



## Preface of the Executive Board

*“The future of Additive Manufacturing is sustainable. This requires trustworthy and transparent cooperation with our suppliers and business partners.”*

- Sam O’Leary, CEO der Nikon SLM Solutions AG

Our goal for the coming years is to ensure successful operations and a presence in both the national and international competitive environments. This demand can only be achieved through ensuring the highest quality levels in all areas of our company and the responsible handling of existing resources and our environment.

The continuous further development of our processes, machines and procedures with the aim of increasing quality, energy and environmental performance is thus the task of the company management as well as every employee, as this is the only way in which company-wide improvement can be guaranteed.

In this regard, the company is obliged to ensure continuous improvement through the regular definition of goals, the development of measures through which they can be achieved, and also the associated constant revision.

All activities and processes are regularly reviewed with the requirement of minimizing possible negative environmental impacts as well as energy and resource consumption to help protect the environment. The focus is thus on continuously increasing efficiency. Environmentally conscious behaviour is the responsibility of all company employees and is implemented and encouraged at all levels. Management will act as an example to the employees in its central role.

We ensure the safety of our products, packaging and processes for our employees, customers and the environment. We consider this to be a requirement for conducting responsible business, and an essential element in building and maintaining trust in our products. We carefully evaluate the safety of all our products before they go to the market.

In this regard, we are obliged to comply with all relevant regulations, rules and legislation. We create trust through an open discussion of quality, energy and environmental issues with customers, suppliers, owners, authorities and the public. We are compliant according to our code of conduct. Furthermore, it thus offers us the opportunity to help protect the environment and the industrial location of Germany.

For this reason, we also expect our suppliers and business partners to comply with the principles described above and the code of conduct set out here.

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# Ethical Principles

**As part of fulfilling social responsibility, it is essential that suppliers and business partners act ethically and with integrity. The ethical principles include the following requirements:**

## **Integrity in business transactions**

Corruption, extortion, embezzlement, misappropriation and money laundering in any form are to be prohibited, not practiced and not tolerated. In business and legal transactions, suppliers and business partners must prevent offering or accepting bribes or other illegal inducements (e.g. kickbacks) to business partners or public officials. Suppliers and business partners are required not to offer gifts or other benefits to employees for personal gain or as bribes. Gifts or hospitality may not violate applicable laws or ethical principles, nor may they unfairly influence the business relationship.

## **Fairness in competition**

In competition, the actions of suppliers and business partners are fair, and they do not disregard antitrust laws. In marketing campaigns or in the sale of metal-additive products, fair trading shall be practiced. Sales, advertising and marketing materials shall be truthful and accurate.

## **International trade regulations**

Suppliers and business partners shall comply with the import and export control regulations applicable to their business. They must provide correct and truthful information to customs and other authorities.

## **Protection of confidential information, data and intellectual property rights**

Confidential information must be appropriately processed, registered and protected. It must be ensured that information worthy of protection and the company's intellectual property rights, the data of its own employees and of its business partners are safeguarded. Furthermore, they must be protected against unauthorized access and use, disclosure, modification or destruction of the data. In accordance with the applicable laws, personal data may only be used by persons authorized to access it and must be secured and stored using special security measures. Suppliers and business partners may not use the name, trademarks, information, data or products of Nikon SLM or its subsidiaries for their own purposes without the prior written consent of Nikon SLM.

## **Conflicts of interest**

In the event of conflicts of interest, suppliers and business partners must inform Nikon SLM immediately, in particular regarding professional, private and/or other advantages of individual company employees or participations in a company of the supplier or business partner.

