 %</td><td>3.20 %</td><td>7</td></tr></table></div></div></div>		% of voting rights attached to shares (total of 7.a.)	% of voting rights through instruments (total of 7.b.1 + 7.b.2)	total of both in % (7.a. + 7.b.)	total number of voting rights of issuer	Resulting situation	2.94 %	0.19 %	3.13 %	9867659	Previous notification	3.04 %	0.16 %	3.20 %	7
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# Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication																																																																
					<div>7. Notified details of the resulting situation</div> <div>a. Voting rights attached to shares (Sec.s 33, 34 WpHG)</div> <table><tr><th rowspan="2">ISIN</th><th colspan="2">absolute</th><th colspan="2">in %</th></tr><tr><th>direct (Sec. 33 WpHG)</th><th>indirect (Sec. 34 WpHG)</th><th>direct (Sec. 33 WpHG)</th><th>indirect (Sec. 34 WpHG)</th></tr><tr><td>DE0006916604</td><td>0</td><td>290360</td><td>0 %</td><td>2.94 %</td></tr><tr><td>Total</td><td></td><td>290360</td><td></td><td>2.94 %</td></tr></table> <div>b.1. Instruments according to Sec. 38 para. 1 No. 1 WpHG</div> <table><tr><th>Type of instrument</th><th>Expiration or maturity date</th><th>Exercise or conversion period</th><th>Voting rights absolute</th><th>Voting rights in %</th></tr><tr><td>Shares on Loan (right to recall)</td><td>N/A</td><td>At any time</td><td>18572</td><td>0.19 %</td></tr><tr><td></td><td></td><td>Total</td><td>18572</td><td>0.19 %</td></tr></table> <div>b.2. Instruments according to Sec. 38 para. 1 No. 2 WpHG</div> <table><tr><th>Type of instrument</th><th>Expiration or maturity date</th><th>Exercise or conversion period</th><th>Cash or physical settlement</th><th>Voting rights absolute</th><th>Voting rights in %</th></tr><tr><td></td><td></td><td></td><td>Total</td><td></td><td></td></tr></table> <div>8. Information in relation to the person subject to the notification obligation</div> <table><tr><td><input type="checkbox"/> Person subject to the notification obligation is not controlled and does itself not control any other undertaking(s) holding directly or indirectly an interest in the (underlying) issuer (1.).</td></tr><tr><td><input checked="" type="checkbox"/> Full chain of controlled undertakings starting with the ultimate controlling natural person or legal entity:-</td></tr></table> <table><tr><th>Name</th><th>% of voting rights (if at least held 3% or more)</th><th>% of voting rights through instruments (if at least held 5% or more)</th><th>Total of both (if at least held 5% or more)</th></tr><tr><td>State of Norway</td><td>%</td><td>%</td><td>%</td></tr><tr><td>Norges Bank</td><td>%</td><td>%</td><td>%</td></tr></table> <div>9. In case of proxy voting according to Sec. 34 para. 3 WpHG</div> <table><tr><td>Date of general meeting:</td><td></td></tr><tr><td>Holding position after general meeting:</td><td>% (equals voting rights)</td></tr></table> <div>10. Other explanatory remarks:</div> <div></div>	ISIN	absolute		in %		direct (Sec. 33 WpHG)	indirect (Sec. 34 WpHG)	direct (Sec. 33 WpHG)	indirect (Sec. 34 WpHG)	DE0006916604	0	290360	0 %	2.94 %	Total		290360		2.94 %	Type of instrument	Expiration or maturity date	Exercise or conversion period	Voting rights absolute	Voting rights in %	Shares on Loan (right to recall)	N/A	At any time	18572	0.19 %			Total	18572	0.19 %	Type of instrument	Expiration or maturity date	Exercise or conversion period	Cash or physical settlement	Voting rights absolute	Voting rights in %				Total			<input type="checkbox"/> Person subject to the notification obligation is not controlled and does itself not control any other undertaking(s) holding directly or indirectly an interest in the (underlying) issuer (1.).	<input checked="" type="checkbox"/> Full chain of controlled undertakings starting with the ultimate controlling natural person or legal entity:-	Name	% of voting rights (if at least held 3% or more)	% of voting rights through instruments (if at least held 5% or more)	Total of both (if at least held 5% or more)	State of Norway	%	%	%	Norges Bank	%	%	%	Date of general meeting:		Holding position after general meeting:	% (equals voting rights)
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### Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication
16	Montanaro Asset Management Limited, London, Great Britain	2.94	July 7, 2014	DGAP	Montanaro Asset Management Limited, London, Great Britain, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on June 26, 2014 and stood at 2.94% (equivalent to 290,358 votes) as of that date. These 2.94 percentage points (equivalent to 290,358 votes) are attributable to Montanaro Asset Management Limited, London, Great Britain, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act.
17	Montanaro European Smaller Companies plc, Dublin, Ireland	2.98	Feb. 13, 2014	DGAP	Montanaro European Smaller Companies plc, Dublin, Ireland, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on February 10, 2014 and stood at 2.98% (equivalent to 293,744 votes) as of that date.

### Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication															
18	Investmentgesellschaft für langfristige Investoren TGV	3.05	Oct. 29, 2018	DGAP	<div><div><div><div>1. Details of issuer</div><div>Pfeiffer Vacuum Technology AG Berliner Str. 43 35614 Asslar (Germany)</div></div><div><div>2. Reason for notification</div><div><div><div>X</div>Acquisition/disposal of shares with voting rights</div><div>Acquisition/disposal of instruments</div><div>Change of breakdown of voting rights</div><div>Other reason:</div></div></div><div><div>3. Details of person subject to the notification obligation</div><div><div>Name:</div>Mr Norman Rentrop, <div>City and country of registered office:</div><div>Date of birth: 26 Oct 1957</div></div></div><div><div>4. Names of shareholder(s)</div><div>holding directly 3% or more voting rights, if different from 3. Investmentgesellschaft für langfristige Investoren TGV</div></div><div><div>5. Date on which threshold was crossed or reached:</div><div>24 Oct 2018</div></div><div><div>6. Total positions</div><table><thead><tr><th></th><th>% of voting rights attached to shares (total of 7.a.)</th><th>% of voting rights through instruments (total of 7.b.1 + 7.b.2)</th><th>total of both in % (7.a. + 7.b.)</th><th>total number of voting rights of issuer</th></tr></thead><tbody><tr><td>Resulting situation</td><td>3.05 %</td><td>0.00 %</td><td>3.05 %</td><td>9867659</td></tr><tr><td>Previous notification</td><td>N/A %</td><td>N/A %</td><td>N/A %</td><td>7</td></tr></tbody></table></div></div></div>		% of voting rights attached to shares (total of 7.a.)	% of voting rights through instruments (total of 7.b.1 + 7.b.2)	total of both in % (7.a. + 7.b.)	total number of voting rights of issuer	Resulting situation	3.05 %	0.00 %	3.05 %	9867659	Previous notification	N/A %	N/A %	N/A %	7
	% of voting rights attached to shares (total of 7.a.)	% of voting rights through instruments (total of 7.b.1 + 7.b.2)	total of both in % (7.a. + 7.b.)	total number of voting rights of issuer																
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# Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

