

# Rules of conduct for external service providers and third-party companies

## AIXTRON SE

### **Rules of conduct for external service providers and third-party companies**

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The rules of conduct apply

- to external service providers and/or external companies and their personnel (hereinafter referred to as contractors) as well as to all employees of AIXTRON SE involved (hereinafter referred to as the client)
- to the premises and all rooms of AIXTRON SE.

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## **1. Staying on the customer's premises**

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### Registration of the contractor and its personnel

The registration of personnel employed by the contractor shall be carried out at the responsible reception desk at Dornkaulstraße and/or Kaiserstraße. Here, persons and vehicles are registered and AIXTRON factory ID cards are issued. Every person employed by the contractor must wear the issued plant ID card in a clearly visible manner at all times. The plant ID card remains the property of the client and must be returned to reception every day when leaving the plant premises.

### Client coordinator

If the client's and contractor's personnel are working together in one work area, one person must be designated as coordinator. The coordinator is appointed by the client and has the appropriate authority to issue instructions.

The Contractor shall be informed of the Client's responsible coordinators, including the relevant contact information, before commencing work.

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### Working hours of the contractor

Work by the Contractor shall be carried out at the Client's premises within the regular working hours documented in the works agreement. For all work that must be carried out on days when the Client's premises are closed, the Contractor shall coordinate this in advance with the responsible person at the Client. Work on Sundays and/or public holidays is an exception and requires proper approval by the Client.

### Traffic regulations on the client's premises

The German Road Traffic Regulations (StVO) apply throughout the entire factory premises, with a maximum speed of 10 km/h. Special regulations are indicated by signs or specified in agreements. Entry and use of the roads are only permitted for the purpose of completing the order.

Traffic routes, in particular marked escape and rescue routes, must be kept clear.

### Smoking ban on the premises and in the client's premises

Smoking is prohibited throughout the entire factory premises and in all premises. Exceptions to this are the specially designated smoking areas.

### Prohibition of intoxicants on the premises and in the rooms of the client

Persons who are intoxicated by alcohol or other substances are not permitted on the company premises.

### Filming and photography on the premises and in the rooms of the client

Photography and filming are strictly prohibited on the entire premises and in all rooms of the client. If this is necessary for the fulfillment of the order or for work documentation, written permission must be obtained in advance from the responsible order manager of the client.

The client reserves the right to verify the facts in consultation with the contractor in case of suspicion and to demand that the recordings be deleted. In addition, the client reserves the right to prohibit the contractor from bringing technical equipment for possible film/photo recordings.

### Entering non-assigned work areas at the client's premises

Entering non-assigned work areas is strictly prohibited. The contractor may only enter the operating areas in which they are carrying out the work order or the specified routes to these areas. Access to all other areas is prohibited.

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### Consequences of alarm signals at the client's premises

Alarm signals may sound in the client's buildings for various reasons. The contractor must comply with these emergency signals and the associated instructions from the client's employees, immediately interrupt their activities, and proceed to the designated assembly points via the signposted escape routes.

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## 2. Work preparation

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### Safety briefing/instruction/training on the client's premises

Before commencing work, the Contractor's coordinator shall report to the Client's responsible coordinator for instruction in the Client's essential rules of conduct and briefing on the assigned tasks. The client's coordinator shall instruct the contractor's coordinator on, among other things, internal safety rules, organizational procedures, and behavior in the event of accidents, emergencies, and fires. In addition, the contractor's coordinator shall take note of the rules of conduct listed in this document. The contents of the briefing, including the rules of conduct, are binding and shall be documented by both parties.

Subsequently, the contractor's coordinator is responsible for instructing the contractor's personnel. The contractor and its personnel are responsible for complying with the operating, safety, and accident prevention regulations as well as the content of the briefing when carrying out the activities. **As a general rule**, it is not permitted to commence work at the client's premises **without** having received a briefing and instruction.

### Equipment

The contractor is obliged to use only faultless, tested, and error-free work equipment and PPE for the activities at the client's premises. The contractor must carry out the inspection before starting work.

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## 3. Work execution

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### Safety precautions at the client's premises / Contractor's personal protective equipment (PPE)

The Contractor is responsible for knowing and complying with the legal and official requirements resulting from, among other things, the risk assessment and/or the activities to be carried out at the commissioned sites. The Contractor shall provide the necessary, appropriate, and legally/officially required PPE for the activities to be carried

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out. The PPE must be used by all employees when performing the activities on the client's premises and/or in the client's premises.

#### Use of work equipment at the client's premises

The Contractor is responsible for the safe and legally/officially compliant equipment and the safe/trained operation of all work equipment and operating resources necessary for the performance of the activities (e.g., vehicles, machines, devices, tools, ladders, scaffolding, hoists, etc.). The Contractor is responsible for ensuring the safety and health protection of all employees when used as intended.

The relevant legal requirements must be observed in particular when handling ladders and for the safe erection and use of work and protective scaffolding.

Electrical equipment may only be used if it has been properly tested and is free of defects. The test status must be made visible by means of appropriate labeling on the equipment.

Lifting equipment and load-bearing devices may only be used if they are in perfect, tested condition and suitable for the intended purpose. Only persons who are suitably qualified, authorized, and instructed may be entrusted with the use of lifting equipment and load-bearing devices. The maximum permissible load of lifting equipment and load-bearing devices must not be exceeded. Load-bearing equipment must be selected for the respective transport task in such a way that, when used as intended, the load can be safely picked up, held, and set down again.

