



AGU and Supplier Code of Conduct

We require our suppliers to commit to the guidelines in this document.

Our company committed itself to follow this code of conduct in all its processes and operations. For this reason, you as a supplier within the supply chain, are also required to follow it.

Our company acts sustainably and fair.

AGU Management

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Ethics

We are committed to act ethically and with integrity, in order to fulfill our social responsibility. We require the same of our suppliers. This includes the following aspects:

1. Business Integrity

Suppliers shall not practice or tolerate any form of corruption, extortion, embezzlement or money laundering. Suppliers shall not offer or accept bribes or other unlawful incentives (e.g., facilitation payments') to or from their business partners or government officials. Suppliers shall not offer to AGU employees any kind of gifts or personal benefit which could be perceived as a bribe. In all cases, gifts or entertainment shall not be offered to improperly influence a business relationship and must not violate applicable laws or ethical standards.

2. Conflict of Interest

Suppliers shall disclose to AGU any situation that could constitute a conflict of interest, such as AGU employees having professional, private and/or significant financial advantages or interests in any of the supplier's businesses.

3. Identification of Concerns

Suppliers shall encourage and provide means for their employees to report concerns, complaints or potentially unlawful activities in the workplace without threat of reprisal, intimidation or harassment. Any report should be treated in a confidential manner. Suppliers shall investigate such reports and take corrective action if needed. Suppliers shall notify AGU of legal actions, administrative investigations or prosecutions that may affect their performance of AGU business or that could potentially adversely affect a supplier's and AGU's reputation. If at any time a supplier or one of its employees believes that a AGU employee has acted contrary to these principles, the supplier or its employee is encouraged to report its concerns to us at <https://www.agu.de/produkte/en/contact>

4. Fair Competition

Suppliers will conduct their business in line with fair competition and in accordance with all applicable anti-trust laws.

5. International Trade Controls

Suppliers must comply with export control regulations applicable to their business and provide accurate and truthful information about it to customs and other authorities when required.

6. Privacy and Intellectual Property

Suppliers shall safeguard and make only appropriate use of confidential information and ensure that all employees' and business partners' privacy and valid intellectual property rights are protected. Suppliers shall not use AGU's name or marks or that of our affiliates or products in publicity or advertising without AGU's prior written consent.



7. Data Privacy and Data Protection

Suppliers’ information systems that contain AGU’s confidential information or data shall be appropriately managed and protected against unauthorized access, use, disclosure, modification or destruction. Suppliers shall collect personal information only for legitimate business purposes, use it in a legal, transparent and secure manner, share it only with those who are allowed access, protect it in accordance with security policies, retain it only for as long as necessary, and obligate third parties with access to personal information to protect it.

8. Standards When Conducting Clinical Trials

Suppliers shall conduct clinical trials in accordance with international guidelines, applicable national and local laws and regulations, and recognized international quality and safety standards applicable to the proposed work. When engaged in clinical trials on behalf of AGU, all clinical trials shall be conducted in accordance with the global standards of Good Clinical Practices and follow the strictest medical, scientific and ethical principles, in particular the Declaration of Helsinki.

People & Labor

We are committed to treating our employees with fairness and respect, and to the protection of human rights. We require the same of our suppliers. This includes the following aspects:

1. Child Labor Avoidance

We do not tolerate child labor in our supply chain. Suppliers must avoid any sort of child labor in their business operations consistent with the International Labour Organization’s core labor standards and the United Nations Global Compact principles. If local minimum age law stipulates a higher age for work or mandatory schooling, the higher age applies.

2. Freely Chosen Employment

We do not tolerate child labor in our supply chain. Suppliers must avoid any sort of child labor in their business operations consistent with the International Labour Organization’s (ILO) core labor standards and the United Nations Global Compact principles. If local minimum age law stipulates a higher age for work or mandatory schooling, the higher age applies.

