



MORE LIGHT

## General Terms and Conditions of Purchase of the Jenoptik-Group

### 1. General

1.1. These General Terms and Conditions of Purchase shall apply to all business transactions in which either JENOPTIK AG or an affiliated company within the meaning of Section 15 AktG [Aktengesetz – German Stock Corporations Act] is a customer.

1.2. For all orders placed by the customer (hereinafter referred to as “Customer”) and all offers and other business transactions with the contractor (hereinafter referred to as “Contractor”) - including future orders, offers and other business transactions -, exclusively these General Terms and Conditions of Purchase shall apply, even without express agreement. The Customer does not accept any contrary or deviating terms and conditions of the Contractor; the terms and conditions of business of the Contractor are hereby rejected. These General Terms and Conditions of Purchase of the Customer shall also apply if the Customer, despite being aware of contrary or deviating terms and conditions of the Contractor, performs its contractual obligations without expressing any reservation.

1.3. Any amendment to these General Terms and Conditions of Purchase, including to this provision, shall require the written consent of the Customer or a written agreement in order to be effective.

1.4. These Terms and Conditions shall apply to purchase contracts and mutatis mutandis to contracts for work and services, contracts for work and materials, contracts for services and mixed contracts.

1.5. These General Terms and Conditions of Purchase only apply if the Contractor is an entrepreneur within the meaning of section 14 BGB [Bürgerliches Gesetzbuch – German Civil Code], a legal entity established under public law or a body of special assets established under public law. The same applies for contractors who pursue commercial activities abroad which are comparable with those of a German entrepreneur and also for foreign institutions which are comparable with German legal entities established under public law or a body of special assets established under German public law.

1.6. These General Terms and Conditions of Purchase shall be effective as of from September 1, 2023.

### 2. Conclusion of contracts

2.1. Should the Contractor not accept the order within 14 days, the Customer shall be entitled to cancel the order in writing unless a different period has been expressly specified.

2.2. All agreements between the Customer and the Contractor concerning the contract and its performance must be made in writing.

2.3. Should the Contractor deviate in its declaration from the enquiry or order of the Customer, it shall explicitly point out this fact.

2.4. In the event that the Customer initiates an order and the order provides for delivery or services to be provided and an invoice rendered to an affiliated company of JENOPTIK AG within the meaning of Section 15 AktG, the Customer shall be deemed to be acting as the authorised agent of the affiliated company, so that a contractual relationship arises between the Contractor and the affiliated company.

### 3. Third party services

3.1. The Contractor shall be entitled by the Customer to authorize a third party for the provision of his services only upon a prior written consent.

3.2. In case the Customer has authorized the provision of services by a third party, the Contractor shall ensure the third party covenants to adhere to the principles agreed between the Customer and the Contractor, in particular to the confidentiality, data protection as well as compliance provisions.

### 4. Termination of the contract

4.1. Each of the parties to the contract may rescind the contract or terminate the contract extraordinary, either in whole or in part, if there is a good cause. Such a good cause exists in particular if

-the Customer has suffered a not merely insignificant damage as a result of the activity of the Contractor or in connection with this contract or such a not merely insignificant damage is likely to occur due to specific indications;

- the Customer is affected by cases of force majeure within the meaning of para. 6.6. provided the Customer does not exercise its right to postpone the acceptance of the delivery or services regulated therein;

- the Contractor violates provisions of compliance, data protection and/or confidentiality in a not merely insignificant manner;

- the intended purpose of the delivery or services can't be achieved due to technical or significant reasons provided the Customer has caused the non-achievement of the purpose due to misconduct or gross negligence;

- the Contractor or its employees does not possess the relevant knowledge and expertise for the execution of the contract; or

- either party experiences significant deterioration of economic circumstances which threatens the fulfilment of the contract or the other party violates its obligation to pay social insurance contributions and taxes. Any further right of the Customer to terminate or to extraordinarily terminate or to resign from the contract remains unaffected.