# Ethical Principles

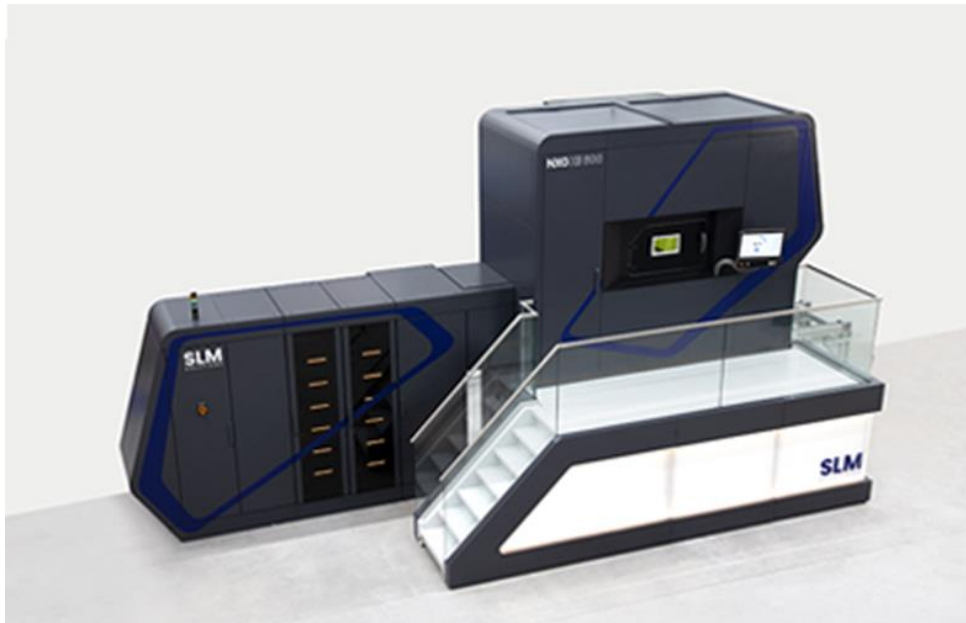
## **Establish channels for reporting illegal behavior**

Suppliers and business partners shall establish and enforce communication channels for their employees to file complaints or report possible illegal behavior without facing threats, persecution or other disadvantages. Each report must be treated confidentially.

Based on the reports, the suppliers and business partners must carry out investigations and take the necessary measures. Nikon SLM must be informed of any legal action, investigation or prosecution if such activities could harm the business or reputation of Nikon SLM or its suppliers and business. If a supplier or business partner, or any of their employees, believes that an Nikon SLM employee has violated this policy, the supplier/business partner or their employees should report their concerns to the Nikon SLM Compliance Hotline <https://slm.eqs-integrity.org/> anonymously or by email to [compliance@nikon-slm-solutions.com](mailto:compliance@nikon-slm-solutions.com).

## **Conflict Minerals**

Suppliers and business partners must ensure that no products are supplied to Nikon SLM that contain metals or other components whose source minerals or derivatives originate from a conflict region where they directly or indirectly contribute to the financing or support of armed groups or cause or promote human rights violations.



# Treatment of Employees and other Persons

**Suppliers and business partners shall respect human rights and treat their employees fairly and with respect. This includes the following requirements:**

## **Working hours, wages and other benefits**

Suppliers and business partners must comply with the applicable legal regulations and ILO standards on working hours. It must be ensured that remuneration and wages provide employees and their dependents with an adequate livelihood. Wages and compensation shall be paid fairly, timely, regularly and comprehensively, and shall be in accordance with minimum legal requirements. Punishments linked to wages or remuneration are to be avoided wherever possible and are only permitted within the framework of the statutory provisions. Statutory claims for damages shall remain unaffected. The principle of equal pay for work of equal value shall apply. In this context, it is particularly prohibited to discriminate against employees based on their gender, geographical or social origin, ethnicity, skin color, religion, age, disability, genetic and physical characteristics, pregnancy, marital status or sexual identity/expression.

## **Free choice of employment**

Nikon SLM generally condemns all forms of slavery, oppression, (indentured) servitude, forced labor, labor camps and human trafficking. The withholding of personal property and possessions, passports, wages, training certificates, employment or other documents due to the person is not justifiable outside the law.

## **Condemnation of child labor**

Nikon SLM generally condemns any form of child labor in our supply chain. Suppliers and business partners must ensure that these methods do not occur in the supply chain. The definition of child labor of the International Labor Organization (ILO) as well as the principles of the UNGC, CRC and UNICEF apply. Higher legal minimum age for workers as well as longer compulsory schooling must be observed.

## **Freedom of association**

Suppliers and business partners shall respect and promote a culture of open and constructive communication, especially regarding employees and employee representatives. Within the framework of national legal regulations, suppliers and business partners shall respect the freedom of association, the right to form and join trade unions, to appoint employee representatives, to form works councils and to participate in collective bargaining. It is forbidden to discriminate employees who act as employee representatives in order to ensure that the activity is carried out without disadvantages for the employee.

# Treatment of Employees and other Persons

## **Inclusion and diversity**

For Nikon SLM, the equal treatment of all employees is a particularly immanent principle of action in the Group's policy, which is why suppliers and business partners must pay particular attention to it. Discriminatory behavior usually relates to personal characteristics, e.g. their gender, geographical or social origin, ethnicity, skin color, religion, age, disability, genetic and physical characteristics, pregnancy, marital status or sexual identity/expression. Suppliers and business partners will ensure and protect their employees should they become victims of discrimination, hatred, threats or other reprehensible behavior. Suppliers and business partners are encouraged to create a respectful and humane work environment through diversity and esteem.