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ISIN	absolute	direct	indirect	in %																																																														
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### Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication
19	Sun Life Assurance Company of Canada - U.S. Operations Holdings, Inc., Wellesley Hills, USA	2.81	Sept. 24, 2015	DGAP	Sun Life Assurance Company of Canada - U.S. Operations Holdings, Inc., Wellesley Hills, USA, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on September 18, 2015 and stood at 2.81% (equivalent to 276,892 votes) as of that date. These 2.81 percentage points (equivalent to 276,892 votes) are attributable to Sun Life Assurance Company of Canada - U.S. Operations Holdings, Inc., Wellesley Hills, USA, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act, in conjunction with sentence 2, German Securities Trading Act.
20	Sun Life Financial Inc., Toronto, Canada	2.81	Sept. 24, 2015	DGAP	Sun Life Financial Inc., Toronto, Canada, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on September 18, 2015 and stood at 2.81% (equivalent to 276,892 votes) as of that date. These 2.81 percentage points (equivalent to 276,892 votes) are attributable to Sun Life Financial Inc. pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act, in conjunction with sentence 2, German Securities Trading Act.
21	Sun Life Financial (U.S.) Holdings, Inc., Wellesley Hills, USA	2.81	Sept. 24, 2015	DGAP	Sun Life Financial (U.S.) Holdings, Inc., Wellesley Hills, USA, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on September 18, 2015 and stood at 2.81% (equivalent to 276,892 votes) as of that date. These 2.81 percentage points (equivalent to 276,892 votes) are attributable to Sun Life Financial (U.S.) Holdings, Inc., Wellesley Hills, USA, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act, in conjunction with sentence 2, German Securities Trading Act.
22	Sun Life Financial (U.S.) Investments LLC, Wellesley Hills, USA	2.81	Sept. 24, 2015	DGAP	Sun Life Financial (U.S.) Investments LLC, Wellesley Hills, USA, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on September 18, 2015 and stood at 2.81% (equivalent to 276,892 votes) as of that date. These 2.81 percentage points (equivalent to 276,892 votes) are attributable to Sun Life Financial (U.S.) Investments LLC, Wellesley Hills, USA, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act, in conjunction with sentence 2, German Securities Trading Act.



### Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication
23	Sun Life Global Investments Inc., Toronto, Canada	2.81	Sept. 24, 2015	DGAP	Sun Life Global Investments Inc., Toronto, Canada, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation below the threshold of 3% on September 18, 2015 and stood at 2.81% (equivalent to 276,892 votes) as of that date. These 2.81 percentage points (equivalent to 276,892 votes) are attributable to Sun Life Global Investments Inc., Toronto, Canada, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act, in conjunction with sentence 2, German Securities Trading Act.
24	Sun Life of Canada (U.S.) Financial Services Holdings, Inc., Boston, USA	2.81	Sept. 24, 2015	DGAP	Sun Life of Canada (U.S.) Financial Services Holdings, Inc., Boston, USA, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on September 18, 2015 and stood at 2.81% (equivalent to 276,892 votes) as of that date. These 2.81 percentage points (equivalent to 276,892 votes) are attributable to Sun Life of Canada (U.S.) Financial Services Holdings, Inc., Boston, USA, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act, in conjunction with sentence 2, German Securities Trading Act.
25	TAM UK Holdings Limited, London, Great Britain	2.53	April 9, 2015	DGAP	TAM UK Holdings Limited, London, Great Britain, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on March 30, 2015 and stood at 2.53% (equivalent to 249,588 votes). These 2.53 percentage points are attributable to TAM UK Holdings Limited, London, Great Britain, pursuant to § 22 (1), sentence 1, no. 6, in conjunction with sentence 2, German Securities Trading Act.
26	TC Financing Limited, London, Great Britain	2.53	April 9, 2015	DGAP	TC Financing Limited, London, Great Britain, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on March 30, 2015 and stood at 2.53% (equivalent to 249,588 votes) as of that date. These 2.53 percentage points are attributable to TC Financing Limited, London, Great Britain, pursuant to § 22 (1), sentence 1, no. 6, in conjunction with sentence 2, German Securities Trading Act.

### Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication
27	The Capital Group Companies, Los Angeles, USA	2.68	Dec. 2, 2014	DGAP	<p>The Capital Group Companies, Los Angeles, USA, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act in conjunction with § 22 (1), sentence 1, no. 6, German Securities Trading Act, in conjunction with § 22 (1) sentences 2 and 3, German Securities Trading Act, that its percentage of voting rights in our corporation fell below the threshold of 3% on November 24, 2014 and stood at 2.68% (equivalent to 264,558 votes) as of that date.</p> <p>2.68 percentage points of these voting rights (equivalent to 264,558 votes) are attributable to Capital Group Companies, Los Angeles, USA, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act, in conjunction with § 22 (1) sentences 2 and 3, German Securities Trading Act.</p>
28	Threadneedle Asset Management Holdings Limited, London, Great Britain	2.53	April 9, 2015	DGAP	<p>Threadneedle Asset Management Holdings Limited, London, Great Britain, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation on March 30, 2015 fell below the threshold of 3% and stood at 2.53% (equivalent to 249,588 votes). These 2.53 percentage points are attributable to Threadneedle Asset Management Holdings Limited, London, Great Britain, pursuant to § 22 (1) Sentence 1, no. 6, in conjunction with sentence 2, German Securities Trading Act.</p>
29	Threadneedle Asset Management Holdings SARL, Luxembourg, Luxembourg	2.53	April 9, 2015	DGAP	<p>Threadneedle Asset Management Holdings SARL, Luxembourg, Luxembourg, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on March 30, 2015 and stood at 2.53% (equivalent to 249,588 votes) as of that date. These 2.53 percentage points are attributable to Threadneedle Asset Management Holdings SARL, Luxembourg, Luxembourg, pursuant to § 22 (1), sentence 1, no. 6, in conjunction with sentence 2, German Securities Trading Act.</p>
30	Threadneedle Asset Management Limited, London, Great Britain	2.53	April 9, 2015	DGAP	<p>Threadneedle Asset Management Limited, London, Great Britain, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on March 30, 2015 and stood at 2.53% (equivalent to 249,588 votes) as of that date. These 2.53 percentage points are attributable to Threadneedle Asset Management Limited, London, Great Britain, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act.</p>

### Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication
31	Threadneedle Holdings Limited, London, Great Britain	2.53	April 9, 2015	DGAP	Threadneedle Holdings Limited, London, Great Britain, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation fell below the threshold of 3% on March 30, 2015 and stood at 2.53% (equivalent to 249,588 votes) as of that date. These 2.53 percentage points are attributable to Threadneedle Holdings Limited, London, Great Britain, pursuant to § 22 (1), sentence 1, no. 6, in conjunction with sentence 2, German Securities Trading Act.
32	Threadneedle Investment Services Limited, London, Great Britain	3.08	June 28, 2013	DGAP	Threadneedle Investment Services Limited, London, Great Britain, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation exceeded the threshold of 3% on June 26, 2013 and stood at 3.08% (equivalent to 303,567 votes) as of that date. These 3.08 percentage points (equivalent to 303,567 votes) are attributable to Threadneedle Investment Services Limited, London, Great Britain, pursuant to § 22 (1), sentence 1, no. 6, German Securities Trading Act. Voting rights from the following shareholder, whose percentage of voting rights in Pfeiffer Vacuum Technology AG amounts to 3% or above, are also attributed to it: Threadneedle Investment Funds ICVC.  Threadneedle Investment Funds ICVC, London, Great Britain, notified Pfeiffer Vacuum Technology AG pursuant to § 21 (1) of the German Securities Trading Act that the percentage of its voting rights in our corporation exceeded the threshold of 3% on June 26, 2013 and stood at 3.08% (equivalent to 303,567 votes) as of that date.

### Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication															
33	Universal-Investment-Gesellschaft mit beschränkter Haftung, Frankfurt am Main, Germany	2.93	Feb. 1, 2017	DGAP	<div><div><div><div>1. Details of issuer</div><div>Pfeiffer Vacuum Technology AG Berliner Str. 43 35614 Asslar Germany</div></div><div><div>2. Reason for notification</div><div><div><div>Acquisition/disposal of shares with voting rights</div><div>Acquisition/disposal of instruments</div><div>Change of breakdown of voting rights</div><div><input checked="" type="checkbox"/> Other reason: Disposal of voting rights through managed special assets</div></div></div></div><div><div>3. Details of person subject to the notification obligation</div><div><div>Name: Universal-Investment-Gesellschaft mit beschränkter Haftung</div><div>City and country of registered office: Frankfurt am Main Germany</div></div></div><div><div>4. Names of shareholder(s)</div><div>holding directly 3% or more voting rights, if different from 3. n/a</div></div><div><div>5. Date on which threshold was crossed or reached</div><div>27 Jan 2017</div></div><div><div>6. Total positions</div><table><tr><th></th><th>% of voting rights attached to shares (total of 7.a.)</th><th>% of voting rights through instruments (total of 7.b.1 + 7.b.2)</th><th>total of both in % (7.a. + 7.b.)</th><th>total number of voting rights of issuer</th></tr><tr><td>Resulting situation</td><td>2.93 %</td><td>0.00 %</td><td>2.93 %</td><td>9867659</td></tr><tr><td>Previous notification</td><td>3.05 %</td><td>0.00 %</td><td>3.05 %</td><td>7</td></tr></table></div></div></div>		% of voting rights attached to shares (total of 7.a.)	% of voting rights through instruments (total of 7.b.1 + 7.b.2)	total of both in % (7.a. + 7.b.)	total number of voting rights of issuer	Resulting situation	2.93 %	0.00 %	2.93 %	9867659	Previous notification	3.05 %	0.00 %	3.05 %	7
	% of voting rights attached to shares (total of 7.a.)	% of voting rights through instruments (total of 7.b.1 + 7.b.2)	total of both in % (7.a. + 7.b.)	total number of voting rights of issuer																
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# Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication																																																																	
					<p><b>7. Notified details of the resulting situation</b>  <b>a. Voting rights attached to shares (Sec.s 21, 22 WpHG)</b></p> <table border="1"> <thead> <tr> <th rowspan="2">ISIN</th><th colspan="2">absolute</th><th colspan="2">in %</th></tr> <tr> <th>direct (Sec. 21 WpHG)</th><th>indirect (Sec. 22 WpHG)</th><th>direct (Sec. 21 WpHG)</th><th>indirect (Sec. 22 WpHG)</th></tr> </thead> <tbody> <tr> <td>DE0006916604</td><td>0</td><td>289215</td><td>0 %</td><td>2.93 %</td></tr> <tr> <td><b>Total</b></td><td><b>289215</b></td><td></td><td><b>0 %</b></td><td><b>2.93 %</b></td></tr> </tbody> </table> <p><b>b.1. Instruments according to Sec. 25 para. 1 No. 1 WpHG</b></p> <table border="1"> <thead> <tr> <th>Type of instrument</th><th>Expiration or maturity date</th><th>Exercise or conversion period</th><th>Voting rights absolute</th><th>Voting rights in %</th></tr> </thead> <tbody> <tr> <td></td><td></td><td></td><td></td><td></td></tr> <tr> <td><b>Total</b></td><td></td><td></td><td></td><td></td></tr> </tbody> </table> <p><b>b.2. Instruments according to Sec. 25 para. 1 No. 2 WpHG</b></p> <table border="1"> <thead> <tr> <th>Type of instrument</th><th>Expiration or maturity date</th><th>Exercise or conversion period</th><th>Cash or physical settlement</th><th>Voting rights absolute</th><th>Voting rights in %</th></tr> </thead> <tbody> <tr> <td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td><b>Total</b></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table> <p><b>8. Information in relation to the person subject to the notification obligation</b>  <input checked="" type="checkbox"/> Person subject to the notification obligation is not controlled and does itself not control any other undertaking(s) holding directly or indirectly an interest in the (underlying) issuer (1.).  <input type="checkbox"/> Full chain of controlled undertakings starting with the ultimate controlling natural person or legal entity:</p> <table border="1"> <thead> <tr> <th>Name</th><th>% of voting rights (if at least held 3% or more)</th><th>% of voting rights through instruments (if at least held 5% or more)</th><th>Total of both (if at least held 5% or more)</th></tr> </thead> <tbody> <tr> <td></td><td></td><td></td><td></td></tr> </tbody> </table> <p><b>9. In case of proxy voting according to Sec. 22 para. 3 WpHG</b></p> <table border="1"> <thead> <tr> <th>Date of general meeting:</th><th>% (equals voting rights)</th></tr> </thead> <tbody> <tr> <td></td><td></td></tr> </tbody> </table> <p><b>10. Other explanatory remarks:</b></p> <table border="1"> <tbody> <tr> <td></td></tr> </tbody> </table>	ISIN	absolute		in %		direct (Sec. 21 WpHG)	indirect (Sec. 22 WpHG)	direct (Sec. 21 WpHG)	indirect (Sec. 22 WpHG)	DE0006916604	0	289215	0 %	2.93 %	<b>Total</b>	<b>289215</b>		<b>0 %</b>	<b>2.93 %</b>	Type of instrument	Expiration or maturity date	Exercise or conversion period	Voting rights absolute	Voting rights in %						<b>Total</b>					Type of instrument	Expiration or maturity date	Exercise or conversion period	Cash or physical settlement	Voting rights absolute	Voting rights in %							<b>Total</b>						Name	% of voting rights (if at least held 3% or more)	% of voting rights through instruments (if at least held 5% or more)	Total of both (if at least held 5% or more)					Date of general meeting:	% (equals voting rights)			
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### Publication according to § 26 (1) of German Securities Trading Act ("WpHG")

No.	Corporation	Holding (%)	Date	Published by	Content of publication
34	Hakuto Co., Ltd. Shinjuku-ku, Tokyo Japan	2.99	Sept. 23, 2021	DGAP	<p><b>1. Details of issuer (name, address)</b></p> <p>Name: Pfeiffer Vacuum Technology AG  Legal Entity Identifier (LEI): 8945004AW6QK8JHNQP69  Street, Street number: Berliner Str. 43  Postal code: 35614  City: Asslar</p> <p><b>2. Reason for notification (multiple reasons possible)</b></p> <p><input checked="" type="checkbox"/> Acquisition/disposal of shares with voting rights  <input type="checkbox"/> Acquisition/disposal of instruments  <input type="checkbox"/> Change of breakdown of voting rights  <input type="checkbox"/> Other reason</p> <p><b>3. Details of person subject to the notification obligation</b></p> <p>Natural person  First name: _____ Surname: _____ Date of birth: _____</p> <p><b>4. Name(s) of shareholder(s)</b> holding directly 3% or more voting rights, if different from 3.  Name: _____</p> <p><b>5. Date on which threshold was crossed or reached</b>  14/01/2021</p>

Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication																			
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New	2,99 %	0,00 %	2,99 %	9.867.659																				
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Publication according to § 26 (1) of German Securities Trading Act (“WpHG”)

No.	Corporation	Holding (%)	Date	Published by	Content of publication
					<div>10. Other useful information</div> <div><div>Hakuto Co. Ltd.'s share in the voting rights now fell below the 3% threshold. When Hakuto Co. Ltd. acquired a shareholding of more than 3% of the voting rights prior to 2007, no applicable notification obligation for crossing the 3% threshold existed. Therefore, the field under No.6 ("Previous notification") is now left blank, i.e. it is stated "n/a".</div><div><div>Date,23/09/2021</div><div>SignatureKen Ebihara</div></div></div>

Shares in circulation as of December 31, 2021: 9,867,659

#### **IV. Combined Management Report**

The Management Report of Pfeiffer Vacuum Technology AG and the Group Management Report were combined pursuant to § 315 Sub.-Para. 5 of the German Commercial Code ("HGB") in conjunction with § 298 Sub.-Para 2 of the German Commercial Code and published as part of the Annual Report 2021 of the Pfeiffer Vacuum Group.

The Annual Financial Statements and the Management Report of Pfeiffer Vacuum Technology AG included in the Combined Management Report for financial year 2021 are submitted to the operator of the Federal Gazette and published in the Federal Gazette.