4.2. The Contractor is obligated to inform the Customer promptly, if the Contractor intends to apply for insolvency according to Section 13 InsO [Insolvenzordnung – German Insolvency Code] or if the Contractor gets knowledge of the initiation of insolvency proceedings against him by receipt of the request to open insolvency proceedings according to Section 14 InsO. A breach of the aforesaid obligation to inform contains a good cause within the meaning of para. 4.1. and entitles the Customer to extraordinarily terminate or resign from the contract. The right of the Customer to extraordinarily terminate or to resign from the contract also exists in cases where the request of the Customer or of a third party to open insolvency proceedings is rejected to lack of assets according to Section 26 InsO.

4.3. Should the Contractor's shareholding change more than insignificantly, this shall also constitute good cause within the meaning of section 4.1, unless a case under section 4.2 already exists.

4.4. The notice of rescission and termination of the contract must be given in writing.

### 5. Prices; terms and conditions of payment; invoice

5.1. The prices of the Customer quoted in the order are net prices unless the Customer has expressly quoted something else. The contractually agreed remuneration shall compensate all services and additional services of the Contractor and associated costs (e.g. assembly, installation, proper packaging, travel costs, transport costs including any transport and liability insurance).

5.2. Claims against the Customer only fall due for payment upon receipt of the goods in full by or complete provision of services to the Customer and receipt of an invoice complying with the statutory requirements.

5.3. Unless agreed differently, the Customer shall pay the agreed price within 60 days net, calculated from the date of delivery or provision of services and receipt of an invoice corresponding to the requirements in section 5.4.

5.4. The Contractor must indicate the precise order number of the Customer on all invoices, shipping documents and delivery notes. All terms of payment shall commence on the day of receipt of a complete invoice (in accordance with 1st sentence of this para. 5.5. and Section 14 of the German VAT Act / UStG) by the Customer containing a detailed description of all specific deliveries and services provided by the Contractor. The Customer is only able to process invoices subject to compliance with this pre-requisite. The Contractor shall be responsible for all consequences arising from failure to comply with this obligation unless it proves that it was not responsible for the same.

5.5. The Customer shall only be deemed to be in default of payment after the due date for payment has elapsed and following a formal written reminder. The Customer shall not fall into default of payment simply because it fails to pay within 30 days after the due date and receipt of an invoice or comparable payment statement. The default interest rate shall amount to 7 percentage points above the basic interest rate according to Section 247 BGB [Bürgerliches Gesetzbuch – German Civil Code]. The Customer shall be entitled to require the Contractor to provide suitable securities (e.g. advance payment guarantees) as security for advance payments made by the Customer.

### 6. Terms of delivery; Passing of risk

6.1. Unless agreed differently, delivery is to be made "DAP" at the address specified in the order of the Customer in accordance with INCOTERMS® 2020.

6.2. The dates and periods for delivery and performance indicated in the order are binding. The relevant date is the date of receipt of the goods by the Customer.

6.3. Deliveries or performances at a point in time or in a quantity other than that specified in the order are not admissible. Should the Customer nevertheless accept the delivery or performance, this does not alter the terms and conditions or periods for payment.



**MORE LIGHT**

**6.4.** Early deliveries and partial deliveries require the approval of the Customer. In the event of premature delivery without the Customer's consent, the Customer may, at its discretion, either return the goods at Contractor's expense or store the goods at Contractor's risk and expense until the delivery date.

**6.5.** Notwithstanding the other rights of the Customer, the Contractor shall be obliged to notify the Customer without delay in writing if any circumstances arise or become apparent to it, as a result of which the agreed time for delivery or performance is at risk of not being met. The Contractor shall be obliged to provide regular information on the expected duration of the impediment to performance.

**6.6.** In cases of force majeure the Customer shall be entitled to suspend performance of his obligation to accept the delivery and service to the extent that such performance is impeded by any of the following circumstances of force majeure: business interruptions, strikes, other cases of shutdown without actual fault, war, civil unrest, epidemics, natural disasters (e.g. severe and unusual weather or floods), official prohibitions and restrictions and in other unpredictable, inevitable and serious events. In such cases the Customer shall not be deemed to be in default. The Contractor is not entitled to raise any claims in relation to the postponed acceptance. The Customer shall notify the Contractor in a timely manner of the occurrence of a force majeure event.

