

23

Annual General Meeting June 15, 2023

Information pursuant to Table 3 of
the Implementing Regulation
(EU)

Information pursuant to Table 3 of the Implementing Regulation (EU) 2018/1212 for the notification pursuant to Section 125 (1), (5) Stock Corporation Act

The following overview provides information pursuant to Section 125 (1), (5) sentence 1 Stock Corporation Act in conjunction with Art. 4 (1), Table 3 in the Annex of the Implementing Regulation (EU) 2018/1212 („Regulation“). Detailed information, in particular on the agenda, on the resolution proposals made by the General Partner and the Supervisory Board, on the participation requirements, on the exercise of voting rights through absentee voting, on the exercise of voting rights by authorized representatives and on the various shareholder rights can be found in the notice of convocation which has been published in the Federal Gazette (*Bundesanzeiger*) and is also available on the company's website at <https://group.dws.com/ir/annual-general-meeting>.

TYPE OF INFORMATION	DESCRIPTION
A. Specification of the Message	
1. Unique identifier of the event	Virtual Annual General Meeting of DWS Group GmbH & Co. KGaA on June 15, 2023 Format of the Regulation: 2dbd86fe6dabed118142005056888925
2. Type of the message	Convocation of the General Meeting Format of the Regulation: NEWM (ISO 20022: NEWM)
B. Specification of the Issuer	
1. ISIN	DE000DWS1007
2. Name of issuer	DWS Group GmbH & Co. KGaA
C. Specifications of the General Meeting	
1. Date of the General Meeting	June 15, 2023 Format of the Regulation: 20230615
2. Time of the General Meeting	10:00 hrs CEST Format of the Regulation: 8:00 hrs UTC
3. Type of the General Meeting	Annual General Meeting as virtual event without the physical presence of shareholders or their representatives (proxies) at the place of the General Meeting (with the exception of the proxies appointed by the company) Format of the Regulation: GMET (ISO 20022: GMET)
4. Location of the General Meeting	Location of the General Meeting in the meaning of the Stock Corporation Act: Congress Center der Messe Frankfurt, Ludwig-Erhard Anlage 1, 60327 Frankfurt/Main. Physical presence of shareholders or their representatives (with exception of the proxies appointed by the company) at the meeting location in the meaning of the Stock Corporation Act will not be possible. URL of the company's secure Shareholder Portal with access to the video and audio broadcast and for the exercise of shareholder rights: https://group.dws.com/ir/annual-general-meeting
5. Record Date ¹	May 24, 2023, 24:00 hrs CEST Format of the Regulation: 20230524, 22:00 hrs UTC

¹ Please note that according to the formal requirements of the Implementing Regulation (EU) 2018/1212, the so-called Technical Record Date is a banking date that does not correspond to the record date (*Nachweisstichtag*) under stock corporation law within the meaning of Section 123 (4) sentence 2 Stock Corporation Act. For further information on the record date under stock corporation law (*Nachweisstichtag*) and its meaning, please refer to the notice of convocation.

6. Uniform Resource Locator (URL) <https://group.dws.com/ir/annual-general-meeting>

D. Participation in the General Meeting – Access to the Video and Audio Broadcast

1. Method of the participation by shareholder Access to the video and audio broadcast (publicly available)
(does not constitute a participation in the General Meeting in the meaning of the Stock Corporation Act or an exercise of voting rights)
Format of the Regulation: OT (also: PX (ISO 20022: PRXY))

2. Issuer deadline for the notification of participation No deadline

3. Issuer deadline for the voting n/a

D. Participation in the General Meeting – Submitting Absentee Votes

1. Method of the participation by shareholder Submitting absentee votes (also available for authorized representatives)
(constitutes an exercise of voting rights only, but not a participation in the General Meeting in the meaning of the Stock Corporation Act)
Format of the Regulation: EV (also: PX) (ISO 20022: EVOT)