The Pfeiffer Vacuum Technology AG Annual Financial Statements and the Annual Report of the Pfeiffer Vacuum Group for financial year 2021 are also available online at [ir.pfeiffer-vacuum.com/English/home/](https://ir.pfeiffer-vacuum.com/English/home/).

## **V. Proposal on the Appropriation of Retained Earnings 2021**

The Management Board and Supervisory Board propose the following appropriation of the distributable profit amounting to € 180,459,837.58, as presented by the Annual Financial Statements as of December 31, 2021:

Distribution of a dividend in the amount of € 4.08 per no-par share entitled to dividends

For the fiscal year 2021	€ 40,260,048.72
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Carried forward to new account	<u>€ 140,199,788.86</u>
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	<u>€ 180,459,837.58</u>
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The dividend will be payable on May 24, 2022.

The proposed appropriation of the distributable profit is based on the assumption of a share capital entitled to dividend in the amount of € 25,261,207.04, divided into 9,867,659 no-par value shares. If the actual number of shares entitled to dividends – and thus also the dividend amount – is lower at the time of the resolution on the appropriation of the retained earnings, the Management Board and Supervisory Board will propose an accordingly adjusted resolution on the appropriation of the distributable profit, which will stipulate an dividend of € 4.08 per no-par share entitled to dividends, with the then remaining amount of the retained earnings being carried forward to new account.

## **VI. Report of the Supervisory Board on the 2021 Fiscal Year**

Dear Shareholders,

In fiscal year 2021, Pfeiffer Vacuum Technology AG successfully continued the comprehensive transformation process initiated in 2018 towards becoming a global, integrated and agile Company. The Supervisory Board closely supported the Management Board in this process. In addition to the Company's strategic continued development and the ongoing consideration of the Company's sales and earnings development and the Group's financial position and profitability, the reorganization of the organizational and management structure following the commencement of the new Chief Executive Officer Dr. Britta Giesen, the handling of the effects of the COVID-19 pandemic, the further development of the production sites worldwide and the consideration of the remuneration system for the Management Board were important topics of the work of the Supervisory Board in the past fiscal year.

In fiscal year 2021, the Supervisory Board of Pfeiffer Vacuum Technology AG duly and diligently exercised all the duties attributed to it by law and the Articles of Association. It continuously and conscientiously monitored the work of the Management Board, accompanied and advised on the strategic development of the Company and important individual initiatives with a view to sustainable value creation and satisfied itself about the legality and regularity as well as the expediency and economic efficiencies of the managerial work on the basis of the Management Board's reports. In some cases, the Supervisory Board utilized the support of external experts in its work.

### **Cooperation between Supervisory Board and Management Board**

The Management Board informed the Supervisory Board and/or the chairwoman of the Supervisory Board regularly, comprehensively and in a timely manner about the competitive environment, planned business policy and all strategic and crucial operational decisions. In the same way, the Management Board discussed key financial and non-financial performance indicators with the Supervisory Board as a basis for evaluating the economic situation and strategic development of the Company.

The Management Board reported during Supervisory Board meetings in oral or written form and replied within this setting to questions raised by the Supervisory Board. Outside of the meetings, an intensive exchange of information with the Supervisory Board was also ensured with regular reports on the economic development and the key occurrences of the Company and the Group. The Supervisory Board is satisfied that Management Board reporting met the statutory and Supervisory Board's requirements, which the Supervisory Board had specified in a special information policy for the Management Board in May 2020, and the principles of good corporate governance.

Business transactions of the Management Board requiring pre-approval were decided by the Supervisory Board after these had been carefully reviewed and the issues were discussed with the Management Board.

### **Personnel changes in the management bodies**

There were no changes in the Management Board in the year under review; this consisted, and still does, of Dr. Britta Giesen as Chairwoman of the Management Board and Mr. Wolfgang Ehrk (COO). The Management Board is supported by a Group Executive Committee, which, in addition to the Management Board members themselves, includes Ms. Hind Beaujon as Chief Sales Officer - CSO (since January 1, 2021), Mr. Benoît Guillaumin as Chief Controlling Officer - CCO (since June 1, 2021), and Mr. Tobias Stoll as Chief Technology Officer - CTO (since February 1, 2022).

At the end of the Annual General Meeting on May 12, 2021, the term of office of the incumbent members of the Supervisory Board ended, namely:

on the part of the shareholder representatives

- Ms. Ayla Busch
- Mr. Götz Timmerbeil
- Mr. Filippo Th. Beck and
- Mr. Henrik Newerla

and as employee representatives

- Mr. Matthias Mädler and
- Mr. Stefan Röser.

The Annual General Meeting on May 12, 2021 elected new members of the Supervisory Board as shareholder representatives:

- Ms. Ayla Busch (member since October 2017)
- Mr. Götz Timmerbeil (member since June 2001)
- Mr. Henrik Newerla (member since April 2018) and
- Ms. Minja Lohrer (member since May 2021).

The following persons joined the Supervisory Board as employee representatives

- Mr. Stefan Röser (member since January 2020) and
- Mr. Timo Birkenstock (member since May 2021)

The term of office of the incumbent members of the Supervisory Board ends at the close of the 2025 Annual General Meeting.

The proportion of women on the Supervisory Board is 33.33 % and on the Management Board 50 %, in each case as of the reporting date of March 24, 2022.

### **Supervisory Board meetings and aspects of Supervisory Board work**

In fiscal year 2021, the Supervisory Board addressed the current situation of the Company and the Group in a total of 13 meetings, most of which were carried out via video conference due to the pandemic. It dealt with all issues of importance to the Company and discussed them in detail with the Management Board. Meetings of the Supervisory Board committees were also held. Outside the meetings, the Supervisory Board adopted a number of resolutions by written circular. The Management Board members took part in the plenary meetings, unless there were topics on the agenda that required to be dealt with properly without the presence of the Management Board; therefore, the Supervisory Board met regularly without Management Board members being present.

The Supervisory Board reviewed the current course of business and the quarterly results on a continuous basis and discussed these in detail with the Management Board. It repeatedly received reports on strategy and discussed these reports with the Management Board. A further subject of discussion was the short-term and long-term corporate planning presented by the Management Board. Other main topics and resolutions discussed by the Supervisory Board in the past fiscal year were in particular:

The Supervisory Board repeatedly received reports on the status of ongoing IT projects and discussed the reorganization of the global organizational structure with the Management Board. Furthermore, it addressed in detail the structure of Management Board remuneration. Accordingly, on the basis of preparatory work by the Personnel Committee, it adopted a new Management Board compensation system, which was approved by the Annual General Meeting. In this connection it also resolved amendments to the existing Management Board service contracts with the objective of at least bringing these into line with the new compensation system that would apply in the future. Other aspects of the Supervisory Board's work included the statement of compliance with the German Corporate Governance Code, the focal points of the internal audits which the Management Board kept the Supervisory Board informed of, compliance and compliance management within the Company and the Group, as well as the structure and processes of the sales organization, key customer projects and market trends in 2022 and also ramp-up activities at the production sites. The Supervisory Board paid two visits to the Asslar site and held discussions with employees. It also attended training sessions on selected product groups.

At its financial statements meeting in March, the Supervisory Board, supported by the preparatory work of the Audit Committee and the detailed explanations provided by representatives of the auditor who were present at the meeting, dealt in detail with the Company's annual financial statement documents for the 2020 fiscal year. Following in-depth discussions and review, the Supervisory Board approved the 2020 annual financial statements, the annual report including the combined management report as of December 31, 2020, the Management Board's proposal for the dividend payout ratio and the distribution of profits, the consolidated financial statements, the Group annual report including the combined management report as of December 31, 2020, the non-financial Group statement (NFE report) and the Management Board's report on relations with affiliated companies (dependency report). It also adopted the report of the Supervisory Board for 2020.