If the situation of force majeure is not remedied within three months, the contracting parties shall negotiate an adjustment of the contract. If the contracting parties are unable to agree on an adjustment to the contract within 5 working days, the Customer shall be entitled to rescind or terminate the contract.

**6.7.** The unconditional acceptance of a delayed or faulty delivery or performance does not constitute any waiver by the Customer of the claims to which it is entitled by reason of the delayed or defective delivery or performance.

**6.8.** As far as an acceptance has been agreed, a formal acceptance shall take place. The commencement of the operation or the use of the goods delivered shall not constitute a substitute for the declaration of acceptance by the Customer.

## **7. Contractual penalty**

In the case of delay on the part of the Contractor, the Customer may demand a contractual penalty in an amount of 0.3 % of the order value per business day (Monday to Saturday) of the delay that has passed or has begun, up to a maximum of 5 % of the order value. Should the Customer assert claims for damages, the contractual penalty is to be set off against the same. The Customer shall give notice of its reservation or assertion of claims of the right to impose a contractual penalty no later than when making payment of the final invoice which, in time sequence, follows the delayed delivery or performance. The Customer expressly reserves the right to assert further claims.

## **8. Offset; Retention; Assignment**

**8.1.** The Customer shall be entitled to rights of set-off and retention to the extent provided for by law.

**8.2.** The Customer shall also be entitled to set off claims or to exercise rights of retention which other companies in the Jenoptik Group within the meaning of Section 15 AktG [*Aktiengesetz – Stock Corporations Act*] have against the Contractor.

**8.3.** The Contractor may neither assign nor pledge any of its claims against the Customer nor dispose of such claims in any other way. The Contractor shall be entitled to set-off its rights against the Customer only, if its counterclaims are legally ascertained, undisputed and in a mutuality connection with the main claim of the Customer or recognized by the Customer. Retention rights of the Contractor are excluded, unless the counterclaims of the Contractor are based on the same contractual relationship and are undisputed, legally ascertained or recognized by the Customer.

## **9. Quality; Sustainability**

**9.1.** Deliveries and performances made by the Contractor are to be executed in such manner that they comply with the contractual agreements, the statutory provisions, in particular the relevant accident prevention, industrial safety, environmental and similar provisions, the relevant technical standards and the latest recognised standards of science and technology. Relevant attestations, certificates of inspection and documentary proofs are to be provided free of charge with the respective delivery.

**9.2.** The Contractor shall establish and maintain a quality management system, appropriate in terms of its nature and scope, corresponding to the latest state of technology in the respective branch. It shall prepare records, in particular of its quality checks, and provide the same to the

Customer upon its request. The Customer or a third party instructed by the Customer shall, following prior agreement with the Contractor, be entitled to carry out quality audits for the purpose of assessing the effectiveness of its quality management system.

**9.3.** The Contractor shall allow the Customer to have a third party or the Customer's customer determine by means of system, process or product audits - in principle announced in good time - whether its quality assurance measures meet the Customer's requirements. Within this framework, the Customer may also check the Contractor's compliance with the relevant standards, agreed specifications and additional contractual provisions. In the event of considerable and/or serious quality problems, an audit may also be carried out without prior notice. Within the scope of the audit, the Contractor shall be obliged to grant the Customer, a third party commissioned by the Customer or the Customer's customer access to all operating facilities, production areas, test centers or warehouses used for the manufacture of the deliveries and services.

**9.4.** Where the Contractor makes deliveries or renders performance on the site of the Customer, it shall notify the coordinator designated by the Customer, who shall also be authorised to issue instructions, of the commencement and the scope of the deliveries or performance, shall agree their sequence with the coordinator and shall follow his instructions.

