

Code of Conduct
for Business Partners of K-UTEC AG Salt Technologies

K-UTEC AG Salt Technologies

Transparente Verhaltensregeln für ein nachhaltiges Wirtschaften und zur Erfüllung der Sorgfaltspflichten

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1 INTRODUCTION

Dear Partners,

Innovations in the safe and sustainable extraction and processing of raw materials can only be achieved through close collaboration with our suppliers. Together, we develop innovative solutions that advance climate protection, conserve resources, and contribute to societal progress

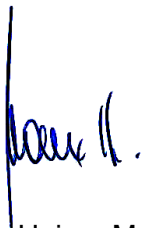
At K-UTEC AG, our technologies and services help tackle ecological and economic challenges. We are committed to acting responsibly, always in compliance with legal requirements and ethical principles.

This Code of Conduct for Business Partners of K-UTEC AG Salt Technologies (Supplier Code) defines our shared values and expectations for a strong and trustworthy partnership across the entire supply chain. It is published as an annex to the K-UTEC Compliance Guideline on our website (www.k-utec.de).

With your support, we can ensure that our collaboration is built on integrity, sustainability, and innovation.

Thank you for your trust and commitment to this shared path.


Best regards,



Dr. Heiner Marx
Chief Executive Officer



Dr. Markus Pfänder
Executive Director



Dr. Sebastian Lünig
Executive Director

Sondershausen, January 31, 2025

2 BUSINESS RELATIONSHIP

2.1 ETHICS AND INTEGRITY

K-UTEC does not tolerate any form of corruption or bribery. The supplier commits to refraining from accepting unlawful advantages such as excessive gifts or invitations that could influence the behavior of employees. All financial contributions, regardless of the amount, are strictly prohibited and regarded as attempted bribery.

2.2 PREVENTION OF FRAUD

K-UTEC expects its suppliers to strictly reject any form of fraudulent activity. The supplier commits to actively implementing measures to prevent fraud. This ensures that all business transactions are conducted honestly, transparently, and in compliance with legal regulations. A corporate culture based on honesty and integrity is promoted.

2.3 DATA PROTECTION

The supplier ensures compliance with all legal requirements for the protection of personal and confidential data. Disclosure to third parties is only permitted with the explicit consent of K-UTEC. Technical and organizational measures are taken to safeguard the data against unauthorized access, misuse, or loss.

2.4 AVOIDANCE OF CONFLICTS OF INTEREST

Representatives of the supplier must not pursue personal interests within the business relationship that could influence the partnership. The supplier commits to proactively identifying potential conflicts of interest and promptly reporting them to K-UTEC, especially when its own employees interact with those of K-UTEC.

2.5 FAIR COMPETITION

The supplier ensures fair competition and complies with all antitrust regulations. Any anti-competitive behavior or agreements that may disadvantage competitors or customers are strictly prohibited.

3 HUMAN AND LABOR RIGHTS

The supplier is responsible for upholding the human and labor rights described in the following sections. If the supplier becomes aware of violations of these rights within its organization or supply chain, it is obligated to inform K-UTEC immediately. The procedure for handling violations and suspected cases of violation is outlined in Chapter 5, "Violations of the Supplier Code, Suspected Deviations, and Measures to Fulfill Due Diligence Obligations."

3.1 RESPECT FOR HUMAN RIGHTS

The supplier respects the dignity and individual rights of its employees. This includes protection against physical and psychological violence, any form of discrimination, and sexual harassment. Freedom of expression and religious practice is guaranteed. Additionally, the supplier promotes diversity and equal opportunities within the company.

3.2 PROHIBITION OF CHILD AND FORCED LABOR

The supplier ensures that neither child labor nor forced labor occurs in its business processes. It commits to complying with all relevant national and international regulations for the protection of children. All employees are engaged voluntarily, without any form of coercion, threats, or pressure.

3.3 WORKING CONDITIONS AND SAFETY

The supplier complies with the fundamental labor standards of the International Labour Organization (ILO), including working hour limits, ensuring rest periods, and equal pay. Additionally, the supplier commits to adhering to stricter national laws if they exceed ILO standards. Sustained training and the provision of personal protective equipment (PPE) ensure occupational safety and employee health. The implementation of an occupational health and safety management system in accordance with ISO 45001 or similar standards is supported.

