

Code of Conduct for ams OSRAM Group Suppliers

December, 2021

This Code of Conduct defines the basic requirements placed on suppliers of goods and services of the ams AG and its Affiliates¹ (hereinafter “ams OSRAM”) concerning their responsibilities towards their stakeholders, affected groups and the environment. This Code of Conduct is based on the principles of the UN Global Compact, the RBA (Responsible Business Alliance) Code of Conduct and the relevant UN/ILO and OEDC standards on the various subjects.

The supplier declares herewith:

- **Legal compliance**
 - to comply with the laws of the applicable legal system(s).
- **Management systems**
 - to set up and continuously improve appropriate management processes to prevent, identify, mitigate and if necessary remediate negative social, ecological, health and safety related impacts on workers and communities;
 - to establish an effective grievance procedure (whistle-blowing system) to ensure that any worker, acting individually or with other workers, can submit a grievance without suffering a prejudice or retaliation of any kind.
- **Prohibition of corruption, bribery and money laundering**
 - to tolerate no form of and not to engage in any form of corruption, bribery or money laundering be it by employees, third parties or agents, including any payment or other form of benefit conferred on any government official for the purpose of influencing decision making in violation of law.
- **Fair business practices, conflict of interest, anti-trust and IP rights / data security**
 - to uphold standards of fair competition, business and advertising;
 - to avoid behaviour and practices which could trigger conflicts of interest;
 - to abide to anti-trust laws;
 - to respect intellectual property rights and safeguard customer and supplier privacy, data and information.
- **Respect for the basic human rights²**
 - to employ no workers under the age of 15 or, in those countries subject to the developing country exception of the ILO Convention 138, to employ no workers under the age of 14, and ensure the health and safety of young workers, precluding them from hazardous and night work;
 - not to engage in or tolerate any form of modern slavery, forced labour and human trafficking³;
 - to ensure that no internal or external worker is subject to unethical recruitment practices⁴;
 - to promote equal opportunities for and treatment of its employees irrespective of skin color, ethnic background, nationality, social background, disabilities, sexual orientation, political or religious conviction, sex or age;
 - to respect the personal dignity, privacy and rights of each individual;
 - to refuse to tolerate any unacceptable treatment of employees, such as mental cruelty, sexual harassment or discrimination;
 - to prohibit behavior including gestures, language and physical contact, that is sexual, coercive, threatening, abusive or exploitative.
- **Fair working conditions**
 - to provide fair remuneration and to guarantee at least the applicable national statutory minimum wage;

¹ “Affiliates” means for the purpose of this Supplier’s Declaration all entities which control, are controlled by or are under common control with the respective party of this declaration, whether directly or through one or more intermediaries. For purpose of this definition “controlled” means ownership of securities representing fifty percent (50 %) or more of the voting capital stock or other interest having voting rights with respect to the election of the board of directors or similar governing authority, or any other power by contract or in any other form which entitles such named entity to the respective voting rights.

² [International Bill of Human Rights](http://www.ohchr.org/Documents/Publications/FactSheet2Rev.1en.pdf), <http://www.ohchr.org/Documents/Publications/FactSheet2Rev.1en.pdf> and Declaration of the International Labour Organisation on Fundamental Principles and Rights at Work. http://www.ilo.org/global/standards/information-resources-and-publications/publications/WCMS_087424/lang-en/index.htm.

³ Modern Slavery is characterized by an element of exploitation and coercion (the inability to leave the exploitative situation). It can take many forms, such as debt bondage, wage abuse, recruitment fraud, removal of identity documents and travel papers, compulsory overtime, child slavery and others. Please find free resources regarding modern slavery at <http://stronger2gether.org>. Please note ams OSRAM’s Modern Slavery Statement in this regard.

⁴ Unethical recruitment practices, such as excessive fees or costs for recruitment, including costs associated with travel, processing official documents and work visas in both home and host countries are major drivers for modern slavery.