**9.5.** As far as risks to the life or health of persons, to the environment or to material objects might emanate from the performance to be rendered or from the object of delivery, and special regulations accordingly apply in relation to labelling, packaging, transport, storage, handling and waste disposal, the Contractor shall, when submitting the offer, transfer to the Customer a properly completed EU Safety Data Sheet in accordance with Section 31 of the Regulation (EC) No. 1907/2006 (REACH) as well as a declaration about products containing more than 0.1 percent by weight of substances of very high concern (SVHC) in accordance with Section 33 of the Regulation (EC) No. 1907/2006 (REACH) in the respectively applicable version and a proper Accident Procedures Sheet (Transportation). The delivery item shall be classified, labelled and packaged in accordance with Regulation (EC) No. 1272/2008 (CLP). Furthermore, the Contractor shall ensure that the requirements of the Product Safety Act (in particular CE marking), the Electrical and Electronic Equipment Act (in particular registration, labelling and take-back obligation) as well as the restrictions on the use of certain hazardous substances within the meaning of Directive 2011/65/EU (RoHS) are complied with. In the event of any amendments, the Contractor shall supply the Customer with updated safety data and information sheets and the declaration as referred to in Section 33 of the Regulation (EC) No. 1907/2006 (REACH) without being requested to do so.

**9.6.** Except where expressly agreed to the contrary, the Contractor shall, at its own expense, arrange for packaging which is both suitable for the delivery of the goods and environmentally friendly. The packaging must be clearly labelled with all important instructions relating to the contents, storage and transport.

**9.7.** Where the Contractor has a claim to the return of the packaging at no charge for the Customer, the packaging must be clearly labelled accordingly. Where any labelling is missing or is unclear, the Customer will dispose of the packaging at the expense of the Contractor.

## **10. Duty of cooperation**

**10.1.** The Customer is only obliged to provide duties of cooperation, if these duties are expressly agreed in writing.

**10.2.** The Contractor may only rely on the failure of the Customer to provide information and documents to the Contractor where it has made written demand of the Customer and a reasonable period has expired without remedy Customer.

## **11. Quality; Warranty**

**11.1.** The Contractor warrants that its delivery or performance is of the quality agreed and fulfils the intended purpose of use.

**11.2.** The Customer guarantees to use and to deliver only certified genuine parts, and to prove this upon request of the Customer by appropriate supporting documents.

**11.3.** The customer is not obliged to inspect the quality of the goods. An obligation to inspect and give notice of defects shall only apply to defects that are obvious. Obvious defects are those which are recognisable even without removing the packaging and without testing the delivered goods. Notwithstanding Section 377 HGB [*Handelsgesetzbuch – German Commercial Code*], the period for giving notice of obvious or discovered defects shall be two weeks from receipt of the delivery.

**11.4.** The Customer shall be entitled, without limitation, to the statutory claims for defects; in any case, the Customer shall be entitled to demand of the Contractor, at the discretion of the Customer, elimination of the



**MORE LIGHT**

defects or a replacement delivery or renewed performance free of defects. After the second unsuccessful attempt, the supplementary performance shall be deemed to have failed. The right to claim damages, in particular damages in lieu of performance, is expressly reserved.

**11.5.** The Contractor shall eliminate any defects pointed out to it without delay. The Customer shall be entitled, at the expense of the Contractor, to eliminate the defects itself or to have the same eliminated by third parties if the Contractor is in default with their elimination despite a reasonable period for this purpose having been set, if the parties agree that the Customer may do so or if special circumstances exist which would make it unreasonable for the Customer to await the elimination of the defects by the Contractor.

**11.6.** The period of limitation for warranty claims is 24 months beginning with the passing of risk except where longer periods of limitation are prescribed by law or where the mandatory provisions of Sections 478, 479 BGB [*Bürgerliches Gesetzbuch – German Civil Code*] applies.

**11.7.** Where the Customer notifies the Contractor of any defects in the delivery or performance, the period of limitation for claims by the Customer shall be suspended at the time at which the Contractor indicates that it is considering inspecting or rectifying the defect. Any refusal to continue negotiations in the case of disputed claims as provided under Section 203, 1st sentence, BGB [*Bürgerliches Gesetzbuch – German Civil Code*] must be stated in writing.

## **12. Liability**

**12.1.** The statutory provisions governing liability shall apply for the liability of the Contractor without restriction except in so far as something else is provided in these General Terms and Conditions of Purchase.

