



## Supplier Code of Conduct

Sustainability is a key element of the Liveo Research values and forms an integral part of our business strategy.

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## Preamble

Sustainable development means sustaining economic growth to improve the quality of life for its current and future inhabitants without harming our planet or exhausting its resources. We at Liveo Research believe that sustainability safeguards the future development of a company which means only a sustainable company can be deemed a successful company.

Liveo Research is constantly improving its operations and strategies to make them more sustainable - by meeting the universally accepted principles in the areas of, human rights, labor, the environment, anti-corruption and others.

- Sustainability is an essential element of Liveo Research values and forms an integral part of our business strategy.
- The group-wide position of Liveo Research on Human Rights underscores its efforts to uphold internationally recognized principles in the areas of human rights and working conditions.
- The Corporate Compliance Policy outlines key legal areas where the ethically and legally compliant behavior of Liveo Research employees is of the utmost importance to the company well-being.

This shows how Liveo Research assumes its responsibility concerning social, ecological and ethical standards and how companies of the Liveo Research Group put into practice the principles of sustainable development in their daily operations.

This Supplier Code of Conduct is made available to our suppliers and subcontractors (called "**Suppliers**" or "**our Suppliers**") to make practicing sustainability in day-to-day business as a joint goal.

Liveo Research expects all Suppliers to comply with the standards set out in this Supplier Code of Conduct, which comprises an important component of Supplier selection and evaluation. Moreover, we expect our Suppliers to replicate these standards further down the supply chain.

## **1. Ethics**

To meet social responsibilities, Suppliers are wanted to conduct their business in an ethical manner and act with integrity. Ethical requirements include the following aspects:

### **Business Integrity**

Suppliers are expected not to practice or endure any form of corruption, extortion, or embezzlement. Suppliers will not offer or accept bribes or other unlawful incentives to/from their business partners. They are pleased not to offer employees of Liveo Research gifts or any other kind of personal benefit resulting from any kind of relationships with the Suppliers.

### **Fair Competition**

Suppliers will conduct their business in line with fair competition and in accordance with all applicable anti-trust laws.

### **Privacy & Intellectual Property**

Suppliers will safeguard and make only appropriate use of confidential information and ensure that all employees' and business partners' privacies and valid intellectual property rights are protected.

### **Identification of Concerns**

Suppliers will provide means for their employees to report concerns or potentially unlawful activities in the workplace. Any report should be treated in a confidential manner. Suppliers will investigate such reports and take corrective action if needed.

### **Clinical Standards**

Suppliers are expected to conduct clinical trials in accordance with the international guidelines in addition to the current national and local laws, regulations and the strictest medical, scientific and ethical principles.

### **Animal Welfare**

Animal testing, if any, will be minimized and alternatives will be used whenever possible, scientifically valid and acceptable to regulators.



### **Conflict Minerals**

Suppliers are expected to ensure that products supplied to Liveo Research are free of metals derived from minerals or their derivatives which are originated from conflict regions that directly or indirectly finance or benefit armed groups.

## **2. Human Rights and Labor**

Suppliers are expected to protect human rights of their employees and treat them with dignity and respect. This includes the following aspects:

### **Child Labor Avoidance**

We do not tolerate child labor in our supply chain, except to an extent that is consistent with the standards stipulated in the conventions of the International Labor Organization (ILO) and Principle Five of the United Nations Global Compact. Such exceptions depend in particular on the age, the kind and extent of the work and the interference with schooling.

### **Freely Chosen Employment**

We do not stand slavery, servitude and forced or compulsory labor and human trafficking in our supply chain. Bonded, indentured or involuntary prison labor is not accepted either.

### **Diversity and Inclusion**

Equal treatment of all employees will be a fundamental principle of the Supplier's corporate policy. Typical discriminatory treatment takes into consideration – consciously or unconsciously – irrelevant characteristics of an employee such as race, national origin, gender, age, physical characteristics, social origin, disability, union membership, religion, family status, pregnancy, sexual orientation, gender identity, gender expression or any unlawful criterion under applicable law. Suppliers will ensure that their employees are not harassed in any way. Liveo Research encourages Suppliers to provide an inclusive and supportive working environment and to exercise diversity when it comes to their employees as well as in their decisions to select subcontractors.

### **Fair Treatment**

Suppliers will provide their employees with a workplace free of harsh and inhumane treatment, without any sexual harassment, sexual abuse, corporal punishment or torture, mental or physical coercion or verbal abuse of employees, or the threat of any such treatment. Furthermore, Suppliers are expected not to unfairly terminate any employment contract or without clear evidence specify that the termination of an employment contract, in relation to the working performance of an employee, is permitted by law.

### **Working Hours, Wages and Benefits**

Working hours for Suppliers' employees will not exceed the maximum set by the applicable national law. Compensation paid to employees will comply with applicable national wage laws and ensure an adequate standard of living. Unless local law provides otherwise, deductions from basic wages as a disciplinary measure will not be permitted (this does not exclude the entitlement of damages on a contractual or legal basis). Suppliers are expected to provide their employees with fair and competitive compensation and benefits. Compensation and benefits should aim at providing an adequate standard of living for employees and their families. Suppliers' employees will be paid in a timely manner. It is recommended that Suppliers offer their employees ample training and educational opportunities.