Other aspects included a revision of the competence profile for the Supervisory Board as well as the nomination of candidates for the election of shareholder representatives at the 2021 Annual General Meeting. At its financial statements meeting, the Supervisory Board also dealt with the draft invitation to the 2021 Annual General Meeting presented by the Management Board, adopted the proposed resolutions to the Annual General Meeting, and gave its consent to holding the Annual General Meeting in the form of a virtual meeting.

The Supervisory Board also addressed the 2020 target achievements and the calculation of bonuses for the current Management Board member Wolfgang Ehrk and the former Management Board members Dr. Eric Taberlet and Nathalie Benedikt, and adopted the corresponding resolutions in accordance with the proposals presented by the Personnel Committee.

Following the Annual General Meeting, the newly constituted Supervisory Board held its constituent meeting, during which the elections of the Chair and Deputy Chair of the Supervisory Board took place and resolutions were passed concerning the composition of the committees.

Also in the year under review, the Supervisory Board conducted its regular efficiency review, which was presided over by an external legal expert.

In addition, the Supervisory Board regularly received the reports of its committees.

### **Supervisory Board Committees**

The work of the Supervisory Board in fiscal year 2021 was again accompanied and prepared by its committees. In addition to the Nomination Committee, the Personnel Committee, the Audit Committee and the Related Party Transaction Committee (RPT Committee) were



appointed. The tasks and competencies of the committees are defined in the rules of procedure for the Supervisory Board, which are available on the Company's website.

The personnel composition of the Supervisory Board committees in the reporting period was as follows:

Up to the close of the Annual General Meeting on May 12, 2021:

**Nomination Committee**

- Ayla Busch (Chairwoman)
- Filippo Th. Beck
- Götz Timmerbeil

**Management Board Committee**

- Ayla Busch (Chairwoman)
- Filippo Th. Beck
- Henrik Newerla
- Götz Timmerbeil

**Audit Committee**

- Götz Timmerbeil (Chairman)
- Filippo Th. Beck
- Ayla Busch

**RPT Committee**

- Götz Timmerbeil (Chairman)
- Matthias Mädler
- Henrik Newerla

Since the close of the Annual General Meeting on May 12, 2021:

**Nomination Committee**

- Ayla Busch (Chairwoman)
- Minja Lohrer
- Götz Timmerbeil

**Management Board Committee**

- Ayla Busch (Chairwoman)
- Minja Lohrer
- Henrik Newerla
- Götz Timmerbeil

**Audit Committee**

- Götz Timmerbeil (Chairman)
- Minja Lohrer
- Ayla Busch

**RPT Committee**

- Götz Timmerbeil (Chairman)
- Timo Birkenstock
- Henrik Newerla

The Nomination Committee held three meetings before the Annual General Meeting 2021. After detailed discussion, it adopted its proposals for candidates to be elected as new shareholder representatives to the Supervisory Board, dealt with the competence profile for the Supervisory Board, and prepared a resolution by the full Supervisory Board for a proposal to be put before the Annual General Meeting to amend § 9 of the Articles of Association in order to establish a staggered board in the future. After the Supervisory Board was newly constituted following the Annual General Meeting on May 12, 2021, a further meeting of the Nomination Committee was held at which the Chair was elected.

The Personnel Committee held six meetings in the 2021 fiscal year. The focus was the determination of the target achievement under the variable remuneration components of the Management Board in the 2020 fiscal year, adjustments to the Management Board service contracts, and the remuneration system for the Management Board.

In addition, the Personnel Committee dealt with setting the target EBIT for 2022 to 2024 under the LTI for the Management Board and with setting the target parameters for the variable remuneration components for 2022 for the members of the Management Board.

The Audit Committee held four meetings in the reporting year. At its March meeting, attended by representatives of the auditor, it dealt in detail with the Annual Financial Statements and the Consolidated Financial Statements of the Company for the 2020 fiscal year, the proposal of the Management Board for the dividend payout ratio and the distribution of profits, the Management Report for the Company and the Group for the 2020 fiscal year, and the auditor's reports. In preparation for dealing with the financial statements at the plenary meeting of the Supervisory Board, these documents were discussed in detail with the auditor's representatives and carefully examined on the basis of the information provided. Following discussions held in advance by the committee chairman with the Management Board, the Head of Global Finance and the auditor, and a mandate-related quality report submitted by the auditor, the Audit Committee dealt in detail with the quality of the audit. On the basis of its positive evaluation, the Committee resolved to recommend to the Supervisory Board that it propose to the Annual General Meeting that PricewaterhouseCoopers GmbH, Wirtschaftsprüfungsgesellschaft, Frankfurt am Main, be appointed as auditors of the financial statements and consolidated financial statements for the 2021 fiscal year.

After the Supervisory Board was newly constituted following the Annual General Meeting on May 12, 2021, the Audit Committee also held its constituent meeting.

At its third meeting in the reporting year, the Audit Committee addressed the current amendments to the law relating to the Audit Committee as a result of the Financial Market Integrity Strengthening Act (FISG). It also discussed and approved a catalog of criteria for evaluating the quality of financial statement auditing. The committee also dealt with the internal audit report for 2020/2021, the new requirements for the compensation report, as well as compliance and risk management. The Head of Compliance submitted a report on this to the committee, which was discussed in detail.

A fourth meeting of the Audit Committee was then held in October 2021, which was again attended by representatives of the auditor. At this meeting, the committee noted the auditor's statement of independence and determined that agreements would be reached with the auditor regarding the review of corporate governance rules, and that communication between the committee and the auditor would be defined in greater detail. The auditor's representatives presented the intended approach to auditing the financial statements, and the Committee determined the key points for the audit of the financial statements. In addition, the Audit Committee addressed the reorganization of the risk management system and the risk strategy, including the materiality thresholds implemented for the risk management system. Subsequently, the contracts for the audit of the Company's annual financial

statements and the consolidated financial statements for 2021 and the non-financial statement for 2021 were awarded to the auditors.

The Related Party Transactions Committee (RPT Committee) met three times in the reporting year. It dealt with the dependency report for 2020 audited by the auditor and discussed it with the Management Board. Other topics of discussion were the system for the comprehensive recording of all business transactions with the Busch Group, the current status of the cooperation with Busch, as well as transactions carried out with the Busch Group and the intended cost allocation in this connection. It was established that the threshold for legal transactions requiring approval pursuant to § 111b of the German Stock Corporation Act ("AktG") was not reached in fiscal year 2021.

### **Attendance at the meeting**

In fiscal year 2021, all members of the Supervisory Board attended every meeting of the Supervisory Board and all members of committees also attended every meeting of the committees to which they belong. Accordingly, the attendance rate of all Supervisory Board members at the plenum and the committees was 100 %.

### **Corporate Governance**

As a listed company, Pfeiffer Vacuum Technology AG is subject to the obligation pursuant to § 161 Sub-Para. 1 of the German Stock Corporation Act ("AktG"). According to this, the Management Board and the Supervisory Board have to declare annually that the recommendations of the German Corporate Governance Code have been and will be complied with or which recommendations have not been or will not be applied and if so, why not. The Supervisory Board recognizes the principles of good corporate governance and also addressed this issue in fiscal year 2021. An essential basis for this is the extensive recognition and observance of the recommendations of the German Corporate Governance Code (GCGC). The Management Board and Supervisory Board issued the regular corporate governance declaration on November 3, 2021. It is available on the company's website and also forms part of the corporate governance statement (Erklärung zur Unternehmensführung).

According to Recommendation E.1 of the German Corporate Governance Code, every member of the Supervisory Board must disclose conflicts of interest immediately. There were no occasions to disclose actual or potential conflicts of interest in the year under review. In November 2019, the Supervisory Board already set up a special committee, known as the RPT Committee, of which Ms. Ayla Busch is not a member, to deal with the potential conflict of interest in the person of Ms. Ayla Busch which could arise when advising and monitoring the Management Board with regard to legal transactions with companies in the Busch Group and when implementing the Relationship Agreement concluded with Busch SE for related party transactions.

