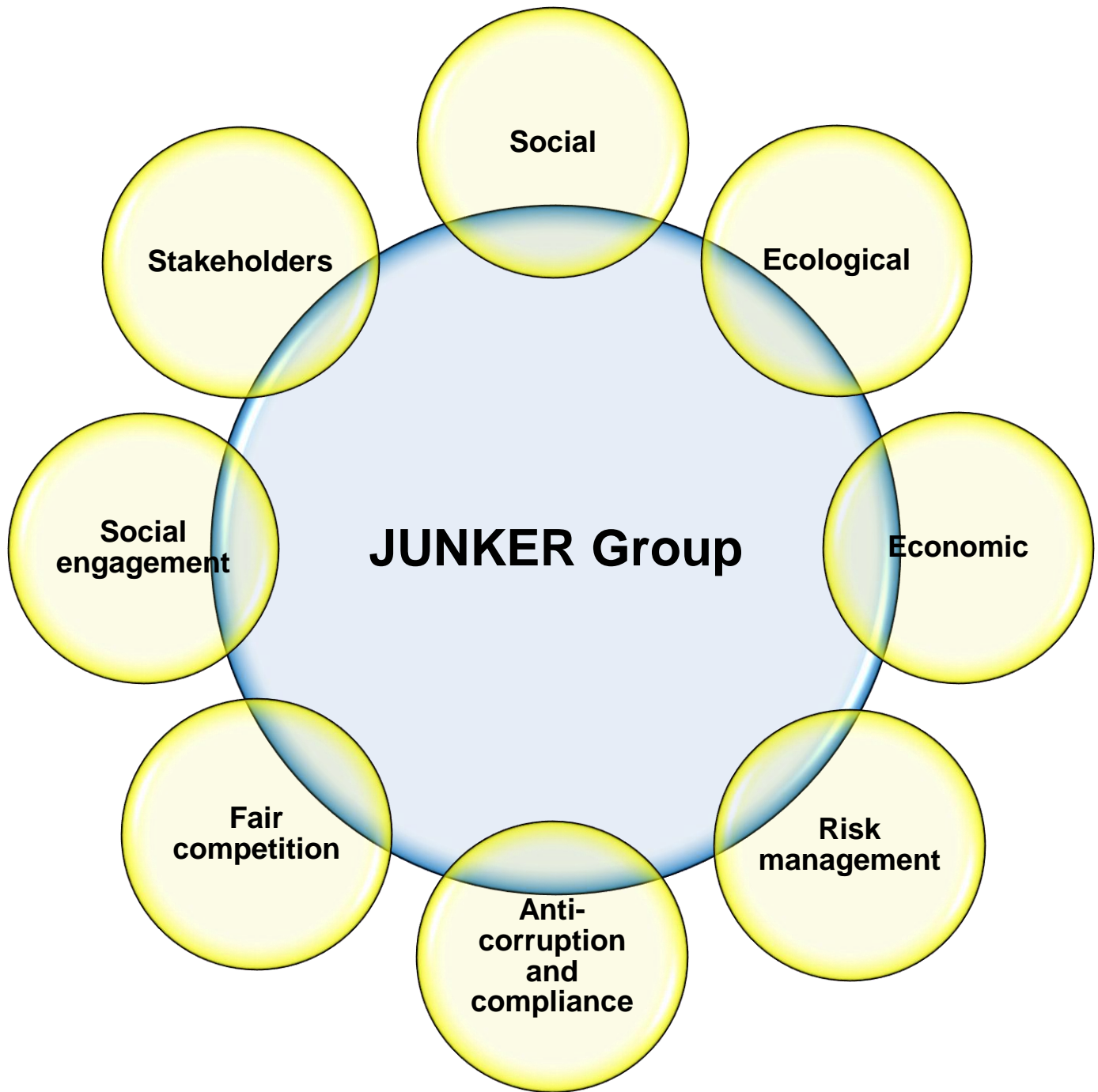


Code of Conduct for suppliers of the JUNKER Group



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For JUNKER, observance of and compliance with high ethical and ecological standards is of great importance. In this Code of Conduct, we have specified our expectations of ethical, social and ecologically responsible conduct that we stipulate for suppliers, providers, subcontractors and other companies with whom we have business relations (collectively referred to as "Suppliers" for short). We know that Suppliers are active worldwide and consequently move in different jurisdictions and cultures. Nevertheless, the Code of Conduct contains the minimum requirements that Suppliers must satisfy to be able to enter into business relationships with us. JUNKER also undertakes to procure raw materials in a long-term, responsible manner. To be able to satisfy these requirements, Suppliers are also required to pass on the provisions of this Code of Conduct within their supply chain.

