1. General company data

|  |  |
| --- | --- |
| Company (incl. Corporate form/ Legal form ) |  |
| Year of foundation |  |
| Street |  |
| Postcode |  |
| Location |  |
| Country |  |
| Homepage |  |
| IBAN |  |
| SWFT/BIC |  |
| Tax number |  |
| Sales tax no. |  |
| DUNS number |  |

1. Staff development

|  |  |  |  |
| --- | --- | --- | --- |
| Area | Previous year | current year | (planned) next year |
| Employees Total |  |  |  |
| Production |  |  |  |
| Development/ Engineering |  |  |  |
| Administration |  |  |  |
| Quality |  |  |  |

1. Contact persons

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Function | First name | Last name | Phone | E-mail |
| Managing Director |  |  |  |  |
| Sales Manager |  |  |  |  |
| Quality Manager |  |  |  |  |
| Logistics Manager |  |  |  |  |
| Purchasing Manager |  |  |  |  |
| Compliance Manager |  |  |  |  |
| ESG - Manager |  |  |  |  |

1. Production sites

Name the main production sites for the AIXTRON relevant products.

|  |  |  |
| --- | --- | --- |
| City | Country | Production focus |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

1. Company insurances

Do you have liability insurance for your business?

Please state the insurer and the respective coverage limits in €.

|  |  |  |  |
| --- | --- | --- | --- |
| Insurance | Policy no. | Insurer | Sum insured |
| Product liability insurance |  |  |  |
| Property damage |  |  |  |
| Product recall insurance |  |  |  |
| Property damage |  |  |  |
| Personal injury |  |  |  |
| Environmental damage |  |  |  |
|  |  |  |  |

1. Reference customers

Give us 3 reference customers.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Company | City | Country | Industry | Turnover [ Mio€] | Share of total turnover [%] |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

1. Main suppliers

Tell us the 3 main suppliers for the products relevant to AIXTRON.

|  |  |  |  |
| --- | --- | --- | --- |
| Company | City | Country | Main products relevant for Aixtron |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

1. Quality
   1. Quality management

Which valid certificates does your company have in the area of quality management and until when are they valid? Which further certifications are planned?

|  |  |  |  |
| --- | --- | --- | --- |
| Certificate | Valid until | Planned until | Certification company |
| DIN EN ISO 9001 |  |  |  |
|  |  |  |  |
|  |  |  |  |

If no certification is available - which of the following aspects are covered by your company policy and daily actions. Please complete your answer with a short comment.

|  |  |  |  |
| --- | --- | --- | --- |
| Description | yes | no | Comment |
| Is quality control independent of production? |  |  |  |
| Is a proactive/ continuos quality management system implemented in the company? |  |  |  |
| Is there a product development process, APQP (Advanced Product Quality Planning) or similar? |  |  |  |
| Is there a programme for continuous improvement? |  |  |  |
| Do you agree not to make any changes to the product/process without the prior written consent of AIXTRON? |  |  |  |
| Are there training plans in place? Is there continuous staff development? |  |  |  |
| Is there a sampling procedure? If yes, which one? |  |  |  |
| Do you commit yourself to inform AIXTRON immediately about order progress and changed delivery time/schedule? Is there a process for this? |  |  |  |
| Is it ensured that deviations from the approved product or process are first submitted to the customer for special approval before being delivered to the customer? |  |  |  |

* 1. Additional quality requirements

Which of the following Quality Core Tools are implemented in your operations?

|  |  |  |  |
| --- | --- | --- | --- |
| Description | yes | no | Comment |
| Defect catalogues incl. pictures |  |  |  |
| Work instructions |  |  |  |
| Effective final inspection incl. critical features |  |  |  |
| Problem identification methods (e.g. 8D) |  |  |  |
| Change management existing (change management, process freeze, flow chart) |  |  |  |
| Process FMEA |  |  |  |
| Manufacturing inspection |  |  |  |
| Robust measurement methods (measurability verified / proven) |  |  |  |
| Subcontractor management |  |  |  |

1. Conflict Minerals

AIXTRON is committed to the principles of transparent, responsible corporate governance aimed at sustainable and sustainable value creation and expects the same from its supply chain partners and expects the same from its supply chain partners. Can you confirm that the products you supply do not contain conflict minerals such as tin, tungsten, tantalum, gold, cobalt or MICA?

There are **no** conflict minerals in the products we supply.