**12.2.** The Customer shall be liable in accordance with statutory provisions where the Contractor asserts claims for damages involving intent or gross negligence including on the part of the Customers' representatives or/and vicarious agents. In the absence of any deliberate breach of contract, liability for damages shall be limited to the foreseeable, typically occurring damage.

**12.3.** The Customer shall be liable in accordance with statutory provisions to the extent that the Customer or its representatives or vicarious agents culpably breach a cardinal contractual duty. In these cases, too, liability for damages shall be limited to the foreseeable, typically occurring damage. Cardinal contractual duties are the fulfillment of the payment obligation.

**12.4.** The liability of the Customer for culpable injury to life, body and health remains unaffected. The same applies where the Customers' mandatory liability under the product liability act is concerned.

**12.5.** The above covenants of the Customer are valid regardless of the legal ground of the given liability and shall also apply but not be limited to non-contractual and tortious claims.

**12.6.** Any liability on the Customers' part is excluded to the extent not otherwise agreed in this para. 12.

## **13. Indemnity; Liability insurance cover**

**13.1.** The Contractor shall indemnify the Customer from all claims of third parties – regardless of the legal ground – arising from any defective product and/or faulty documentation and incorrect explanations supplied by it, and shall reimburse the Customer for the necessary legal costs arising to the Customer in this connection.

**13.2.** Within the scope of its liability for claims under para. 13.1., the Contractor shall be obliged to reimburse all costs arising from or in connection with any recall action, warning or other measures carried out by the Customer. As far as possible and reasonable, the Customer shall notify the Contractor of the contents and scope of the recall measures to be undertaken, and provide it with the opportunity to give a response. Other statutory claims remain unaffected hereby.

**13.3.** The Contractor shall maintain a third-party liability insurance and an extended product liability insurance policy for damages caused by the Contractor, its staff or its authorised representatives with coverage of € 10 mill. per occurrence for personal injury / material damage / pure financial loss. The right of the Customer to claim for further damages shall remain unaffected.

## **14. Confidentiality; Industrial property rights and rights of use**

**14.1.** The Customer possesses the sole proprietary rights and copyrights in the illustrations, drawings, calculations and other documents - including electronic documents. The Contractor shall be obliged to maintain strict secrecy in relation to all illustrations, drawings, calculations and other documents and confidential information received. Without the ex-

press consent of the Customer they may not be made accessible or disclosed to third parties or reproduced by either the Contractor itself or by third parties. The obligation of secrecy shall also apply beyond the completion of this contract; it shall lapse if and as far as the know-how contained in the illustrations, drawings, calculations and other documents provided has become generally available. Any confidential disclosure agreement remains unaffected. In case of conflicts or inconsistencies between a potential confidential disclosure agreement and the provisions of this para. 14 the provisions of this para. shall prevail.

**14.2.** Information given to the Customer by the Contractor shall be deemed to be non-confidential unless it is expressly designated as confidential.

**14.3.** In respect of all works protected by copyright and all industrial property rights in deliveries or performances, in particular software, the Contractor grants the Customer an irrevocable, transferable, licensable right of use, unrestricted in terms of time, territory and contents, if and in so far as this is necessary for the use of the delivery or performance.

**14.4.** Where development services are provided on behalf of the Customer and/or illustrations, drawings, product descriptions, data sheets or other documents are prepared on its behalf, the Contractor transfers the exclusive rights of use and exploitation and also the intellectual property rights in the same to the Customer.

**14.5.** The agreed remuneration covers the transfer of all rights of use and exploitation, copyrights, inventions and other intellectual property rights.

**14.6.** The work results prepared for the Customer may only be published by the Customer.

**14.7.** The Contractor shall ensure that no rights of third parties are infringed in connection with its delivery or performance.

**14.8.** Should third parties make any claims against the Customer by reason of the use of the delivery or performance by the Customer on account of infringement of industrial property rights or copyrights, the Contractor must take the necessary measures of defence and extrajudicial measures of legal defence. If claim is made against the Customer by a third party in this respect, the Contractor shall be obliged to indemnify the Customer from such claims upon first written demand; the Customer shall not be entitled to make any agreements with the third party, in particular to conclude a settlement, without the consent of the Contractor. This shall not apply insofar as the Contractor proves that it is neither responsible for the infringement of property rights nor should have been aware of the infringement at the time of delivery if it had exercised due commercial care.