We are conscious that Suppliers may not yet fulfill individual requirements and must be granted a certain amount of time to satisfy the requirements of this Code of Conduct. We ask our Suppliers to inform us at regular intervals about the measures taken relating to this Code of Conduct and the adopted plans for improvement. We also reserve the right to carry out checks at a Supplier's site that are necessary in our opinion to ensure that this Code of Conduct is complied with within our supply chain. The checks can be through a Supplier's written self-evaluations (according to the template attached in Annex 2), but also by means of assessments by JUNKER or third parties.

Our key requirements of Suppliers of the JUNKER Group are as follows:

1. **Respect for human dignity and human rights:** The Supplier undertakes to respect personal dignity, privacy and compliance with the personal rights of every individual.
2. **Freedom of association and the right to collective bargaining:** We expect our Suppliers to respect employee rights to freely establish organizations, become members of such organizations and participate in collective bargaining.
3. **Forced and child labor:** The employment of forced laborers by Suppliers is forbidden. Similarly, it is forbidden for Suppliers to employ workers under the statutory minimum age in countries or local jurisdictions in which they perform services for us. If no minimum employment age is stipulated, a minimum employment age of 15 applies.
4. **Non-discrimination and equal opportunities:** Employees of Suppliers must not be disadvantaged due to ethnicity, skin color, nationality, gender, religion, disability, sexual orientation or other illegal grounds in recruitment, promotion, remuneration, performance assessment or with regard to other working conditions. The recruitment of staff should be dependent exclusively on whether an applicant fits the required job profile.
5. **Minimum wage:** The Supplier must not pay less than the respective statutory minimum wage. Should no minimum wage be stipulated according to local law, the market-rate wage must be paid.
6. **Working hours and working conditions:** We expect our Suppliers to observe the applicable laws of the respective country regarding working hours and to comply with the respective statutory working hours for employees. We will not accept Suppliers regularly demanding that their employees work longer than the statutory working hours without appropriate remuneration according to the applicable law. We also expect our Suppliers to provide their employees with appropriate working conditions.
7. **Occupational health and safety:** Suppliers must ensure that their workplaces fulfill all health and safety requirements applicable in the respective country. If the Supplier provides its

employees with accommodation, this must be in line with the health and safety requirements that also apply to workplaces.

8. **Anti-corruption and compliance:** Suppliers undertake to follow all laws and regulations relevant in the respective country for the prevention of bribery and corruption when supplying us and/or in connection with our business operations, as well as to comply with all other applicable laws and regulations.

9. **Integrity and fair competition:** Suppliers must conduct business in accordance with fair competition and in agreement with all applicable antitrust provisions. Suppliers also undertake to display fair business practices.

10. **Data protection:** Suppliers must guarantee the confidentiality of information and its proper use, and ensure that the data protection rights of us, our employees and our customers are protected.

11. **Information security:** JUNKER places great value on the level of information security and cybersecurity. We fulfill the requirements of information security through increasing data transfers and collaboration with our Suppliers across systems. We require our Suppliers to fulfill information security requirements through their own security guidelines or through certification according to ISO 27001.

12. **Environmental/ecological responsibility:** Suppliers must comply with all applicable environmental protection laws and all official regulations with regard to environmental protection. We will prioritize Suppliers who boast an ISO 14001-certified environmental management system or promote preserving, protecting and cleaning up the environment with environmental protection measures of their own initiative, for instance through energy conservation, recycling and environmental cleanup. Moreover, Suppliers must encourage their employees to act responsibly in relation to the environment.

13. **CO₂ reduction:** The "Paris Agreement" (COP21) demands that every company contribute to the global reduction of CO₂ emissions. JUNKER urges its Suppliers to achieve the objectives of the Paris Agreement and reduce CO₂.

14. **Responsible acquisition of raw materials:** JUNKER is aware that responsibly handling raw materials and their acquisition is the key to ethical trade. Demand for these raw materials has an enormous effect on the entire ecosystem and can consequently impact the sustainable development of local populations, animals and plants. We require Suppliers to share this vision of sustainability and procure products and services responsibly/produce them in an environmentally friendly manner.