- to comply with the maximum number of working hours laid down in the applicable laws. Nonetheless, a workweek should not be more than 60 hours per week, including overtime, except in emergency or unusual situations. All overtime must be voluntary. Workers shall be allowed at least one day off every seven days;
- to recognize, as far as legally possible, the right of free association and collective bargaining of employees and to neither favor nor discriminate against members of employee organizations or trade unions.
- **Health and safety of all internal and external workers**
 - to take responsibility for the health and safety of all internal and external workers;
 - to control hazards and take the best reasonably possible precautionary measures against accidents and occupational diseases;
 - to provide training and ensure that all internal and external workers are educated in health and safety issues;
- **Environmental & climate protection**
 - to act in accordance with the applicable statutory and international standards regarding environmental protection including use and handling of hazardous substances, waste wastewater and emissions management;
 - to reduce the use of water and disposal of waste, improve recycling and circularity of materials;
 - to sustainably use and manage resources and make continuous improvements in minimizing environmental pollution and increasing environmental protection;
 - to increase energy efficiency in the own production and delivered goods and services, use of renewable energy whenever possible and/or reduce greenhouse gas emissions.
- **Supply chain**
 - to use reasonable efforts to address social, environmental and climate risks in their own supply chain and to make reasonable efforts that their suppliers adhere to requirements comparable to those stipulated herein.

Code of Conduct – Conflict Minerals Supplement

December, 2021

This Conflict Minerals Supplement (hereinafter “**CMS**”) applies only to suppliers of ams OSRAM delivering materials, parts, components, sub-assemblies that will be integrated into ams OSRAM products as well as to suppliers of ams OSRAM delivering products for the purpose of resale by ams OSRAM (hereinafter “**Goods**”). The CMS is an integral part of the Code of Conduct for ams OSRAM Suppliers concerning their responsibilities with respect to a conflict-free sourcing of “**Conflict Minerals**” in order to effectively ensure that the use and sale of Conflict Minerals by ams OSRAM’s suppliers do not contribute to the ongoing conflict in the Democratic Republic of Congo (“**DRC**”) and adjoining countries. This CMS also applies on indirect deliveries of supplier’s Goods to ams OSRAM, i.e. it applies on orders and/or deliveries of Goods to third parties (contract manufacturers of ams OSRAM, distributors) forwarding such Goods – in processed or unmodified form – to ams OSRAM, provided that supplier is aware of such forwarding to ams OSRAM.

For the purposes of this CMS the following terms shall have the meaning as set out below:

- “**Conflict Minerals**” means columbite-tantalite (coltan), cassiterite, gold, wolframite, cobalt, or their derivatives, which are limited to tantalum, tin and tungsten, unless the United States Secretary of State determines that additional derivatives are financing conflict in the “Covered Countries”, in which case they are also considered Conflict Minerals; or any other minerals or their derivatives determined by the Secretary of State to be financing conflict in the “Covered Countries”.
- “**Covered Countries**” shall mean the DRC and any country that shares an internationally recognized border with the DRC. Such countries presently include Angola, Burundi, Central African Republic, the Republic of the Congo, Rwanda, South Sudan, Tanzania, Uganda, and Zambia.
- “**DRC Conflict Free**” shall mean as an attribute of Goods that such Goods do not contain Conflict Minerals that directly or indirectly finance or benefit armed groups in the Covered Countries.
- “**Final Rule**” shall mean the implementation rule as adopted by the U.S. Securities and Exchange Commission on August 22, 2012, pursuant to Sec. 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act relating to the use of Conflict Minerals.