2. Issuer deadline for the notification of participation Appropriate registration for submitting absentee votes:
June 8, 2023, 24:00 hrs CEST
Format of the Regulation: 20230608, 22:00 hrs UTC

3. Issuer deadline for the voting Depending on the communication channel:
a.
Submission by post:
June 14, 2023, 18:00 hrs CEST
Format of the Regulation: 20230614, 16:00 hrs UTC
b.
Electronic communication via the secure Shareholder Portal:
June 15, 2023, until the Chairman of the General Meeting closes the voting. The Chairman of the General Meeting will point out in due time when this will be.
Format of the Regulation: 20230615, until voting on the agenda items commences

D. Participation in the General Meeting – Granting Proxy Authorization and Issuing Instructions to the Proxies Appointed by the Company

1. Method of the participation by shareholder Granting proxy authorization and issuing instructions to the proxies appointed by the company (also available for authorized representatives)
Format of the Regulation: PX (ISO 20022: PRXY)

2. Issuer deadline for the notification of participation Appropriate registration to attend the General Meeting:
June 8, 2023, 24:00 hrs CEST
Format of the Regulation: 20230608, 22:00 hrs UTC, receipt by the company decisive

3. Issuer deadline for the voting Depending on the communication channel:
a.
Submission in text form:
June 14, 2023, 18:00 hrs CEST
Format of the Regulation: 20230614, 16:00 hrs UTC, receipt by the company decisive
b.
Electronic communication via the secure Shareholder Portal:
Granting proxy authorization and issuing instructions to the proxies appointed by the company as well as amending and revoking authorizations and instructions:
June 15, 2023, until voting on the agenda items commences
Format of the Regulation: 20230615, until voting on the agenda items

D. Participation in the General Meeting – Online Participation Through Exercising the Right to Speak in the Meeting

1. Method of the participation by shareholder Online participation through exercising the right to speak in the meeting (also available for authorized representatives)
Format of the Regulation: VI (ISO 20022: VIRT) (also PX (ISO 20022: PRXY))

2. Issuer deadline for the notification of the participation Proper registration to attend the General Meeting: June 8, 2023, 24:00 hrs CEST
Format of the Regulation: 20230608, 22:00 hrs UTC, receipt by the company decisive

3. Issuer deadline for the notification of participation n/a

E. Agenda – Agenda Item 1

1. Unique identifier of the agenda item	1
2. Title of the agenda item	<i>Presentation of the Annual Financial Statements and Consolidated Financial Statements for fiscal year 2022, the Summarized Management Report and the Consolidated Management Report for fiscal year 2022 and the Report of the Supervisory Board, all having been approved by the Supervisory Board; Resolution to adopt the Annual Financial Statements of DWS Group GmbH & Co. KGaA for fiscal year 2022</i>
3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)

E. Agenda – Agenda Item 2

1. Unique identifier of the agenda item	2
2. Title of the agenda item	<i>Appropriation of distributable profit for the 2022 fiscal year</i>
3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)

E. Agenda – Agenda Item 3

1. Unique identifier of the agenda item	3
2. Title of the agenda item	<i>Ratification of the acts of management of the General Partner for fiscal year 2022</i>
3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)

E. Agenda – Agenda Item 4

1. Unique identifier of the agenda item	4
2. Title of the agenda item	<i>Ratification of the acts of management of the members of the Supervisory Board for fiscal year 2022</i>
3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)

E. Agenda – Agenda Item 5

1. Unique identifier of the agenda item	5
2. Title of the agenda item	<i>Election of the auditor of the annual financial statements and the auditor of the consolidated financial statements, interim financial reports</i>

3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
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4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
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5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)
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E. Agenda – Agenda Item 6

1. Unique identifier of the agenda item	6
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2. Title of the agenda item	Resolution on approval of the compensation report
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3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
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4. Vote	Advisory vote Format of the Regulation: AV (ISO20022: ADVI)
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5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)
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E. Agenda – Agenda Item 7.1