15. **Conflict minerals:** JUNKER appreciates its duty of care and consequently uses no conflict minerals (gold, tin, tantalum and tungsten) for the created products. We must consequently obligate Suppliers of the JUNKER Group to provide, upon request, full verifiability of the origin of the minerals in question when used in delivery parts. JUNKER consequently expects all Suppliers to comply with the legal stipulation and will not accept violations.

16. **Risk management:** We expect our Suppliers to stipulate mechanisms for determining and managing the risks in all areas named in this Code of Conduct.

17. **Observation of the directives of the UN Global Compact initiative:** We expect our Suppliers to comply with the directives of the UN Global Compact initiative (www.unglobalcompact.org).

18. **Social engagement:** We prefer to work with Suppliers who are also engaged in community work (for example in education; in the cultural, economic and social welfare of the community in which they live and work; in schools and colleges, etc.).

19. **Continuous improvement:** For the purposes of continuous improvement, Suppliers are expected to set performance objectives, implement plans and take required corrective measures with regard to deficiencies determined in internal and external examinations, audits and other examinations.

20. **Passing on the principles of this Code of Conduct within the supply chain:** Suppliers must ensure, to the best of their ability, that the principles of this Code of Conduct are passed on to their employees and all those involved in their supply chain who directly or indirectly provide products or services for us. Suppliers must also ensure, to the best of their ability, that the principles listed in this Code of Conduct are adopted and applied by their employees, suppliers, representatives and contractors who directly or indirectly provide products or services for us.

21. **Updating the Code of Conduct:** We will adapt the Code of Conduct at regular intervals to the requirements of our stakeholders.

22. **Violations of the Code of Conduct:** If a Supplier violates this Code of Conduct, we reserve the right to end the contractual relationship with the Supplier. We will also exclude from tendering Suppliers who do not display high ethical and corporate social responsibility standards or who do not comply with relevant laws.

Please send us an acknowledgment of the Code of Conduct with the form attached in [Annex 1](#).

Annex 1**Acknowledgment of the Code of Conduct for Suppliers of the JUNKER Group**

To
Erwin Junker Maschinenfabrik GmbH
– Purchasing department –
For the attention of
Junkerstr. 2
77787 Nordrach

We hereby confirm

- that we have understood the requirements stipulated in the Code of Conduct for Suppliers of the JUNKER Group (Version 3.0/As of: 02/2021) and will comply with them,

and

- that we will adhere to good, ethical business practices, as stipulated in the Code of Conduct for Suppliers of the JUNKER Group, in all dealings with companies of the JUNKER Group.

We have furthermore understood that we may be asked to fill out the questionnaire in Annex 2 and also to agree to additional examinations, on-site visits and/or a full audit by the JUNKER Group or a customer of the JUNKER Group, in order to provide the necessary proof that we are properly fulfilling the standards set out in the Code of Conduct.

Place,
Date

Company, stamp

Name, signature

Annex 2

Questionnaire on the Code of Conduct for Suppliers of the JUNKER Group

Company details	Name of the company		
	Address		
	Phone		
	Fax		
	E-mail		
	Website		
	Chair/Managing Director		
	Corporate purpose/type of business activity		
Employee statistics	Number of employees		
	Required minimum age		
	Average age		
	Gender distribution	Male: Female: Other:	
	Average weekly working hours per employee		
CSR policy	Does the company have a CSR policy?	<input type="checkbox"/> Yes, copy is attached	<input type="checkbox"/> No
	Has a CSR process been implemented in the company?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Data protection	Is there a particular person who is responsible for data protection?	<input type="checkbox"/> Yes Name: _____	<input type="checkbox"/> No
	Is the company protected against data misuse?	<input type="checkbox"/> Yes, proof attached	<input type="checkbox"/> No
Information security	Does the company have ISO 27001 or TISAX certification?	<input type="checkbox"/> Yes, copy is attached	<input type="checkbox"/> No
	Is certification of the company in accordance with a standard planned? If yes, by when should certification be completed?	<input type="checkbox"/> Yes, by: _____	<input type="checkbox"/> No
Human rights	Does the company have a human rights directive or declaration?	<input type="checkbox"/> Yes, copy is attached	<input type="checkbox"/> No
	Is the company involved in forced labor?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Does the company use child labor?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Are there obstacles to freedom of association or the right to collective bargaining?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Does the company discriminate based on age, gender, disability, religion, language, political or other beliefs, ethnicity or skin color, national or social background, membership of a national or ethnic minority, sexual orientation or other characteristics?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