### **Annual and consolidated financial statements, audit of financial statements, dependency report**

Following preparatory discussions in the Audit Committee, PricewaterhouseCoopers GmbH, Wirtschaftsprüfungsgesellschaft, Frankfurt am Main, was commissioned to audit the annual financial statements and the consolidated financial statements of the Company, prepared in accordance with IFRS for the 2021 fiscal year and, to the extent required by law, of the subsidiaries. Pursuant to § 315e of the German Commercial Code, the Company did not prepare consolidated financial statements presented in accordance with the rules of the German Commercial Code. PricewaterhouseCoopers GmbH was also commissioned to audit the 2021 non-financial statement.

The Audit Committee and the auditor defined, amongst others, the following key audit points: risk and control awareness of management (management fraud); realization of sales revenues; inventories and valuation of inventories; valuation and completeness of provisions; pension provisions; current and deferred taxes; impairment tests (IAS 36 and shares in affiliated companies); risk and forecast reporting as well as remuneration reporting.

It has been agreed with the auditor (i) that it will inform the Audit Committee immediately of all findings and occurrences that are essential for its duties and that come to its knowledge during the course of the audit, and (ii) that it will inform the Audit Committee and record in the audit report notes if, during the audit of the financial statements, it discovers facts that indicate that the declaration made by the Management Board and the Supervisory Board in relation to the German Corporate Governance Code is incorrect.

The Annual Financial Statements and Management Report as well as the Consolidated Financial Statements in accordance with IFRS, together with the Combined Management Report, all for the 2021 fiscal year, were audited by the independent auditor and received his unqualified endorsement.

Pursuant to § 315b of the German Commercial Code (HGB), the Company has prepared the non-financial group report as part of the Combined Management Report for the 2021 fiscal year. The Supervisory Board reviewed the content of the non-financial statement with the support of PricewaterhouseCoopers GmbH, Wirtschaftsprüfungsgesellschaft, Frankfurt am Main, as part of an audit to obtain limited assurance in accordance with the International Standard on Assurance Engagement (ISAE) 3000 (Revised). The audit did not reveal any facts that would have led the auditing firm to conclude that the non-financial group statement of Pfeiffer Vacuum Technology AG for the period from January 1 to December 31, 2021, had not been prepared, in all material respects, in accordance with § 289c HGB and § 315c of the German Commercial Code ("HGB").

In the audit opinion, the non-financial group statement is identified as other information within the meaning of ISA 720 (revised). At its meeting on March 24, 2022, the Supervisory Board approved the non-financial group statement for the 2021 fiscal year.

The Annual and Consolidated Financial Statements, the Combined Management Report and the audit reports were submitted to all members of the Supervisory Board members in a timely fashion. They were first discussed, by way of preparation, in detail by the Audit Committee on March 23, 2022 and then on March 24, 2022 by the Supervisory Board at their respective meetings relating to the financial statements. Representatives of the auditors were present to report on the major findings of the audit and were available to answer questions. On the basis of its own thorough review, the Supervisory Board concurred with the result of the audit conducted by the auditor. Given the concluding results of its review, the Supervisory Board raised no objections to the Annual and Consolidated Financial Statements. It approved the Annual and Consolidated Financial Statements. The Annual Financial Statements were thus formally adopted. The Supervisory Board discussed in detail with the Management Board its proposal regarding the distribution of a dividend and then concurred with the Management Board's proposal regarding the appropriation of the Company's retained earnings.

Additionally, the Management Board of Pfeiffer Vacuum Technology AG has drawn up a report on the Company's relationships with affiliated companies for the fiscal year 2021 ("dependency report") in accordance with § 312 of the German Stock Corporation Act ("AktG") and afterwards presented this report to the Supervisory Board for review.

PricewaterhouseCoopers GmbH Wirtschaftsprüfungsgesellschaft, Frankfurt am Main, has audited the dependency report and issued the following auditor's report:

"According to our professional audit and judgment, we confirm that:

1. the actual disclosures in the report are correct, and
2. the Company's payment for legal transactions as included in the report was not unreasonably high."

The Management Board's dependency report as well as the related auditor's report were submitted to the Supervisory Board. The Supervisory Board reviewed both the Management Board's dependency report as well as the auditor's report. Final review was made in the Supervisory Board meeting on March 24, 2022. The independent auditor attended this meeting, reported on the audit of the dependency report and the major findings of his audit and was available to answer additional questions from the Supervisory Board. After the final review, the Supervisory Board concurred with the dependency report of the Management Board and the audit report of the auditor and had no objections against the declaration of the Management Board at the end of the dependency report.

### **Remuneration report**

In addition, at the beginning of 2022, the Supervisory Board dealt with the preparation of the newly designed remuneration report 2021 in accordance with the requirements of the second shareholders' rights directive implementation act (ARUG II), which was jointly prepared with the Management Board for the first time for fiscal year 2021. The Supervisory Board adopted the final version of the remuneration report 2021 by way of a circular resolution on February 24, 2022. The remuneration report was issued with a separate audit endorsement by the auditor and will be presented to this year's Annual General Meeting of the Company for approval.

### **Acknowledgements**

The Supervisory Board would like to sincerely thank the Management Board, the Employee Council and the entire staff of the Group for their dedication and commitment in the successful 2021 fiscal year.

### **Adoption of this Report**

The Supervisory Board adopted this Supervisory Board Report in the resolution dated March 24, 2022 pursuant to § 171 Sub-Para 2 of the German Stock Corporation Act ("AktG").

Asslar, March 24, 2022

On behalf of the Supervisory Board

Ayla Busch  
(Chairwoman of the Supervisory Board)

## VII. Independent Auditor's Report

To Pfeiffer Vacuum Technology AG, Aßlar

### **REPORT ON THE AUDIT OF THE ANNUAL FINANCIAL STATEMENTS AND OF THE MANAGEMENT REPORT**

#### *Audit Opinions*

We have audited the annual financial statements of Pfeiffer Vacuum Technology AG, Aßlar, which comprise the balance sheet as at 31 December 2021, and the statement of profit and loss for the financial year from 1 January to 31 December 2021 and notes to the financial statements, including the presentation of the recognition and measurement policies. In addition, we have audited the management report of Pfeiffer Vacuum Technology AG, which is combined with the group management report, – which comprise the content included to comply with the German legal requirements as well as the remuneration report pursuant to § [Article] 162 AktG [Aktiengesetz: German Stock Corporation Act], including the related disclosures, included in section „Compensation Report 2021“ of the management report – for the financial year from 1 January to 31 December 2021. In accordance with the German legal requirements, we have not audited the content of those parts of the management report listed in the "Other Information" section of our auditor's report.

In our opinion, on the basis of the knowledge obtained in the audit,

- the accompanying annual financial statements comply, in all material respects, with the requirements of German commercial law and give a true and fair view of the assets, liabilities and financial position of the Company as at 31 December 2021 and of its financial performance for the financial year from 1 January to 31 December 2021 in compliance with German Legally Required Accounting Principles, and
- the accompanying management report as a whole provides an appropriate view of the Company's position. In all material respects, this management report is consistent with the annual financial statements, complies with German legal requirements and appropriately presents the opportunities and risks of future development. Our audit opinion on the management report does not cover the content of those parts of the management report listed in the „Other Information“ section of our auditor's report.

Pursuant to § 322 Abs. [paragraph] 3 Satz [sentence] 1 HGB [Handelsgesetzbuch: German Commercial Code], we declare that our audit has not led to any reservations relating to the legal compliance of the annual financial statements and of the management report.