3. Freedom of Association

Suppliers shall commit to an open and constructive dialogue with their employees and workers’ representatives. In accordance with local laws, suppliers must respect the rights of their employees to associate freely, form and join labor unions, seek representation, join works councils, and engage in collective bargaining. Suppliers shall not disadvantage employees who act as workers’ representatives so that they can exercise their role without fear of reprisal or discrimination.



4. Working Time, Wages and Benefits

Working time for suppliers' employees shall not exceed the maximum set by the applicable national law and by ILO standards. Compensation shall be paid to employees regularly, in a timely manner and in full according to applicable laws and must comply with applicable national wage laws. Compensation and benefits should aim at providing an adequate standard of living for employees and their families. Unless otherwise provided by local laws, deductions from basic wages as a disciplinary measure shall not be permitted (this does not exclude the entitlement of damages on a contractual or legal basis). Suppliers are expected to provide their employees with fair and competitive compensation and benefits and to support equal pay for work of equal value. It is recommended that suppliers offer their employees ample training and educational opportunities.

5. Inclusion and Diversity

Equal treatment of all employees must be a fundamental principle of the supplier's corporate policy. Typical discriminatory treatment takes into consideration – consciously or unconsciously – irrelevant characteristics of an employee such as age, disability, ethnicity, family status, gender, gender expression, gender identity, genetic information, national origin, physical characteristics, political affiliation, pregnancy, religion, social origin, sexual orientation, union membership or any unlawful criterion under applicable law. Suppliers shall ensure that their employees are not harassed in any way. AGU encourages suppliers to provide an inclusive and supportive working environment by exercising diversity when it comes to their employees. Likewise, AGU encourages suppliers to have an active Supplier Diversity Program by engaging with diverse-owned businesses.

6. Fair Treatment

Suppliers must provide their employees with a workplace free of harsh and inhumane treatment, without any sexual harassment, sexual abuse, physical punishment or torture, mental or physical coercion or verbal abuse of employees, or the threat of any such treatment. Furthermore, suppliers are expected not to unfairly terminate any employment contract or without clear evidence specify that the termination of an employment contract, in relation to the working performance of an employee, as permitted by law. Employees may leave the employer freely provided they comply with advance notice specified by law. They shall be paid on time and in full for the work they have done prior to leaving according to applicable laws.

7. Local Community

To promote responsibility for the communities they operate in, suppliers should listen to the concerns of local residents and provide for healthy and safe living conditions. The support of local job creation, local sourcing, education provisioning and infrastructure development is encouraged



Health, Safety & Environment

We are committed to the protection of our employees health and safety. Furthermore we strive to act ecologically responsible and resource-saving. We require the same of our suppliers. This includes the following aspects:

1. Occupational Health and Safety

Suppliers shall adequately protect their employees against chemical, biological and physical hazards. Physically demanding tasks and conditions in the workplace as well as risks associated with infrastructures used must be adequately managed to protect their employees. Suppliers shall provide appropriate controls, safe work procedures, adequate maintenance and necessary technical protective measures to mitigate health and safety risks in the workplace and to prevent accidents and occupational illnesses. In addition, suppliers shall provide employees with appropriate personal protective equipment. Safety information relating to any identified workplace risk or hazardous materials – including compounds in intermediate materials – shall be available to educate, train and protect workers from hazards.

A safe and healthy working environment shall include as a minimum the provision of potable drinking water, adequate lighting, temperature, ventilation and sanitation and, if applicable, safe and healthy company living quarters.

2. Process Safety

Suppliers shall have safety programs in place for managing and maintaining all their production processes in accordance with the applicable safety standards. Programs shall be appropriate to facility and process risks. Suppliers shall appropriately communicate, disclose and manage hazards inherent in their processes and products to ensure that affected or potentially affected third parties are protected. Likewise, major incidents shall be analyzed and communicated in a timely fashion. For hazardous installations and processes, the supplier shall regularly conduct specific risk assessments and implement measures that prevent the occurrence of incidents such as chemical releases, fires or explosions.