### **Freedom of Association**

Suppliers will be committed to an open and constructive dialogue with their employees and workers' representatives. In accordance with local laws, Suppliers will respect the rights of their employees to associate freely, join labor unions, seek representation, join works councils and engage in collective bargaining. Suppliers will not disadvantage employees who act as workers' representatives.

### **3. Health, Safety, Environment and Quality**

Suppliers are expected to provide a safe and healthy working environment and, if applicable, safe and healthy company living quarters, and to operate in an environmentally responsible as well as efficient manner. Suppliers will integrate quality into their business processes. This comprises the following aspects:

#### **Quality Requirements**

Suppliers will meet contractually agreed and, where not agreed, generally recognized quality requirements in order to provide goods and services which meet the needs of Liveo Research constantly and perform as warranted in addition to being safe for their intended use.

#### **Health, Safety, Environmental and Quality Regulations**

Suppliers will comply with all applicable quality, health, safety and environmental regulations. All required permits, licenses and registrations will be obtained, maintained and kept up to date. Suppliers will fulfill their operational and reporting requirements.

#### **Product Safety**

Material safety data sheets containing all necessary safety-relevant information will be made available by Suppliers for all hazardous substances and will be provided to Liveo Research and other parties in case of a legitimate need.

#### **Occupational Health and Safety**

Suppliers will protect their employees from any chemical, biological and physical hazards and physically demanding tasks in the workplace as well as from risks associated with any infrastructures used by their employees. Suppliers will provide appropriate controls, safe work procedures, preventative maintenance and necessary technical protective measures to mitigate health and safety risks in the workplace. When hazards cannot be adequately controlled by these means, Suppliers will provide employees with appropriate personal protective equipment. Safety information relating to hazardous materials – including compounds in intermediate materials – need to be for education, training and protection of workers from hazards. Furthermore, a safe and healthy working environment includes, at least drinking water, adequate lighting, temperature, ventilation, sanitation and, if applicable, safe and healthy company living quarters.



### **Process Safety**

Suppliers will have safety programs in place for managing and maintaining all their production processes in accordance with the applicable safety standards. Suppliers will address product-related issues and their potential impact during all stages of the production process. For hazardous installations the Supplier will conduct specific risk analyses and implement measures that prevent the occurrence of incidents such as chemical releases and/or explosions.

### **Emergency Preparedness, Risk Information and Training**

Suppliers will make available safety information on identified workplace risks and Suppliers' employees will be correspondingly trained to ensure that they are adequately protected. Suppliers will identify and assess likely and potential emergency situations in the workplace and minimize their impacts by implementing emergency plans and response procedures.

### **Waste and Emissions**

Suppliers will have systems in place to ensure the safe handling, movement, storage, recycling, reuse and management of waste, air emissions and wastewater discharges. Any of these activities having the potential to adversely affect on human or environmental health will be appropriately managed, measured, controlled and handled prior to release of any substance into the environment. Suppliers will have systems in place to prevent or mitigate accidental spills and releases into the environment.

### **Resource Conservation and Climate Protection**

Suppliers are expected to use natural resources (e.g. water, sources of energy, raw materials) in an economical way. Negative impacts on the environment and climate will be minimized or eliminated at their sources or by practices such as the modification of production, maintenance and facility processes, material substitution, conservation, recycling and material reutilization. Suppliers will engage in the development and use of climate-friendly products and processes to reduce power consumption and greenhouse gas emissions.

### **Security**

Suppliers will have good security practices across their supply chains. Suppliers will maintain processes and standards designed to assure the integrity of each shipment to the Liveo Research company from its origin to its destination and all points in between. Suppliers are expected to implement the necessary and appropriate measures in the area of responsibility to ensure that the products of



Liveo Research, their workable components or raw materials together with the corresponding know-how do not end up in the counterfeiters' hands or third parties in accordance of not leaving the legal supply chain.

## **4. Management Systems**

Suppliers are expected to implement management systems to facilitate compliance with all applicable laws and promote continuous improvements in regarding of the expectations set forth in this Supplier Code of Conduct. This includes the following aspects:

### **Legal and Other Requirements**

Suppliers will comply with all applicable laws, regulations, contractual agreements and generally recognized standards. Where compliance with this Supplier Code of Conduct would violate local law or collective bargaining agreements, Suppliers must comply with this Supplier Code of Conduct to the extent permissible.

### **Communication of Sustainability Criteria in Supply Chain**

Suppliers will communicate the principles set forth in this Supplier Code of Conduct to their supply chain.

### **Commitment and Accountability**

Suppliers are encouraged to allocate appropriate resources in order to fulfill the expectations set forth in this Supplier Code of Conduct.

### **Risk Management**

Suppliers are expected to implement mechanisms to identify, determine and manage risks in all areas addressed by this Supplier Code of Conduct aligned with all applicable legal requirements.

### **Documentation**

Suppliers are expected to adequately document compliance with this Supplier Code of Conduct.

### **Training and Competency**

Suppliers will establish appropriate training measures to allow their managers and employees gaining an appropriate level of knowledge and understanding of relevant contents for this Supplier Code of Conduct, the applicable laws, regulations and generally recognized standards.



### **Continuous Improvement**

Suppliers are expected to continuously improve their sustainability performance by implementing appropriate measures.

Basel, July 31, 2023

signed by Management.