## **Caring and local communities**

Based on the ethical principles, it is self-evident that suppliers and business partners must treat their employees fairly. Sexual harassment, sexual abuse, corporal punishment or torture, mental or physical coercion or verbal abuse as well as threats of such methods are not acceptable. Furthermore, Nikon SLM requires that suppliers and business partners do not terminate employment contracts without cause or that they do not accept the termination of an employment contract by employees. Before employees leave the company, their existing wage or other claims must be settled.

Nikon SLM expects its suppliers and business partners to act responsibly in all areas in which they conduct their business and to respect the cultural characteristics of the local population. It is particularly appreciated when suppliers contribute to the improvement of employment, infrastructure and educational opportunities.



# Protection of health and safety

**Suppliers and business partners must take adequate precautions for the health and safety of their employees, customers, visitors, contractors and other persons. Furthermore, responsible, sustainable action is essential. This includes the following requirements:**

## **Occupational health and safety**

Suppliers and business partners shall establish systems that properly protect their employees from chemical, biological and physical hazards. This applies all the more in the case of physically demanding work activities and conditions as well as infrastructural risks of the working environment. Risks from the work environment, such as accidents and poor working conditions, must be minimized through internal or external audits, safe work practices, protective clothing, maintenance, protection and other measures. Employees must be adequately informed by suppliers and business partners about risks and hazardous substances.

## **Process and product safety**

Suppliers and business partners shall implement work processes and safety programs in accordance with applicable safety standards and product safety regulations that effectively address the operations and associated risks. Process and product risks must be disclosed to Nikon SLM or other affected third parties without delay so that they can take measures to minimize damage in a timely manner. Suppliers and business partners must communicate openly, honestly and proactively with the affected parties and establish a transparent process. Furthermore, they shall provide the applicable documentation with all safety-relevant information on all hazardous substances to Nikon SLM as required. This includes product information, safety data sheets, notification and approval confirmations, usage and risk scenarios. Process and product-oriented risk management must be carried out on a regular basis.

## **Information about risks and training**

To protect employees and contractors, suppliers and business partners must compile and communicate information on the process, product and work risks described above in a comprehensible and appropriate manner. Regular training for employees on risk prevention is crucial. A system for identifying and evaluating risks in the working environment, the surrounding area and any emergency situations must be established and tested.



# Environmental Protection

## **Waste and emissions**

Suppliers and business partners are expected to provide systems and instructions to ensure safety regarding the handling, storage, transport and disposal of waste, exhaust gases and wastewater. All activities that may have a negative impact on human, animal and/or environmental health must be adequately monitored. Hazardous substances and other dangerous substances must not be emitted but disposed of appropriately. Accidental emissions must be kept as low as possible and prevented.

## **Natural resources and climate protection**

Natural resources, e.g. water, energy sources, raw materials, are to be used sparingly by suppliers and business partners. Suppliers and business partners should strive for diverse and recognized sustainability standards and certifications. It is important that suppliers and business partners, or actors in their supply chain, mitigate negative environmental impacts at the point of damage. They should also adapt their business activities to conserve resources and reduce, recycle and reuse materials in order to reduce environmental impact and promote a better and more sustainable circular economy. Suppliers and business partners shall act in an environmentally and climate friendly manner, reduce raw materials and energy consumption, reduce emissions, do not harm water quality and dispose of waste in an environmentally sound manner. Nikon SLM encourages its suppliers and business partners to substitute natural resources and to continuously limit the ecological footprint of their own activities.

## **Animal welfare**

Animal welfare is close to Nikon SLM's heart. For this reason, suppliers and business partners must refrain from using animals. Should the supplier wish or be required to use animal testing in the course of its business, all possible alternatives to animal testing that are accepted by regulatory authorities and are scientifically sound and reliable so that quality and safety are not compromised must be discussed in advance. It is imperative that animal testing be kept to a minimum and be conducted in a manner that is species-appropriate and ethical.

# Quality assurance

**Suppliers and business partners must provide high quality, safe and effective goods and services that are in compliance with applicable laws and regulations. This includes the following requirements:**

## **Quality Standards**

Suppliers and business partners must meet generally accepted quality standards or contractually agreed quality requirements to provide goods and services that consistently meet the needs of Nikon SLM and its customers, perform as warranted and are safe for their intended use. Suppliers and business partners must promptly address any critical issues that could negatively impact the quality of the goods and services. Suppliers and business partners must inform Nikon SLM of any changes in the manufacturing or delivery process that may affect the specifications of goods supplied or services rendered.