#### *Basis for the Audit Opinions*

We conducted our audit of the annual financial statements and of the management report in accordance with § 317 HGB and the EU Audit Regulation (No. 537/2014, referred to subsequently as "EU Audit Regulation") in compliance with German Generally Accepted Standards for Financial Statement Audits promulgated by the Institut der Wirtschaftsprüfer [Institute of Public Auditors in Germany] (IDW). Our responsibilities under those requirements and principles are further described in the "Auditor's Responsibilities for the Audit of the Annual Financial Statements and of the Management Report" section of our auditor's report. We are independent of the Company in accordance with the requirements of European law and German commercial and professional law, and we have fulfilled our other German professional responsibilities in accordance with these requirements. In addition, in accordance with Article 10 (2) point (f) of the EU Audit Regulation, we declare that we have not provided non-audit services prohibited under Article 5 (1) of the EU Audit Regulation. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a



basis for our audit opinions on the annual financial statements and on the management report.

### *Key Audit Matters in the Audit of the Annual Financial Statements*

Key audit matters are those matters that, in our professional judgment, were of most significance in our audit of the annual financial statements for the financial year from 1 January to 31 December 2021. These matters were addressed in the context of our audit of the annual financial statements as a whole, and in forming our audit opinion thereon; we do not provide a separate audit opinion on these matters.

In our view, the matter of most significance in our audit was as follows:

- ① Measurement of shares in affiliated companies and receivables from affiliated companies as well as loans to affiliated companies

Our presentation of this key audit matter has been structured as follows:

- ① Matter and issue
- ② Audit approach and findings
- ③ Reference to further information

Hereinafter we present the key audit matter:

#### **① Measurement of shares in affiliated companies and receivables from affiliated companies as well as loans to these affiliated companies**

- ① In the annual financial statements of the Company shares in affiliated companies amounting to € 224.0 million and loans to affiliated companies amounting to € 9.6 million are reported under the "Financial assets" balance sheet item. In addition, receivables from affiliated companies are reported in the amount of € 66.9 million. Together, the carrying amount of the total engagement amounts to € 300.5 million (86.6 % of total assets). Shares in affiliated companies, receivables from affiliated companies and loans to affiliated companies are measured in accordance with German commercial law at the lower of cost and fair value. The fair values are calculated based on the present values of the expected future cash flows according to the planning projections prepared by the executive directors using discounted cash flow models. Expectations relating to future market developments and assumptions about the development of macroeconomic factors are also taken into account. The discount rate used is the individually determined cost of capital for the relevant affiliated company. On the basis of the values determined and supplementary documentation, no write-downs were required for the financial year.

The outcome of this valuation is dependent to a large extent on the estimates made by the executive directors of the future cash flows, and on the respective discount rates and rates of growth used. The valuation is therefore subject to material uncertainties. Against this background and due to the highly complex nature of the valuation and its material significance for the Company's assets, liabilities and financial performance, this matter was of particular significance in the context of our audit.



- ② As part of our audit, we assessed the methodology used by the Company for the purposes of the valuation of shares in affiliated companies, receivables from affiliated companies and loans to affiliated companies. In particular, we assessed whether the fair values had been appropriately determined based on discounted cash flow models in compliance with the relevant measurement standards. We based our assessment, among other things, on a comparison with general and sector-specific market expectations as well as on the executive directors' detailed explanations regarding the key value drivers underlying the expected cash flows. In the knowledge that even relatively small changes in the discount rate and the rate of growth applied can have a material impact on the value of the entity calculated in this way, we focused our testing in particular on the parameters used to determine the discount rate applied, and assessed the calculation model. Finally, we evaluated whether the values calculated in this way were properly compared with the carrying amounts in order to determine any need for write-downs or reversal of write downs.

In our view, taking into consideration the information available, the valuation parameters and underlying assumptions used by the executive directors are appropriate overall for the purpose of appropriately measuring the shares in affiliated companies, receivables from affiliated companies and loans to affiliated companies.

- ③ The Company's disclosures relating to the financial assets and receivables from affiliates are contained in sections 1.1 and 2.1 of the notes to the financial statements.

#### *Other Information*

The executive directors are responsible for the other information. The other information comprises the following non-audited parts of the management report, which we obtained prior to the date of our auditor's report:

- the statement on corporate governance pursuant to § 289f HGB and § 315d HGB included in section "Declaration on Corporate Governance" of the management report
- the non-financial group statement pursuant to § 315b Abs. 1 HGB included in section "Non-Financial Consolidated Statement 2021" of the management report

The other information comprises further all remaining parts of the publication "Annual Financial Statements as of December 31, 2021", which are expected to be made available to us after the date of the auditor's report – excluding cross-references to external information – with the exception of the audited annual financial statements, the audited management report and our auditor's report.

Our audit opinions on the annual financial statements and on the management report do not cover the other information, and consequently we do not express an audit opinion or any other form of assurance conclusion thereon.

In connection with our audit, our responsibility is to read the other information mentioned above and, in so doing, to consider whether the other information

- is materially inconsistent with the annual financial statements, with the management report disclosures audited in terms of content or with our knowledge obtained in the audit, or
- otherwise appears to be materially misstated.

*Responsibilities of the Executive Directors and the Supervisory Board for the Annual Financial Statements and the Management Report*

The executive directors are responsible for the preparation of the annual financial statements that comply, in all material respects, with the requirements of German commercial law, and that the annual financial statements give a true and fair view of the assets, liabilities, financial position and financial performance of the Company in compliance with German Legally Required Accounting Principles. In addition, the executive directors are responsible for such internal control as they, in accordance with German Legally Required Accounting Principles, have determined necessary to enable the preparation of annual financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the annual financial statements, the executive directors are responsible for assessing the Company's ability to continue as a going concern. They also have the responsibility for disclosing, as applicable, matters related to going concern. In addition, they are responsible for financial reporting based on the going concern basis of accounting, provided no actual or legal circumstances conflict therewith.

Furthermore, the executive directors are responsible for the preparation of the management report that as a whole provides an appropriate view of the Company's position and is, in all material respects, consistent with the annual financial statements, complies with German legal requirements, and appropriately presents the opportunities and risks of future development. In addition, the executive directors are responsible for such arrangements and measures (systems) as they have considered necessary to enable the preparation of a management report that is in accordance with the applicable German legal requirements, and to be able to provide sufficient appropriate evidence for the assertions in the management report.

The supervisory board is responsible for overseeing the Company's financial reporting process for the preparation of the annual financial statements and of the management report.

The executive directors and the supervisory board are further responsible for the preparation of the remuneration report, including the related disclosures, which is included in a separate section of the management report and complies with the requirements of § 162 AktG. They are also responsible for such internal control as they determine is necessary to enable the preparation of a remuneration report, including the related disclosures, that is free from material misstatement, whether due to fraud or error.

*Auditor's Responsibilities for the Audit of the Annual Financial Statements and of the Management Report*

Our objectives are to obtain reasonable assurance about whether the annual financial statements as a whole are free from material misstatement, whether due to fraud or error, and whether the management report as a whole provides an appropriate view of the Company's position and, in all material respects, is consistent with the annual financial statements and the knowledge obtained in the audit, complies with the German legal requirements and appropriately presents the opportunities and risks of future development, as well as to issue an auditor's report that includes our audit opinions on the annual financial statements and on the management report.

Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with § 317 HGB and the EU Audit Regulation and in compliance with German Generally Accepted Standards for Financial Statement Audits promulgated by the Institut der Wirtschaftsprüfer (IDW) will always detect a material misstatement. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these annual financial statements and this management report.