3.4 FREEDOM OF ASSOCIATION

The supplier respects the right of employees to form and join trade unions, engage in collective bargaining, and strike. Employees who are members of such organizations or actively participate in them are not disadvantaged or discriminated against. Worker representatives are granted unrestricted access to their colleagues' workplaces to exercise their rights.

4 ENVIRONMENTAL PROTECTION

The supplier commits to complying with all relevant environmental laws and standards. Technical and organizational measures are taken to prevent potential environmental damage caused by business activities. This includes the prevention of soil degradation, water and air pollution, as well as the reduction of noise emissions. The implementation of an environmental management system in accordance with ISO 14001 or comparable standards is expressly supported by K-UTEC.

4.1 CLIMATE PROTECTION AND ENERGY EFFICIENCY

The supplier recognizes the importance of climate protection and commits to reducing its greenhouse gas emissions and implements measures to mitigate and adapt to climate change. - UTEC encourages the development of a Corporate Carbon Footprint (CO₂ footprint) for Scope 1 and 2 according to recognized standards such as the GHG Protocol. The focus is on sourcing or generating energy from renewable sources and continuously reducing the use of fossil fuels. An energy management system is established to optimize overall energy consumption and improve the energy efficiency of machinery and equipment.

4.2 CONSERVATION OF BIODIVERSITY

The supplier actively commits to protecting biodiversity and ecosystems. Construction companies, in particular, bear a special responsibility by limiting interventions in nature and landscapes to the necessary minimum and meeting project-specific biodiversity requirements. Upon completion of construction projects, the supplier ensures environmentally responsible site clearance to prevent damage caused by leftover materials. The dismantling of temporary infrastructures is carried out carefully to restore affected areas to their original condition and enable the rapid recovery of natural flora and fauna.

4.3 RESOURCE MANAGEMENT AND WASTE MINIMIZATION

The supplier strives for efficiency in the use of materials and resources.. Chemicals and hazardous substances are stored safely and disposed of properly. Employees are trained in the safe handling of these substances. In the event of an environmental release of hazardous substances, the supplier promptly notifies the relevant authorities and initiates measures to mitigate the damage. Waste is collected separately by type/material whenever possible and disposed of appropriately, with the supplier actively working to reduce its overall waste generation.

5 VIOLATIONS OF THE SUPPLIER CODE, SUSPECTED DEVIATIONS, AND MEASURES TO FULFILL DUE DILIGENCE OBLIGATIONS

K-UTEC strives for long-term and stable partnerships with its suppliers, with collaborative problem-solving as a core value. If violations of the requirements of this Supplier Code occur, or if there are suspected deviations involving K-UTEC's direct supplier, a business partner, or the direct subcontractors of the supplier, K-UTEC must be informed immediately.

Violations and suspected cases can be reported via the reporting [portal on our website](#) or by E-Mail at: **datenschutz@k-utec.de**.

For minor or potential violations, a deadline will be set for the supplier to implement appropriate corrective measures to prevent future occurrences. However, K-UTEC reserves the right to terminate the business relationship in cases of serious violations (especially criminal offenses), repeated violations, lack of cooperation despite reasonable deadlines, or if no improvement is expected due to external conditions.

The legal right to immediate termination without prior notice remains unaffected, particularly in cases of severe violations. The right to claim damages also remains in effect.

The supplier must properly inform its employees about K-UTEC's complaint procedure. This procedure must be made accessible to employees while ensuring confidentiality and providing effective protection against any form of disadvantage.

If the supplier fails to inform its employees about this procedure, it is the supplier's responsibility to establish an effective complaint mechanism at the operational level for individuals and communities that may be affected by negative impacts.

6 CONSENT TO THE SUPPLIER CODE

As a direct supplier of K-UTEC, we commit to fulfilling our due diligence obligations and act in accordance with the ethical and legal principles outlined in this Supplier Code. We also ensure compliance with these requirements throughout our supply chain and among our business partners.

We ensure that the contents of this Supplier Code are properly conveyed to our employees, agents, and subcontractors and take all necessary measures to implement and uphold the requirements contained therein.

By entering into a business relationship with K-UTEC AG Salt Technologies, the supplier/business partner acknowledges the principles and requirements of this Supplier Code as binding. A separate written confirmation is not required. The supplier commits to integrating the provisions of this Code into its business processes and implementing appropriate measures to ensure compliance.