## **Protection and counterfeiting measures**

Suppliers and business partners must comply with their duty of care for appropriate protective measures within their supply chains. They must ensure the integrity of deliveries to Nikon SLM - from the point of origin to the point of destination. Suppliers and business partners shall take all necessary and appropriate measures within their area of responsibility to ensure that neither Nikon SLM products nor their processable components or raw materials nor the corresponding know-how fall into the hands of counterfeiters, smugglers, thieves or other unauthorized third parties or leave the legitimate supply chain. Suppliers and business partners shall immediately carry out an examination of their relationship with a third party if there are indications that they are unintentionally involved in the manufacture or sale of counterfeit products through the activities of the third party. Suppliers and business partners are expected to fully support the investigation and prosecution of activities related to counterfeit products.



# Compliance, Governance and Management

**Suppliers and business partners shall implement and continue to develop effective management systems and a governance structure that promote compliance with applicable laws as well as company policies in their businesses and target continuous improvement with respect to the principles set forth in this Code of Conduct. This includes the following requirements:**

## **Legal and other requirements**

Suppliers and business partners shall be aware of and comply with all applicable international, national and local laws and regulations, contractual agreements and internationally recognized standards. Suppliers' and business partners' practices shall be aligned with generally accepted industry standards, and all applicable permits, certificates, licenses and approvals shall be obtained and kept up to date. Their activities shall always be in accordance with the restrictions and requirements of the permits.

## **Documentation, control and evaluation**

Suppliers and business partners shall develop, implement, live and maintain management systems and controls related to this Code of Conduct Content. Available, required documentation must be ensured so that compliance with the principles of this Code of Conduct can be demonstrated.

## **Risk Management**

Suppliers and business partners are expected to implement tools to regularly identify, assess and manage risks in all areas covered by this Supplier and Business Partner Code of Conduct and with reference to all applicable legal requirements.

## **Business Continuity**

Suppliers and business partners are encouraged to design appropriate plans to support and ensure the continuity of Nikon SLM's business activities to enable business continuity.

## **Commitment and Responsibility**

Suppliers and business partners shall provide appropriate resources within their company to ensure that the principles of this Code of Conduct are upheld and implemented by incorporating them into policies and procedures.

## **Communication of the Sustainability Principles in the Supply Chain**

The sustainability principles set out in this Code of Conduct shall also be implemented by suppliers and business partners in their upstream supply chain.

# Compliance, Governance and Management

## **Continuous improvement**

Nikon SLM expects suppliers and business partners to demonstrate a certain level of commitment to continuous improvement. This is to be ensured by setting performance targets, executing implementation plans and taking appropriate and necessary actions to correct deficiencies. This commitment shall be identified during internal or external audits, inspections and management reviews.

## **Transparency and control**

Suppliers and business partners are encouraged to report externally on their economic, social and environmental impacts in accordance with the principles set out in this Supplier and Business Partner Code of Conduct.

## **Training and Competencies**

Suppliers and business partners shall provide appropriate training to ensure adequate understanding of the principles of this Code of Conduct as they apply to employees, as well as applicable laws, regulations and generally accepted standards.

## **Right to Audits**

Suppliers and business partners grant Nikon SLM the right to evaluate their commitment to sustainability and to this Code of Conduct after prior notice with a reasonable period to assess the supplier's and business partner's compliance with the principles. The assessment will be carried out directly by Nikon SLM or by a qualified third party with respect to business secrets.

## **Consequences of violations and corrective measures**

If violations of this Code of Conduct are identified, the business partner is obligated to notify Nikon SLM immediately in writing and to take appropriate corrective action. In the event of a violation, Nikon SLM reserves the right to terminate the respective contract for good cause without notice, depending on the severity of the violation and the individual case.

# Definition

**Within these provisions, selected terms, organizations or concepts used in this Code of Conduct for Suppliers and Business Partners of Nikon SLM are defined and explained in more detail.**

**Conflict Minerals:** Conflict minerals, as currently defined, include the metals tantalum, tin and tungsten, which are derivatives of the minerals cassiterite, columbite-tantalite and wolframite, and gold. They are also referred to as "3TG."

