

# Evotec SE

# Supplier Code of Conduct

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# Foreword

**The Evotec Group, i.e. Evotec SE and its majority controlled global affiliates (referred here collectively as "Evotec"), is committed to compliance with all applicable laws and regulations. Evotec is dedicated to the highest standards of ethical behavior and to economic, social and environmental sustainability.**

Ensuring the principles of sustainable development in our supply chain is important to us. Therefore, we expect our Suppliers to fully comply with all applicable laws and to adhere to internationally recognized environmental, social and corporate governance standards (ESG standards). We expect our Suppliers to respect and support the UN Declaration of Human Rights, to not be complicit in human rights abuses and to comply with the following principles.

The Supplier Code of Conduct (hereinafter referred to as "SCoC") has been prepared to define Evotec's expectations of its Suppliers regarding their activities in the production, acquisition and delivery of goods and services supplied directly or indirectly to Evotec. The SCoC is, without exception, applicable for all Suppliers regardless of size or geographical location.



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# 1. Fair Business Conduct

## 1.1 Antitrust Law and Trading Regulations

Suppliers shall comply with all applicable fair competition, antitrust and fair business practice laws and regulations.

## 1.2 Anti-Bribery and Anti-Corruption

All forms of bribery, corruption, extortion and embezzlement in all business dealings, in every country around the world, with both government and private sector parties are strictly prohibited. Suppliers shall comply with all applicable anti-bribery and corruption laws and regulations in all countries in which they operate. They shall not offer, give, receive or request a bribe, whether directly or indirectly, and must take reasonable steps to prevent others (who are acting on their behalf) from doing so. Suppliers shall not offer or give an incentive of any kind to any public official which would cause them to improperly fulfill their function or would be viewed as corrupt activity. Facilitation payments are small payments often described as 'commissions' or 'fees' to expedite or 'facilitate' a routine government process. Facilitation payments are bribes and should not be made by Suppliers or permitted by them to be made on our behalf.

## 1.3 Transactions or Interactions with Health Care Providers or Patients

When interacting with healthcare providers or patients on behalf of Evotec, Suppliers shall conduct such interactions or transactions in an ethical manner and in compliance with applicable laws, regulations, guidelines and industry codes.

## 1.4 Anti-Money Laundering

Suppliers may not engage – directly or indirectly – in any form of money laundering. They may not conduct business that violates the anti-money laundering laws. This includes accepting, concealing, converting and/or transferring any funds obtained from criminal activities, including and related to terrorist financing.

## 1.5 Conflicts of Interest

Suppliers shall take reasonable care to identify and avoid and manage conflicts of interest. Suppliers are expected to notify all affected parties if an actual or potential conflict of interest arises.

## 1.6 Gifts and Entertainment

Suppliers shall respect that Evotec employees do not give or accept any gift or favor that could compromise or raise doubts about the neutrality of their decisions. Suppliers ensure that payments, gifts or other commitments to customers, government officials, subcontractors or other parties transacting on their behalf follow applicable anti-bribery laws.



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## 1.7 Insider Trading

Evotec strictly prohibits insider trading. Suppliers shall not transact in Evotec securities while in possession of material, non-public information relating to Evotec. Suppliers shall not transact in another company's securities (including companies unaffiliated with Evotec) if they are in possession of material, non-public information regarding such company obtained in the course of performing services for Evotec. Further, Suppliers shall not pass on (or "tip") confidential or material, non-public information about Evotec or any other company to others or recommend to anyone the purchase or sale of securities of Evotec or any other company if they are in receipt of material, non-public information learned in the course of engagement with Evotec.

## 1.8 Product Quality and Safety

Products and services from Evotec and products procured from its Suppliers are expected to be aligned with international quality standards and do not pose a hazard to people or the environment and meet the agreed or legally prescribed product safety standards. The Suppliers are obliged to communicate clear information about the safe use, handling and disposal of the products.



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## 2. Ethical Business Standards

### 2.1 Animal Welfare

When animal testing will be performed by any Suppliers directly or indirectly, it should be done after consideration to replace animals, reduce the numbers of animals used or refine procedures to minimize their suffering (principle of 3Rs). Suppliers shall comply with all applicable law.

They should comply with all applicable national and international ethical standards and should strive for AAALAC International accreditation.