**14.9.** The duty of the Contractor to indemnify comprises all expenditure incurred by the Customer due to or in connection with the claim by any third party.

**14.10.** The period of limitation for claims based on defects in legal title amounts to 36 months, calculated from the passing of risk.

**14.11.** The Contractor is the exclusive owner of its industrial property rights and its know-how; any assignment or licensing of the above mentioned rights are excluded. Especially the Contractor is not authorized to use the trade mark of the Customer. Any designation of references by the Contractor shall require the prior written consent of the Customer. In this regard the Contractor is obliged to designate the specific purpose and content of the reference. The conclusion of a specific agreement for the use of the Jenoptik trademark between the parties is required.

## **15. Software**

**15.1.** If the Contractor has to deliver software, this shall also include the source code including the complete development documentation and the development tools, unless expressly agreed otherwise.

**15.2.** Software supplied must be free of third party rights, unless expressly agreed otherwise. This shall also apply to rights to so-called "Free Software" and "Open Source Software" (together referred to as "OSS").

**15.3.** For the delivery of software, the agreed and, unless otherwise agreed, the statutory provisions on warranty and liability for defects in rights shall apply without restriction.

**15.4.** Unless expressly agreed otherwise, the software supplied must comply with the state of the art, in particular with regard to the legal and general requirements of IT security and data protection.

**15.5.** If the Contractor becomes aware of breaches of the aforementioned IT security regulations or if there is a justified suspicion of such breaches, it shall be obliged to inform the Customer thereof without delay. The corresponding notification shall also contain information on measures already taken and measures still to be taken to restore IT security.

**15.6.** If the Contractor breaches any of the obligations set out in this Clause 15, it shall indemnify the Customer and its affiliated companies



**MORE LIGHT**

against any claims, damages, losses or costs caused thereby upon first request and shall defend them against claims of third parties upon request by the Customer.

#### **16. Forwarding of information**

The Customer shall be entitled within the scope of the applicable information protection provisions to forward information which it has received through the customer relationship with the Contractor to group companies affiliated with the Customer (Section 15 *Aktiengesetz – Stock Corporations Act*).

#### **17. Retention of title; Provision of materials; Tools**

**17.1.** Any retention of title by the Contractor shall only be effective if the Customer is authorised to resell and process the goods in the normal course of business and the retention of title lapses upon payment of the purchase price.

**17.2.** Where the Customer provides the Contractor with parts, the Customer reserves title to the same. Any processing or transformation undertaken by the Contractor is made on behalf of the Customer. If the goods of the Customer which are subject to retention of title are processed together with other items not belonging to the Customer, the Customer shall acquire co-ownership in the new item in the ratio of the value of the item of the Customer (purchase price plus value added tax) and the value of the other items processed at the time of the processing.

**17.3.** If the item provided by the Customer is indivisibly mixed or combined with other items not belonging to the Customer, the Contractor already now transfers co-ownership in the new item to the Customer in the ratio of the value of the items (purchase price plus value added tax) and the value of the other items co-mingled at the point in time when the mixing or combining took place. Where the mixing or combining is carried out in such manner that the item of the Contractor is to be regarded as the primary item, it is agreed that the Contractor shall transfer proportionate co-ownership to the Customer.

**17.4.** The Contractor shall carefully store the items which are the sole or co-property of the Customer free of charge and with the same degree of diligence the Contractor uses in its own affairs, at least however with the diligence of a prudent businessman.

**17.5.** The Customer reserves title to any tools supplied to the Contractor; the Contractor shall be obliged to use the tools exclusively for the manufacture of the goods ordered by the Customer. The Contractor shall be obliged to insure, at its own expense, the tools belonging to the Customer against the usual risks at replacement value. At the same time, the Contractor hereby and in advance assigns to the Customer all claims for compensation under this insurance cover. The Customer hereby accepts the assignment. The Contractor shall be obliged to carry out, at its own expense, any necessary maintenance and inspection works and also all servicing and repair works on the tools of the Customer in good time. The Contractor shall notify the Customer immediately of any malfunctions.