[URL: [www.responsiblemineralsinitiative.org](http://www.responsiblemineralsinitiative.org)]

**Employees:** By employees, Nikon SLM means all personnel employed by or engaged by a supplier and business partner.

**Hazardous substances:** As defined by the Globally Harmonized System of Classification and Labeling of Chemicals (GHS) established by the UN Economic Commission for Europe (UNECE).

**Human Trafficking:** Human trafficking includes the recruitment, harboring or transportation of people for the purpose of exploitation using force, deception or coercion and the forcing of these people to work involuntarily.

**International Labor Organization (ILO):** The ILO is a UN agency that brings together governments, employers, and workers of UN member states to set labor standards, develop guidelines, and design programs that promote decent working conditions for all employees. [URL: [www.ilo.org](http://www.ilo.org)]

**Personal information:** Personal information is any information relating to an identified or identifiable natural person.

**Suppliers and business partners:** Suppliers and business partners are all third parties that supply goods and services to Nikon SLM, as well as the agents or subcontractors of these third parties.

**Sustainability:** Sustainability includes the areas of ethics, human rights (i.e. treatment of employees and other persons), health, safety, environment.

**Sustainability standards and certifications:** Voluntary, usually third-party verified, guidelines and standards on environmental, social, ethical and safety requirements that companies use to demonstrate their own sustainability or the sustainability of their products in specific areas.

**United Nations Global Compact (UNGC):** A voluntary initiative led by the United Nations (UN) based on the commitment of CEOs to apply universal sustainability principles (also known as "The Ten Principles of the UN Global Compact") and to support UN goals such as the Sustainable Development Goals through their own actions. [URL: [www.unglobalcompact.org](http://www.unglobalcompact.org)]

## Definition

**UN Committee on the Rights of the Child (CRC):** The Committee on the Rights of the Child, CRC, is a monitoring body established by the UN to oversee the implementation of and compliance with the Convention on the Rights of the Child and its Optional Protocols by States Parties.

[URL: [www.ohchr.org/en/hrbodies/crc/pages/crcindex.aspx](http://www.ohchr.org/en/hrbodies/crc/pages/crcindex.aspx)]

**United Nations Children's Fund (UNICEF):** The United Nations Children's Fund is one of the developmental organs of the United Nations. It was founded on December 11, 1946, initially to help children in Europe after World War II. Today, the Children's Fund works primarily in developing countries.

[URL: [www.unicef.org/child-rights-convention](http://www.unicef.org/child-rights-convention)]

# References

**Circular Economy**

<https://www.ellenmacarthurfoundation.org/>

**Declaration of Helsinki**

<https://www.wma.net/what-we-do/medical-ethics/declaration-of-helsinki/>

**International Labour Standards (ILO)**

<http://www.ilo.org/public/english/standards/norm/whatare/fundam/index.htm.ilo.org>

**OECD Guidelines for Multinational Enterprises**

<http://www.oecd.org>

**OECD Guiding Principles for Chemical Accident, Prevention, Preparedness and Response**

<http://www.oecd.org/env/ehs/chemical-accidents/Guiding-principles-chemical-accident.pdf>

**Responsible Care Global Charter**

<https://www.icca-chem.org/responsible-care-global-charter/>

**Together for Sustainability**

<http://www.tfs-initiative.com>

**United Nations Convention on the Rights of the Child**

<https://www.ohchr.org/en/professionalinterest/pages/crc.aspx>

**United Nations Global Compact**

<http://www.unglobalcompact.org>

**United Nations Guiding Principles**

[https://www.ohchr.org/Documents/Publications/GuidingPrinciplesBusinessHR\\_EN.pdf](https://www.ohchr.org/Documents/Publications/GuidingPrinciplesBusinessHR_EN.pdf)

**Universal Declaration on Human Rights**

<https://www.un.org/en/universal-declaration-human-rights/index.html>

**United Nations on the Declaration of Disabled People**

<https://www.ohchr.org/EN/ProfessionalInterest/Pages/RightsOfDisabledPersons.aspx>

**United Nations OCHR: Women's Rights are Human Rights**

<https://www.ohchr.org/documents/events/whrd/womenrightsarehr.pdf>

# Declaration of the Supplier / Business Partner

The undersigned person confirms that his own management has been informed about the Code of Conduct for Suppliers and Business Partners by Nikon SLM and that the regulations listed in the Code of Conduct are complied with accordingly.

**Company:**

**Name:**

**Function:**

**Place, Date:**

**Name and signature of Supplier:**

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**Company stamp:**

Received by Nikon SLM Solutions AG (date): \_\_\_\_\_