### 2.2 Human Samples

If Human Samples are procured/used/delivered by Suppliers, they shall conduct research/use/acquisition in accordance with the regulations in the country concerned and with due regard for the privacy, wellbeing, rights and dignity of the research subjects.

### 2.3 Use of Artificial Intelligence

If Artificial Intelligence (AI) is used by Suppliers, the use of AI should be transparent, fair and in line with applicable ethical guidelines and standards and shall comply with data protection regulations.



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## 3. Protection of Data and Business Confidentiality

### 3.1 Personal Data

Evotec respects and is committed to protecting any entrusted personal data with maximum care. This includes data from employees, applicants, clients, Suppliers and other third parties. Suppliers shall apply appropriate technical tools and organizational measures to protect personal data against illegal use, loss or destruction and comply with all data protection laws applicable to the Supplier's organization.

### 3.2 Intellectual Property and Confidentiality

Suppliers shall protect Evotec's intellectual property, such as patents, trademarks and copyrights, and respect the intellectual property of others. Suppliers shall not communicate externally about Evotec's prospects, performance of policies, or disclose confidential information that could affect the price of Evotec securities. Suppliers shall not disclose publicly any confidential or proprietary information related to any aspect of Evotec's business. Suppliers ensure that products delivered to Evotec do not violate third-party intellectual property rights.

### 3.3 Privacy and Information Security

Suppliers shall comply with applicable laws, rules and regulations of the jurisdiction in which they operate regarding privacy and information security and shall use information obtained through their relationship with Evotec only for the purpose defined to them. Suppliers shall store information as agreed with Evotec and have appropriate information security policies and procedures in place to secure our information. Suppliers shall notify Evotec promptly of actual or suspected privacy breaches, security breaches, or losses of our information. Suppliers shall keep confidential all information regarding Evotec, the acquired materials or equipment, the contracted services and the execution of the services.



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## 4. Global Trade

### 4.1 Trade

Suppliers shall ensure that their actions comply with all applicable import and export controls, sanctions, and other trade compliance laws and regulations administered or enforced by any relevant national or international authority.

### 4.2 Hazardous Substances and Conflict Minerals

Suppliers shall comply with any applicable laws and regulations regarding hazardous substances and conflict minerals. Suppliers shall take measures to ascertain whether their products contain conflict minerals. Conflict minerals are raw materials, such as tin, tantalum, gold and tungsten, which are marketed directly or indirectly on the international market by violent groups in conflict areas or neighboring countries. If this proves to be the case, Suppliers shall conduct a meticulous investigation to check the supply chain for the origin of the materials concerned and take the necessary measures to ensure that products supplied to Evotec are free of such conflict minerals.





## 5. Labor Standards

### 5.1 No Child Labor, Employment of Young Workers

Suppliers shall avoid any sort of child labor in their business operations consistent with the ILO's (International Labor Organization) core labor standards and the United Nations Global Compact principles. School-age children and children under the age of 15 (or 14 if permitted by national law, as described in ILO Convention No. 138) may not be employed.

Young employees under the age of 18 may not be employed for work that could endanger their health, safety or morals.

### 5.2 No Forced or Compulsory Labor, Freely Chosen Employment

Suppliers shall not use forced, bonded or indentured labor or in voluntary prison labor or engage in human trafficking. All forms of forced labor, slave labor or comparable work are prohibited, as are the use of involuntary prison labor and participation in human trafficking.

Suppliers may not require their employees to deposit money or identification documents with the employer. Employees must be able to leave work at any time and to terminate their employment in line with the generally recognized notice period at the place of employment.

### 5.3 Fair Treatment

Suppliers shall provide their employees with a workplace that is free from 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 such treatment.

### 5.4 Respect for Land Rights and Natural Resources

Legitimate rights of ownership, possession and use as well as the corresponding rights to natural resources such as forests and waters must be respected. Land, forests or waters whose use secures people's livelihoods must not be taken away in violation of legitimate rights.

Harmful changes to the soil, water and air pollution, noise emissions and excessive water consumption must be avoided if this harms the health of people, significantly impairs the natural basis for food production or prevents people from having access to safe drinking water or sanitary facilities.

### 5.5 Private Security Services

When deploying security forces, they must be appropriately instructed, trained and monitored. Security forces must not treat or injure persons in an inhuman or degrading manner or interfere with their right to freedom of association or assembly.