	Is the company involved in corporal punishment, mental or physical coercion or verbal abuse?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Do the wages paid for a standard working week comply with the national legal and industry-specific standards?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Does the company offer appropriate and fair working conditions, fair and satisfactory remuneration for the work performed and equal pay for equal work?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Health and safety	Does the company have a health and safety directive or declaration?	<input type="checkbox"/> Yes, copy is attached	<input type="checkbox"/> No
	Does the company comply with the local legal regulations with regard to health, safety and welfare at the workplace?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Does the company have ISO 45001 certification?	<input type="checkbox"/> Yes, copy is attached	<input type="checkbox"/> No
	Is certification of the company in accordance with a standard planned? If yes, by when should certification be completed?	<input type="checkbox"/> Yes, by: _____	<input type="checkbox"/> No
	Does the company offer a safe and healthy working environment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Have the key health and safety risks of the company been identified and has a risk assessment been carried out, where applicable?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Have employees received health and safety training?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	In the last three years, has the company faced legal measures or convictions for violations of health or safety regulations?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Have there been fatalities in the company in the last three years? If yes, please give more precise details.	<input type="checkbox"/> Yes _____	<input type="checkbox"/> No
	Environmental protection	Does the company have a current ISO 14001 or 50001 certification?	<input type="checkbox"/> Yes, copy is attached (No further questions on the "Environmental protection" section necessary)
Is certification of the environmental system according to one of the named standards planned? If yes, by when should certification be completed?		<input type="checkbox"/> Yes, by: _____	<input type="checkbox"/> No
Does the company have an environmental protection directive?		<input type="checkbox"/> Yes, copy is attached	<input type="checkbox"/> No
Does the company have a schedule of legal provisions and is the company fulfilling local and international environmental protection regulations and obligations?		<input type="checkbox"/> Yes, copy is attached	<input type="checkbox"/> No
Has the company defined environmental goals and are these regularly monitored?		<input type="checkbox"/> Yes, proof attached	<input type="checkbox"/> No
Is there a specific person who is responsible for ecological sustainability?		<input type="checkbox"/> Yes Name: _____	<input type="checkbox"/> No
Are the key environmental effects of the business activity measured and monitored, and have analyses of the environmental effects been carried out, where applicable?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Have employees received environmental protection training?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Have there been major environmental protection incidents in the company in the last three years?		<input type="checkbox"/> Yes, example attached	<input type="checkbox"/> No

	Are Suppliers included in environmental protection?	<input type="checkbox"/> Yes, example attached	<input type="checkbox"/> No
Quality	Is the QM system of the company certified according to ISO 9001, VDA6 or IATF 16949 by an accredited certification body?	<input type="checkbox"/> Yes, copy is attached (no further questions necessary)	<input type="checkbox"/> No, please answer the following questions
	Is certification of the QM system according to one of the named standards planned? If yes, by when should certification be completed?	<input type="checkbox"/> Yes, by: _____	<input type="checkbox"/> No
	Does the company have a quality management system?	<input type="checkbox"/> Yes, proof attached	<input type="checkbox"/> No
	Does the company have a quality guideline or quality policy?	<input type="checkbox"/> Yes, copy is attached	<input type="checkbox"/> No
	Does the company have described processes?	<input type="checkbox"/> Yes, copy is attached	<input type="checkbox"/> No
	Are qualification requirements stipulated in the company and are the competences of employed workers regularly evaluated?	<input type="checkbox"/> Yes, proof attached	<input type="checkbox"/> No
	Which methods of quality planning are used in the company?	<input type="checkbox"/> Yes, proof attached	<input type="checkbox"/> No
	Is a production control plan, control plan or test plan used in production?	<input type="checkbox"/> Yes, proof attached	<input type="checkbox"/> No
	Does the company have a process for handling customer complaints?	<input type="checkbox"/> Yes, proof attached	<input type="checkbox"/> No
Minerals	Does the company use conflict minerals (gold, tin, tantalum and tungsten)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Does the company stipulate that minerals such as gold, tin, tantalum and tungsten are only obtained from "third-party providers" who are on the official "whitelist"?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Combating bribery and corruption	Does the company have a guideline regarding combating bribery and corruption?	<input type="checkbox"/> Yes, copy is attached	<input type="checkbox"/> No
	Does the company adhere to all relevant local and international laws on combating bribery and corruption?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Has the company ever been convicted of a bribery or corruption offense? If yes, please give more precise details.	<input type="checkbox"/> Yes _____ _____	<input type="checkbox"/> No