**17.6.** In so far as the security rights to which the Customer is entitled under paras. 17.2. and 17.3. exceed by more than 10 % the purchase price of all items of the Customer which have not yet been paid for and are still subject to retention of title, the Customer shall, upon the demand of the Contractor, be obliged to release security rights; these may be chosen by the Customer.

#### **18. Import and export restrictions; Customs**

**18.1.** The Contractor assures that no obstacles exist to the delivery or provision of services by reason of national or international provisions of foreign trade legislation and also that the delivery or provision of services is not precluded by virtue of any embargoes and/or other sanctions and the Contractor complies with the obligations regulated in this para. 17.

**18.2.** The Contractor shall fulfil all requirements of the national and international customs and foreign trade regulations relevant for the delivery or performance, and shall, prior to the conclusion of the contract and without delay in the event of any changes, provide the Customer in written form with all papers, documents, data and information which may be necessary for compliance with the foreign trade regulations in cases of export, import or re-export, in particular with any official permits to be obtained by it or the Customer, and also fulfil any reporting obligations applicable.

**18.3.** In particular, the Contractor undertakes to notify the customs classification in the statistical goods tariff (HS code) and the country of origin as well as the export control classification of the hardware, software or technology to be delivered (number from the national export list and/or EU Dual-Use List and/or Export Control Classification Number (ECCN) and/or the category of the United States Munitions List).

**18.4.** At the request of the Customer, the Contractor shall, as far as possible, provide the preferential evidence (long-term supplier's declaration

if the Contractor is based in the EU or declaration of origin or movement certificate if the Contractor is based in a country with which the EU has concluded a preferential agreement).

**18.5.** Unless agreed differently, the Contractor shall, for customs purposes, attach to the shipping documents a commercial invoice, prepared in duplicate and in English, which, in the case of deliveries or performances subject to customs duty, separately shows the relevant price components, distinguishing between those subject to customs duty and those not subject to customs duty. In the case of deliveries or performances free of charge, a declaration of value is necessary, together with the reference "For Customs Purposes Only". The reason for the free delivery or performance is to be stated on the invoice or the delivery note (e.g. sample consignment free of charge). Where, in the case of imports or exports, further official documents are required for the intended use of the objects of delivery or performance, the Contractor shall be obliged at its own expense to procure these documents for the Customer without delay and provide them to it and to contact the Customer in regard to all questions and directions arising in connection with customs duties or declarations of origin. The Contractor shall, in addition, support the Customer by all admissible means necessary to ensure optimal customs clearance in conformity with the legal provisions.

**18.6.** The Contractor shall ensure the security of the supply chain and observe the corresponding legal requirements. The Contractor undertakes to provide, upon the request of the Customer, corresponding documentary proof through certificates or declarations (e.g. security declaration as Authorised Economic Operator AEO, compliance declaration in regard to the CTPAT initiative).

**18.7.** Should the Contractor breach any of its above-mentioned duties, it shall reimburse the Customer all expenses and damage incurred by the Customer as a result thereof unless the Contractor was not responsible for the breach of duty.

#### **19. Anti-Corruption / Compliance**

**19.1.** The Contractor assures that it will comply with all applicable laws and legal provisions during and in connection with the provision of deliveries and services for the Customer, in particular in the areas of criminal law, anti-corruption law, anti-trust law, social insurance law and administrative offences. This applies with regard to both, the applicable laws and legal provisions in the country where the Contractor has its place of business and those in the country in which the deliveries or performances are provided, and also – if applicable – to international and German provisions.

**19.2.** Upon the conclusion of the contract, the Contractor undertakes to comply with the "Code of Conduct for Business Partners of the Jenoptik Group" which can be read in German and English language on the Internet-Website of Jenoptik at [www.jenoptik.com/suppliers-coc](http://www.jenoptik.com/suppliers-coc). At the same time, the above-mentioned Code of Conduct is an Annex and thus an integral part of these General Terms and Conditions of Purchase.