1. Unique identifier of the agenda item	7.1
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2. Title of the agenda item	Elections to the Supervisory Board – Karl von Rohr
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3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
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4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
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5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)
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E. Agenda – Agenda Item 7.2

1. Unique identifier of the agenda item	7.2
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2. Title of the agenda item	Elections to the Supervisory Board – Ute Wolf
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3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
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4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
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5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)
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E. Agenda – Agenda Item 7.3

1. Unique identifier of the agenda item	7.3
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2. Title of the agenda item	Elections to the Supervisory Board – Aldo Cardoso
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3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
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4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
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5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)
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E. Agenda – Agenda Item 7.4

1. Unique identifier of the agenda item	7.4
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2. Title of the agenda item	Elections to the Supervisory Board – Bernd Leukert
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3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
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4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)

E. Agenda – Agenda Item 7.5

1. Unique identifier of the agenda item	7.5
2. Title of the agenda item	Elections to the Supervisory Board – Richard I. Morris, Jr.
3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)

E. Agenda – Agenda Item 7.6

1. Unique identifier of the agenda item	7.6
2. Title of the agenda item	Elections to the Supervisory Board – Margret Suckale
3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)

E. Agenda – Agenda Item 7.7

1. Unique identifier of the agenda item	7.7
2. Title of the agenda item	Elections to the Supervisory Board – Kazuhide Toda
3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)

E. Agenda – Agenda Item 7.8

1. Unique identifier of the agenda item	7.8
2. Title of the agenda item	Elections to the Supervisory Board – Prof. Dr. Christina E. Bannier
3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)

E. Agenda – Agenda Item 8.1

1. Unique identifier of the agenda item	8.1
2. Title of the agenda item	Resolution on an amendment of Section 21 of the Articles of Association to authorize the General Partner to allow for virtual meetings to be held
3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting

4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)
E. Agenda – Agenda Item 8.2	
1. Unique identifier of the agenda item	8.2
2. Title of the agenda item	Resolution to make subsequent changes to the wording of Section 24 of the Articles of Association
3. Uniform Resource Locator (URL) of the material	https://group.dws.com/ir/annual-general-meeting
4. Vote	Binding vote Format of the Regulation: BV (ISO 20022: BNDG)
5. Alternative voting options	Vote in favour, vote against, abstention Format of the Regulation: VF, VA, AB (ISO 20022: CFOR, CAGS, ABST)
F. Specification of the Deadlines Regarding the Exercise of Other Shareholders Rights – Requests for Additions to the Agenda Pursuant to Section 122 (2) Stock Corporation Act in conjunction with Section 278 (3) Stock Corporation Act	
1. Object of deadline	Submission of the written requests for additions to the agenda
2. Applicable issuer deadline	May 15, 2023, 24:00 hrs CEST Format of the Regulation: 20230515, 22:00 hrs UTC
F. Specification of the Deadlines Regarding the Exercise of Other Shareholders Rights – Counterproposals and Election proposals of Shareholders pursuant to Sections 126 (1) and (4), 127 in conjunction with Section 278 (3) Stock Corporation Act	
1. Object of deadline	Submission of counterproposals of shareholders to proposals of the General Partner and/or the Supervisory Board relating to specific agenda items and of election proposals for Supervisory Board members or auditors
2. Applicable issuer deadline	May 31, 2023, 24:00 hrs CEST Format of the Regulation: 20230531, 22:00 hrs UTC
F. Specification of the Deadlines Regarding the Exercise of Other Shareholders Rights – Statements pursuant to Sections 118a (1) sentence 2 no. 6, 130a (1) to (4) in conjunction with Section 278 (3) Stock Corporation Act	
1. Object of deadline	Submission of statement on items of the in text form
2. Applicable issuer deadline	June 9, 2023, 24:00 hrs CEST Format of the Regulation: 20230609, 22:00 hrs UTC
F. Specification of the Deadlines Regarding the Exercise of Other Shareholders Rights – Right to request information before the General Meeting pursuant to Sections 118a (1) sentence 2 no. 4, 131 in conjunction with Section 278 (3) Stock Corporation Act	
1. Object of deadline	Pre-submission of questions by electronic means using the secure Shareholder Portal
2. Applicable issuer deadline	June 11, 2023, 24:00 hrs CEST Format of the Regulation: 20230611, 22:00 hrs UTC
F. Specification of the Deadlines Regarding the Exercise of Other Shareholders Rights – Right to Speak pursuant to Sections 118a(a) sentence 2 no. 7, 130a (5) and (6) in conjunction with Section 278 (3) Stock Corporation Act (including the right to put forward Proposals and Election Proposals pursuant to Section 118a (1) sentence 2 no. 3 Stock Corporation Act as well as to raise all relevant types of requests for information pursuant to Section 131 Stock Corporation Act)	
1. Object of deadline	Right to speak (including the right to put forward Proposals and Election Proposals as well as to raise all relevant types of requests for information)
2. Applicable issuer deadline	On June 15, 2023 (Format of the Regulation: 20230615) in accordance with the specification of the Chairman of the General Meeting