Conflict minerals are contained in the products we supply.

tin  tungsten  tantalum  gold  cobalt  MICA

Please indicate what measures your company takes to ensure that conflict minerals from conflict-affected areas are not used:

|  |
| --- |
|  |

1. Social and labour standards

Which certificates does your company possess in the area of social and labour standards and when do they expire? Which further certifications are planned?

|  |  |  |  |
| --- | --- | --- | --- |
| Certificate | Valid until | Planned until | Certification company |
| SA 8000 |  |  |  |
|  |  |  |  |

If no certification is available - which of the following aspects are covered by your company policy and daily actions. Please complete your answer with a short comment.

|  |  |  |  |
| --- | --- | --- | --- |
| Description | yes | no | Comment |
| Is it ensured that no child labour (according to DIN ISO 26000) is carried out in your company and in your supply chain ? |  |  |  |
| Is it ensured that no form of forced labour such as slavery, servitude, debt bondage or involuntary labour services are carried out in your company and in your supply chain? |  |  |  |
| Are your company policies and practices free from discrimination based on gender, colour, race, ethnic origin, religion, political opinion, age and disability? |  |  |  |
| Do your working conditions comply with national standards, laws? Does a works council exist? |  |  |  |
| Do your working hours comply with nationally applicable laws and internationally recognised standards (incl. compliance with appropriate rest breaks and maximum working hours per week)? |  |  |  |
| Do you pay a wage that enables livelihood security and social and cultural participation (e.g. minimum wage)? |  |  |  |
| Do your employees have the right to organise and bargain collectively? If so, does your company belong to a employer's liability insurance coverage? |  |  |  |

1. Occupational safety and health management

Which certificates does your company have in the area of occupational safety and health management and until when are they valid? Which further certifications are planned?

|  |  |  |  |
| --- | --- | --- | --- |
| Certificate | Valid until | Planned until | Certification company |
| ISO 45001 |  |  |  |
| ISO 13999 |  |  |  |
|  |  |  |  |

If no certification is available - which of the following aspects are covered by your company policy and daily actions. Please complete your answer with a short comment.

|  |  |  |  |
| --- | --- | --- | --- |
| Description | yes | no | Comment |
| Is occupational safety and health management implemented in the company policy? If yes - how is it documented? |  |  |  |
| Is there a clear responsibility for occupational safety and health management in your company? |  |  |  |
| Is the prescribed protective equipment provided by the company? |  |  |  |
| Are there controls to ensure compliance with the proper use of protective equipment? |  |  |  |
| Have you implemented procedures for reporting and investigating occupational accidents and diseases? |  |  |  |
| Are regular reviews carried out to ensure that occupational safety and health management is continuously improved and kept up to date? |  |  |  |
| Do you have accident prevention guidelines/specifications (e.g. standard operating procedures) for safe working or working with machines, equipment and substances? |  |  |  |

1. Energy and environmental management system

Which certificates does your company have in the field of energy and environmental management and until when are they valid? Which further certifications are planned?

|  |  |  |  |
| --- | --- | --- | --- |
| Certificate | Valid until | Planned until | Certification company |
| ISO 14001 |  |  |  |
| ISO 50001 |  |  |  |
|  |  |  |  |

If no certification is available - which of the following aspects are covered by your company policy and daily actions. Please complete your answer with a short comment.

|  |  |  |  |
| --- | --- | --- | --- |
| Description | yes | no | Comment |
| How has your company defined its environmental policy and how is it communicated? Does it meet all the environmental requirements of the country? |  |  |  |
| Are there clear responsibilities for energy and environmental management in your company? |  |  |  |
| How does your company ensure continuous improvement in the environmental management system (energy consumption and greenhouse gas emissions, water consumption, natural resource management) so that the company's environmental performance is reduced? |  |  |  |
| How high is the share of "green electricity" in your company? |  |  |  |
| Is the environmental management system (incl. environmental goals) regularly reviewed by the management? |  |  |  |

1. Risk management/data security

Which certificates does your company have in the area of risk management/data security and until when are they valid? Which further certifications are planned?

|  |  |  |  |
| --- | --- | --- | --- |
| Certificate | Valid until | Planned until | Certification company |
| ISO 31000 |  |  |  |
| ISO 27001 |  |  |  |
|  |  |  |  |

If no certification is available - which of the following aspects are covered by your company policy and daily actions. Please complete your answer with a short comment.

|  |  |  |  |
| --- | --- | --- | --- |
| Description | yes | no | Comment |
| Does your company have a formal risk management system? If yes, please briefly explain the scope and methods used in the comment section. |  |  |  |
| Are risks regularly assessed against clearly defined criteria? |  |  |  |
| Is there a clear responsibility for risk management in your company? |  |  |  |
| Are there examples of effective mitigation action plans? |  |  |  |
| Are the risk management system and the risk assessments regularly updated and adapted? |  |  |  |

1. Confirmation of correctness

|  |  |
| --- | --- |
| **This document was edited by:** | |
| Name: |  |
| Position: |  |
| Tel: |  |
| E-mail: |  |

I hereby certify that the information on this form is complete and correct.

Place, date Company stamp / Signature