The supplier declares herewith:

- to be fully committed to ensuring that its use and sale of Conflict Minerals (whether on a stand-alone basis or contained in its Goods) do not contribute to the ongoing conflict in the Covered Countries. Therefore, supplier shall in particular
 - (i) perform a reasonable country of origin inquiry throughout its entire supply chain (in accordance with standards that are equivalent to the requirements of the Final Rule in this regard), and
 - (ii) participate in an established supply chain communication process, such as the Responsible Minerals Initiative (RMI) of the Responsible Business Alliance (RBA).
- not to supply any Goods to ams OSRAM that are not DRC Conflict Free.
- to duly provide to ams OSRAM all relevant data regarding the occurrence of Conflict Minerals in its Goods by use of the latest version of the Conflict Minerals Reporting Template (CRMT) of the RMI within three weeks upon ams OSRAM’s request.
- to immediately notify ams OSRAM in writing in case supplier should become aware of any warning signs in its supply chain that indicate that the representation in accordance with the preceding paragraphs above might be no longer valid. Supplier shall in such case promptly conduct further examination to verify, whether Goods delivered by Supplier contained or still contain Conflict Minerals and shall provide ams OSRAM with a reasonable documentation.
- to use best efforts to promote among its suppliers compliance with the representations of this CMS.

Code of Conduct - Declaration of the Supplier

We hereby declare the following:

1. We have received a copy of the Code of Conduct for ams OSRAM Suppliers, including also its Conflict Minerals Supplement (CMS), if applicable, dated December 2021 (hereinafter "**Code of Conduct**") and hereby commit ourselves and our Affiliates, in addition to our commitments set out in the supply agreements with ams OSRAM, to comply with its principles and requirements.
2. We will provide ams OSRAM upon request - but not more than once a year - either, at our option (i) a written self-assessment in the form provided by ams OSRAM or (ii) a written report approved by ams OSRAM describing the actions taken or to be taken to assure our compliance with the Code of Conduct.
3. We agree that ams OSRAM or a third party appointed by ams OSRAM and reasonably acceptable to us, shall be entitled (but not obliged) to conduct inspections at the relevant premises of us and/or our Affiliates in order to verify our compliance with the Code of Conduct. Such inspections may only be conducted upon prior written notice of ams OSRAM, during regular business hours, in accordance with the applicable data protection law and shall neither unreasonably interfere with our business activities nor violate any of our confidentiality agreements with third parties. We further agree to reasonably cooperate in any inspections conducted and to bear our expenses in connection with such inspection; ams OSRAM will bear its expenses. We are entitled to deny ams OSRAM's audit request, if we provide ams OSRAM promptly with a corporate responsibility audit report, provided that such report (i) is not older than 12 months, (ii) complies with customary standards, and (iii) is issued by a trusted and well acknowledged audit company. However, ams OSRAM shall remain entitled to conduct an own audit, if ams OSRAM has reasonable grounds to suspect that we failed to comply with the Code of Conduct.
4. In addition to any other rights and remedies ams OSRAM may have, in the event of (i) our material or repeated failure to comply with the Code of Conduct or (ii) our denial of ams OSRAM's right of inspection as provided for in the third paragraph of this declaration, after providing us reasonable notice and a reasonable opportunity to remedy, ams OSRAM may terminate any purchase agreement entered into and/or any purchase order without any liability whatsoever.

Material failures include, but are not limited to, incidents of child labor, corruption and bribery, moneylaundering and failure to comply with the Code of Conduct's environmental and climate protection requirements. The notice and opportunity to remedy provision shall not apply to violations of requirements and principles regarding of the child labor as set out in the Code of Conduct or willful failures to comply with the Code of Conduct.

5. We agree that this declaration is subject to the substantive law, legal proceedings and venue which is set out in the purchase agreement and/or purchase order concluded between ams OSRAM and us and that, in the event no such agreement is yet established, is subject to the legal proceedings and substantive law (without reference to any of its conflict of law rules) in force at the place of the respective ams OSRAM purchasing company.

Place, date

Signature

Name (BLOCK CAPITALS), Function

Company Name / Seal

This document must be signed by an authorized representative of the company and returned to ams AG within 20 working days of receipt. Please return to:

OSRAM a.s., GSS Procurement, Komárnanská cesta 7, 94093 Nové Zámky, Slovakia or scanned with signature in electronic form to e-mail supplier-management@osram.com

Requested by ams OSRAM department:

Date: