

AIXTRON SE – Statement regarding Conflict Minerals

AIXTRON is committed to a transparent, responsible and sustainable corporate governance and expects this from its supply chain partners as well.

In 2010, the US Congress passed the Dodd-Frank Wall Street Reform and Consumer Protection Act, defining disclosure rules for all publicly listed companies in the United States. These rules aim to assess and disclose whether so called Conflict Minerals (**gold, tin, tantalum, and tungsten, short: 3TG**) from the Democratic Republic of the Congo (DRC) and surrounding countries are contained in products and simultaneously, whether those are necessary to the functionality or production of those products.

In January 2021, the EU Regulation on Conflict Minerals will come into effect; its scope contains the same minerals as the Dodd-Frank Act does. However, the aim of the EU Regulation is to identify Conflict Minerals from *every* Conflict Affected and High Risk Area (CAHRA), not those from the DRC and surrounding countries solely. The emerging disclosure rules concern those companies that import the components containing 3TG into the EU territory.

AIXTRON has implemented measures to meet the regulatory obligations by establishing due diligence processes. By this, transparency regarding the origin of Conflict Minerals at AIXTRON and partners within the preceding supply chain is being increased. The due diligence processes are conducted once a year. The due diligence processes at AIXTRON not only covers the 3TG as required by law, starting fiscal 2020, Cobalt has also been added to the scope of the due diligence. As Cobalt is an essential part of batteries, its use has increased notably, especially for use in the batteries for electric vehicles.

To assure that the use of Conflict Minerals from critical sources, including Cobalt is identified, AIXTRON requires all its suppliers (of materials containing 3TG and Cobalt) to provide information concerning the origin of respective minerals.

If AIXTRON discovers the involvement of critical sources in its supply chain, reasonable steps to support supply chain partners will be taken to implement Conflict Minerals-compliant programs.

Continued non-compliance or the refusal to implement a due diligence process for Conflict Minerals by supply chain partners may ultimately lead to termination of the supplier relationship.

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Dr. Christian Danninger
CFO



Randy Singh
CCO



Thomas Sontheim
Director Purchasing