**19.3.** Without prejudice to the other rights of the Customer, any breach of one or more of the above-mentioned obligations, which is not merely insignificant, and for which the Contractor is liable, shall entitle the Customer to cancel the contract and to claim for indemnification, and also to terminate the business relationships and all contractual negotiations with immediate effect.

#### **20. Supply Chain Diligence**

**20.1.** The Contractor is obligated to make available to its suppliers the "Code of Conduct for Business Partners of the Jenoptik Group" in the currently valid version by providing the link specified in Clause 19.2 or an essentially comparable (own) Code of Conduct. In addition, the Contractor shall ensure that compliance with this Code of Conduct is enforced vis-à-vis its own suppliers by means of suitable contractual provisions. The Contractor shall inform the Customer without delay of any breaches of the compliance rules laid down in these Terms and Conditions or in the Code of Conduct.

**20.2.** At least once a year and additionally upon request of the Customer, the Contractor shall provide the Customer with the necessary information on environmental and human rights risks in the Contractor's business area for the purpose of conducting a risk analysis pursuant to § 5 of the German Act on Corporate Duties to Prevent Human Rights Abuses in Supply Chains (Supply Chain Duty of Care / Lieferkettensorgfaltspflichtgesetz - LkSG). Necessary information in the aforementioned sense are those that relate to the products and services of the Customer.

**20.3.** The obligation of the Contractor to provide information pursuant to Section 20.2 shall also apply when the Customer commissions the Contractor for the first time as well as when the Contractor replaces or uses new suppliers. If requested by the Customer, the Contractor is obliged to



**MORE LIGHT**

enable its employees to participate in training and events of the Customer related to the LkSG.

**20.4.** If the Contractor determines that a violation of an environmental or human rights obligation has already occurred or is imminent in its own business or at one of its direct suppliers, the Contractor shall immediately take appropriate remedial action to prevent, terminate or minimize the extent of the violation. If the violation of an environmental or human rights obligation is such that the Contractor cannot terminate it in the foreseeable future, the Contractor shall immediately prepare and implement a concept for terminating or minimizing the violation. When developing and implementing such a concept, the Contractor shall take into account the measures pursuant to Section 7 (2) LkSG.

**20.5.** If the Contractor has actual evidence of a possible violation of environmental or human rights obligations by its direct suppliers (substantiated knowledge), the Contractor shall support the Customer in the measures mentioned in Section 9 (3) LkSG.

## **21. Audit**

**21.1.** If the Customer can assume on the basis of credible information that one or more of the contractual and statutory obligations have been breached by the Contractor, the Customer shall be entitled to check compliance with the agreed obligations, in particular with regard to general compliance, data protection, non-disclosure agreements, operational safety and export control.

**21.2.** Unless a written self-disclosure is equally suitable, the inspection shall be carried out at the Customer's discretion either by the Customer itself or by a neutral auditor commissioned by the Customer and bound to secrecy. The audit shall be carried out within the framework of applicable laws and, in particular, in compliance with company and business secrets and competition/antitrust law. Therefore, in particular, any final report of an auditor shall only comment on the question of a breach of contract and/or law by the Contractor.

**21.3.** The Customer shall make every effort not to disrupt the Contractor's business operations when carrying out audits.

## **22. Applicable law; Court venue; Place of performance**

**22.1.** For all legal relationships between the Customer and the Contractor, exclusively German law, excluding the UN Convention on Contracts for the International Sale of Goods, shall apply.

**22.2.** The court venue for all disputes arising either directly or indirectly from the legal relationship between the Customer and the Contractor shall be the place of the registered office of the Customer. The Customer may, however, also sue the Contractor in the courts having jurisdiction at the place of the registered office of the Contractor.

**22.3.** Unless indicated differently in the order, the place of performance for the deliveries or performances of the Contractor and also for the duty of the Customer to pay shall be the business address of the Customer.

### **Annex to the General Terms and Conditions of Purchase:**

Code of Conduct for Business Partners of the Jenoptik Group in its current version