#### Activities involving hazardous substances at the client's premises

If hazardous substances are to be used within the scope of the contract, they must be approved by the client before being brought onto and used on the client's premises and/or in the client's premises. The requirements of the Hazardous Substances Ordinance and compatibility with the site guidelines must be observed. Employees who work with hazardous substances must be instructed by the contractor on the basis of the relevant operating instructions before starting work. The client may request proof of this on demand. Operating instructions and safety data sheets must be kept in the work area. The relevant legal requirements must be observed for activities involving hazardous substances. When handling hazardous substances, in particular flammable, corrosive, and toxic substances, the existing hazard warnings and safety advice must be observed. The Contractor shall take appropriate precautions against the release of hazardous substances into the environment. Suitable emergency equipment for eliminating leaks and containers for collecting contaminated equipment shall be provided by the Contractor.

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#### **Work on the client's gas systems**

No gas-carrying pipe systems may be opened without the client's approval. Care must be taken to ensure that the appropriate isolation measures are in place.

#### **Working alone at the client's premises**

Working alone by the Contractor's personnel must be avoided as a matter of principle. If, however, work must be carried out by one person alone, monitoring must be ensured by appropriate measures, such as regular checks on the work or the use of a reporting system by the Contractor.

#### **Order and cleanliness at the client's premises**

The contractor is responsible for order and cleanliness at their place of work and on the traffic routes. These must be tidied up and kept in good condition by the contractor on a regular basis, at least every working day. Unless otherwise agreed in the contract, workplaces must be left clean by the Contractor after completion of all work. Waste arising in connection with the execution of the order must be disposed of completely and properly by the Contractor at regular intervals (usually every working day), at the latest after completion of the work, on its own responsibility, if necessary by commissioning third parties.

If this is not complied with by the Contractor's employees, the Client reserves the right to charge the Contractor for any necessary cleaning measures at an additional cost and to retain this amount in the invoice.

#### **Use of energy**

If structurally possible at the client's premises, the contractor shall be provided with the energy required to operate the equipment and technical facilities necessary for the activities. The Contractor undertakes to use the Client's resources in an energy-saving manner. The Client's posted notices on the use of energy must be followed. Defects or abnormalities in the Client's technical equipment that were not caused by the Contractor must be reported to the Client's coordinator (see 0).

#### **Damage and damage reports**

Damage, loss, and/or comparable impairments to AIXTRON's company assets caused by the Contractor, regardless of their scope and extent, must be reported immediately to the person responsible for the order at the Client.

#### **First aid / Conduct in the event of accidents and emergencies**

Before starting work on the client's premises, the contractor's responsible person must obtain information about first aid at the client's premises (first aid equipment, first

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aiders), escape and rescue routes, and emergency medical care, and must pass this information on to his employees. In the event of an accident or emergency, the next available contact person at the client's premises must be informed immediately after providing first aid to the injured person and initiating the rescue chain. The contractor's obligation to notify its responsible professional association remains unaffected by this.

#### Behavior in the event of accidents involving the release of hazardous substances

Affected areas must be cordoned off in a clearly visible manner. Leaks must be contained immediately using emergency equipment, taking into account the self-protection of personnel, and the affected areas must be completely cleaned of the hazardous substances that have leaked. For information on disposal, see 0 .

If the leak cannot be contained with your own equipment or if containment is not possible for reasons of self-protection, immediately contact the fire department (0-) 112 and the number of the emergency plan described at 0 . Work must be stopped immediately and personnel must leave the danger area sideways to or against the wind. Affected employees must remove any contaminated clothing and PPE outside the danger zone and dispose of this material appropriately. Personnel must remain available to answer questions from the emergency services. For additional personal injuries, see 0 .

#### Fire protection

The contractor is responsible for exercising caution and prudence when performing activities that could potentially cause a fire. Before commencing work, the contractor's coordinator must obtain information from the client's coordinator about the location of fire extinguishers, escape routes, and assembly points in the event of a fire; escape and rescue plans and pictograms must be observed. Subsequently, the contractor's coordinator is responsible for instructing the contractor's personnel.

All fire-hazardous work (e.g., welding, cutting, soldering, and grinding) requires written approval from the client.

#### In case of fire:

If fires are observed, the fire department (0-) 112 must be informed immediately.

When the alarm sounds, work must be stopped immediately, any equipment that is still running must be shut down, doors and windows must be closed if possible, and the contractor's personnel must proceed immediately to the assembly point. Elevators must never be used in the event of a fire.

If several employees of a contractor are working in the affected area, the person responsible for the work or the coordinator must determine whether all colleagues are present and inform the responsible employee of the client.

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#### Alarm plan

In addition to the client's coordinator, the contractor will be given the necessary telephone numbers from the client's alarm plan if the client deems this necessary. The client is responsible for preventing false alarms and misuse, and for keeping these numbers confidential from third parties. After completion of the work, the contractor must destroy the documents containing these numbers or delete the numbers.

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## **4. Work follow-up**

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#### Acceptance of work

After completion of the work, a joint acceptance of the work must be carried out by the responsible persons of the client and contractor. This must be documented in writing. Only after acceptance shall the work be considered completed for the client.

#### Documentation

All documentation relating to the work, as well as any documentation contractually agreed or required by law for the client, must be handed over to the client in full after completion of the work.