We exercise professional judgment and maintain professional skepticism throughout the audit. We also:

- Identify and assess the risks of material misstatement of the annual financial statements and of the management report, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our audit opinions. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal controls.
- Obtain an understanding of internal control relevant to the audit of the annual financial statements and of arrangements and measures (systems) relevant to the audit of the management report in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an audit opinion on the effectiveness of these systems of the Company.
- Evaluate the appropriateness of accounting policies used by the executive directors and the reasonableness of estimates made by the executive directors and related disclosures.
- Conclude on the appropriateness of the executive directors' use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Company's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in the auditor's report to the related disclosures in the annual financial statements and in the management report or, if such disclosures are inadequate, to modify our respective audit opinions. Our conclusions are based on the audit evidence obtained up to the date of our auditor's report. However, future events or conditions may cause the Company to cease to be able to continue as a going concern.
- Evaluate the overall presentation, structure and content of the annual financial statements, including the disclosures, and whether the annual financial statements present the underlying transactions and events in a manner that the annual financial statements give a true and fair view of the assets, liabilities, financial position and financial performance of the Company in compliance with German Legally Required Accounting Principles.
- Evaluate the consistency of the management report with the annual financial statements, its conformity with German law, and the view of the Company's position it provides.
- Perform audit procedures on the prospective information presented by the executive directors in the management report. On the basis of sufficient appropriate audit evidence we evaluate, in particular, the significant assumptions used by the executive directors as a basis for the prospective information, and evaluate the proper derivation of the prospective information from these assumptions. We do not express a separate audit opinion on the prospective information and on the assumptions used as a basis. There is a substantial unavoidable risk that future events will differ materially from the prospective information.

We communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that we identify during our audit.

We also provide those charged with governance with a statement that we have complied with the relevant independence requirements, and communicate with them all relationships and other matters that may reasonably be thought to bear on our independence, and where applicable, the related safeguards.

From the matters communicated with those charged with governance, we determine those matters that were of most significance in the audit of the annual financial statements of the current period and are therefore the key audit matters. We describe these matters in our auditor's report unless law or regulation precludes public disclosure about the matter.

## **OTHER LEGAL AND REGULATORY REQUIREMENTS**

### ***Report on the Assurance on the Electronic Rendering of the Annual Financial Statements and the Management Report Prepared for Publication Purposes in Accordance with § 317 Abs. 3a HGB***

#### ***Assurance Opinion***

We have performed assurance work in accordance with § 317 Abs. 3a HGB to obtain reasonable assurance as to whether the rendering of the annual financial statements and the management report (hereinafter the "ESEF documents") contained in the electronic file Pfeiffer\_Vacuum-Technology-AG\_EA\_LB\_ESEF-2021-12-31.zip and prepared for publication purposes complies in all material respects with the requirements of § 328 Abs. 1 HGB for the electronic reporting format ("ESEF format"). In accordance with German legal requirements, this assurance work extends only to the conversion of the information contained in the annual financial statements and the management report into the ESEF format and therefore relates neither to the information contained within these renderings nor to any other information contained in the electronic file identified above.

In our opinion, the rendering of the annual financial statements and the management report contained in the electronic file identified above and prepared for publication purposes complies in all material respects with the requirements of § 328 Abs. 1 HGB for the electronic reporting format. Beyond this assurance opinion and our audit opinion on the accompanying annual financial statements and the accompanying management report for the financial year from 1 January to 31 December 2021 contained in the "Report on the Audit of the Annual Financial Statements and on the Management Report" above, we do not express any assurance opinion on the information contained within these renderings or on the other information contained in the electronic file identified above.

#### ***Basis for the Assurance Opinion***

We conducted our assurance work on the rendering of the annual financial statements and the management report contained in the electronic file identified above in accordance with § 317 Abs. 3a HGB and the IDW Assurance Standard: Assurance Work on the Electronic Rendering, of Financial Statements and Management Reports, Prepared for Publication Purposes in Accordance with § 317 Abs. 3a HGB (IDW AsS 410 (10.2021)) and the International Standard on Assurance Engagements 3000 (Revised). Our responsibility in accordance therewith is further described in the "Auditor's Responsibilities for the Assurance Work on the ESEF Documents" section. Our audit firm applies the IDW Standard on Quality Management 1: Requirements for Quality Management in the Audit Firm (IDW QS 1).

***Responsibilities of the Executive Directors and the Supervisory Board for the ESEF Documents***

The executive directors of the Company are responsible for the preparation of the ESEF documents including the electronic renderings of the annual financial statements and the management report in accordance with § 328 Abs. 1 Satz 4 Nr. [number] 1 HGB.

In addition, the executive directors of the Company are responsible for such internal control as they have considered necessary to enable the preparation of ESEF documents that are free from material non-compliance with the requirements of § 328 Abs. 1 HGB for the electronic reporting format, whether due to fraud or error.

The supervisory board is responsible for overseeing the process for preparing the ESEF-documents as part of the financial reporting process.

***Auditor's Responsibilities for the Assurance Work on the ESEF Documents***

Our objective is to obtain reasonable assurance about whether the ESEF documents are free from material non-compliance with the requirements of § 328 Abs. 1 HGB, whether due to fraud or error. We exercise professional judgment and maintain professional skepticism throughout the assurance work. We also:

- Identify and assess the risks of material non-compliance with the requirements of § 328 Abs. 1 HGB, whether due to fraud or error, design and perform assurance procedures responsive to those risks, and obtain assurance evidence that is sufficient and appropriate to provide a basis for our assurance opinion.
- Obtain an understanding of internal control relevant to the assurance work on the ESEF documents in order to design assurance procedures that are appropriate in the circumstances, but not for the purpose of expressing an assurance opinion on the effectiveness of these controls.
- Evaluate the technical validity of the ESEF documents, i.e., whether the electronic file containing the ESEF documents meets the requirements of the Delegated Regulation (EU) 2019/815 in the version in force at the date of the annual financial statements on the technical specification for this electronic file.
- Evaluate whether the ESEF documents provide an XHTML rendering with content equivalent to the audited annual financial statements and to the audited management report.

***Further Information pursuant to Article 10 of the EU Audit Regulation***

We were elected as auditor by the annual general meeting on 12 May 2021. We were engaged by the supervisory board on 14 December 2021. We have been the auditor of the Pfeiffer Vacuum Technology AG, Aßlar, without interruption since the financial year 2018.

We declare that the audit opinions expressed in this auditor's report are consistent with the additional report to the audit committee pursuant to Article 11 of the EU Audit Regulation (long-form audit report).

***REFERENCE TO AN OTHER MATTER– USE OF THE AUDITOR'S REPORT***

Our auditor's report must always be read together with the audited annual financial statements and the audited management report as well as the assured ESEF documents. The annual financial statements and the management report converted to the ESEF format – including the versions to be published in the Federal Gazette – are merely electronic renderings of the audited annual financial statements and the audited management report and do not take their place. In particular, the "Report on the Assurance on the Electronic Rendering of the Annual Financial Statements and the Management Report Prepared for Publication Purposes in Accordance with § 317 Abs. 3a HGB" and our assurance opinion contained therein are to be used solely together with the assured ESEF documents made available in electronic form.

***GERMAN PUBLIC AUDITOR RESPONSIBLE FOR THE ENGAGEMENT***

The German Public Auditor responsible for the engagement is Christian Kwasni.

Frankfurt am Main, March 4, 2022

PricewaterhouseCoopers GmbH  
Wirtschaftsprüfungsgesellschaft

Christian Kwasni  
Wirtschaftsprüfer

[German Public Auditor]

ppa. Samuel Artzt  
Wirtschaftsprüfer

[German Public Auditor]

## **VIII. Certification of Legal Representatives 2021**

To the best of our knowledge, and in accordance with the applicable reporting principles, the Annual Financial Statements give a true and fair view of the assets, liabilities, financial position and profit or loss of the Company, and the Company Management Report includes a fair review of the development and performance of the business and the position of the Company, together with a description of the principal opportunities and risks associated with the expected development of the Company.

Asslar, March 4, 2022

The Management Board

Dr. Britta Giesen

Wolfgang Ehrk