F. Specification of the Deadlines Regarding the Exercise of Other Shareholders Rights – Request pursuant to Section 131 (4) sentence 1 and 2 in conjunction with Section 278 (3) Stock Corporation Act

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| 1. Object of deadline | Submission of a request, being submitted as part of the speech by way of video communication using the secure Shareholder Portal and/or by means of electronic communication using the secure shareholder portal |
| 2. Applicable issuer deadline | Depending on the communication channel:
a. As part of the speech by way of video communication: June 15, 2023 (Format of the Regulation: 20230615), during the debate
b. by means of the secure shareholder portal: June 15, 2023 (Format of Regulation: 20230615), from the opening of the General Meeting until its closing by the Chairman of the General Meeting |

F. Specification of the Deadlines Regarding the Exercise of Other Shareholders Rights – Request pursuant to Section 131 (5) sentence 1 and 2 in conjunction with Section 278 (3) Stock Corporation Act

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| 1. Object of deadline | Submission of the request, being submitted as part of the speech by way of video communication using the secure Shareholder Portal, that a shareholder's question, in respect of which it was refused to provide, and the reason for refusing to provide, the information be taken to the minutes of the meeting |
| 2. Applicable issuer deadline | Depending on the communication channel:
a. As part of the speech by way of video communication: June 15, 2023 (Format of the Regulation: 20230615), during the debate
b. by means of the secure shareholder portal: June 15, 2023 (Format of Regulation: 20230615), from the opening of the General Meeting until its closing by the Chairman of the General Meeting |

F. Specification of the Deadlines Regarding the Exercise of Other Shareholders Rights – Objection to resolutions of the General Meeting recorded in the minutes pursuant to Sections 118a (1) sentence 2 no. 8, 245 sentence 1 no. 1, sentence 2 in conjunction with Section

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| 1. Object of deadline | Submission of objection to resolutions of the General Meeting recorded in the minutes |
| 2. Applicable issuer deadline | On the day of the General Meeting (June 15, 2023) from the opening of the General Meeting until its closing by the Chair of the General Meeting
Format of the Regulation: 20230615, until the closing of the General Meeting by the Chair of the General Meeting |

F. Specification of the Deadlines Regarding the Exercise of Other Shareholders Rights – Request to provide a Confirmation how Votes were counted pursuant to Section 129 (5) in conjunction with Section 278 (3) Stock Corporation Act

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| 1. Object of deadline | Submission of the request to provide a confirmation how votes were counted |
| 2. Applicable issuer deadline | July 17, 2023, 24:00 hrs CEST
Format of the Regulation: 20230717, 22:00 hrs UTC,, receipt by the company decisive |

CEST = Central European Summer Time

UTC = Coordinated Universal Time

n/a = not applicable

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