3. Product safety

Suppliers must comply with product safety regulations, label products properly and communicate product-handling requirements. They shall provide to relevant parties the applicable documentation containing all necessary safety-relevant information for all hazardous substances in case of a legitimate need. This includes product information, safety data sheets, notification or registration confirmations, uses and exposure scenarios. Suppliers proactively and transparently share information about the health, safety, and environmental aspects of their products with all relevant parties.

Quality

We are committed to high standards of quality, safety and effectiveness of our products and services, in compliance with applicable laws and regulations. We require the same of our suppliers. This includes the following aspects:

1. Quality Requirements

Suppliers shall meet generally recognized quality standards or contractually agreed quality requirements and standards, in order to provide goods and services that consistently meet AGU and its customers' needs, perform as warranted and are safe for their intended use. Suppliers shall immediately address all critical issues that have the potential to negatively affect the quality of goods and services. Suppliers must inform AGU about changes of the manufacturing or supply process that have the potential to impact the specification of goods and services provided.

2. Security and Anti-Counterfeiting Measures

Suppliers shall have good security practices across their supply chains. Suppliers shall assure the integrity of each shipment to AGU from its origin through to its destination. Suppliers shall implement the necessary and appropriate measures in their area of responsibility to ensure that AGU products, their workable components or raw materials as well as the corresponding know-how do not end up in the hands of counterfeiters, smugglers, thieves or other unauthorized third parties and do not leave the legitimate supply chain. Suppliers shall promptly analyze the relationship with a third party if they obtain or are provided with evidence that they are inadvertently involved in the manufacturing or selling of counterfeit products via the actions of the third party, including products destined for export that are considered counterfeit products in their country of destination. AGU expects suppliers to support the investigation and prosecution of any activities connected with counterfeit products.



Governance & Management Systems

We are committed to an effective management structure, which supports the compliance with laws, and supports the continuous improvement of fulfilling the expectations of this code of conduct. We require the same of our suppliers. This includes the following aspects:

1. Legal and Other Requirements

Suppliers shall identify and comply with all applicable international, national and local laws and regulations, contractual agreements and internationally recognized standards. Suppliers shall also conform their practices to generally accepted industry standards, shall obtain, maintain and keep up-to-date all applicable permits, certificates, licenses and registrations, and shall operate in accordance with permit limitations and requirements at all times.

2. Commitment and Accountability

Suppliers shall fulfill the principles set forth in this Supplier Code of Conduct by allocating appropriate resources and incorporating all applicable aspects into policies and procedures.

3. Communication of Sustainability Criteria in the Supply Chain

Suppliers shall replicate the sustainability principles set forth in this Supplier Code of Conduct further down the supply chain.

4. Systems, Documentation and Evaluation

Suppliers shall develop, implement, use and maintain management systems and controls related to the content of this Supplier Code of Conduct. Suppliers shall maintain documentation necessary to demonstrate conformance with the principles outlined in this Code of Conduct.

5. Risk Management

Suppliers shall implement mechanisms to regularly identify, evaluate and manage risks in all areas addressed by this Supplier Code of Conduct and with respect to all applicable legal requirements.

6. Business Continuity

Suppliers are encouraged to implement appropriate business continuity plans for operations supporting AGU's business.

7. Continuous Improvement

Suppliers shall demonstrate their commitment to continuous improvement by setting performance objectives, executing implementation plans and taking necessary corrective actions for deficiencies identified by internal or external assessments, inspections and management reviews.



8. Training and Competency

Suppliers will develop, implement and maintain appropriate training measures to allow their managers and employees to gain an appropriate level of knowledge and understanding of the applicable principles of this Supplier Code of Conduct, the applicable laws and regulations and generally recognized standards.

9. Transparency and Disclosure

Suppliers are encouraged to report externally about their economic, social and environmental impact in line with the principles set forth in this Supplier Code of Conduct.

10. Right to Evaluation

Suppliers shall grant AGU the right to evaluate their performance upon reasonable prior notice to determine supplier's conformance with principles outlined in the AGU Supplier Code of Conduct. The evaluation shall be executed directly by AGU or by a qualified third party in the form of e.g. an assessment or an audit.