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## 5.6 Freedom of association

Suppliers are 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.

## 5.7 Working Hours and Remuneration

The working hours for the Suppliers' employees may not exceed the maximum set by the applicable national laws. Overtime must be voluntary and must not be demanded on a regular basis. Compensation paid to employees should comply with the applicable national wage laws and ensure an adequate standard of living. Deductions from wages as a punitive measure are not permitted. Employees must be provided with clear, detailed and regular written information on the composition of their remuneration.

## 5.8 Diversity and Inclusion, Prohibition of Discrimination

Suppliers shall provide a workplace that is free from harassment and discrimination. Discrimination – whether conscious or unconscious – for reasons such as gender, age, mental or physical abilities, social background, union membership, religious beliefs, family status, pregnancy, sexual orientation, gender identity, gender expression or any unlawful criterion under applicable law, as well as discrimination on the basis of ethnicity, skin color, national origin or nationality, is not tolerated.

Suppliers are encouraged to provide an inclusive, supportive and equitable work environment and to exercise diversity when it comes to their employees as well as in their decisions to select subcontractors.



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## 6. Health and Safety

### 6.1 Worker Protection

Suppliers must comply with the general and industry-specific laws for occupational safety and health protection at the place of employment. They are responsible for a safe and healthy working environment. Employees must be trained and provided with the required protection against hazards that may arise in the course of their work through the provision of technical, organizational and personal protective measures (e.g. personal protective equipment and the application of appropriate safety standards). The effects of an emergency must be minimized by providing suitable emergency plans.

### 6.2 Hazardous Substances

Suppliers shall have systems and processes in place to prevent the release of chemicals, fires and explosions and to protect workers from chemical, biological and physical hazards.



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## 7. Environmental Standards

### **Environmental and Climate Protection, Protection of Natural Resources**

Suppliers shall comply with all applicable environmental laws, regulations, guidelines and industry codes by implementing appropriate procedures and systems. Required environmental permits, certificates and approvals shall be obtained and kept current, and their requirements followed. Suppliers should identify the risks and environmental impacts of the life cycle of their products during the manufacturing, distribution and transportation processes and conserve natural resources and reuse or recycle suitable materials.

Waste, emissions or discharges into water or the environment that may have a negative impact on human health or the environment shall be appropriately controlled, continuously minimized, properly managed and/or treated

by Suppliers before being released into the environment. Suppliers are required to undertake reasonable steps to support Evotec's efforts to reduce deforestation, including halting net loss of natural forests in line with applicable deforestation regulations. Suppliers undertake to make an appropriate contribution to climate protection. This applies in particular to reducing emissions. Therefore, we encourage Suppliers to set Science based targets (SBT), track and report their GHG footprint, improve energy efficiency and minimizing the consumption of natural resources, including water and non-renewable energy. Suppliers shall also make reasonable effort to protect biodiversity and the ecosystem within which they operate. Mercury must be handled in accordance with the prohibitions of the Minamata Convention and persistent organic pollutants in accordance with the Stockholm Convention. The principles of the Basel Convention must be followed for transboundary movements of hazardous waste.



## 8. Management Systems

Suppliers shall introduce suitable and effective management systems in their organizational structures and work processes that enable compliance with the principles of this Code of Conduct.

### 8.1 Commitment of Suppliers and their Own Supply Chain

Suppliers shall commit to the principles set out in this Supplier Code of Conduct and take appropriate measures to comply with them.

Evotec also expects its Suppliers to commit their subcontractors and upstream Suppliers accordingly so that the human rights and environmental standards and expectations are also met further down the supply chain.

### 8.2 Legal and Customer Requirements

Suppliers are required to identify and comply with applicable international and national laws, regulations, standards and relevant customer requirements. This also includes obtaining all necessary permits, certificates, licenses and registrations.

### 8.3 Risk Identification and Management

Suppliers shall have mechanisms in place to assess, mitigate and manage risks that fall within the scope of this Code of Conduct.

### 8.4 Documentation

Suppliers shall maintain the necessary documentation to demonstrate compliance with this Code of Conduct and applicable laws and regulations and provide Evotec with access to such documentation upon request.

### 8.5 Training and competence

Suppliers shall have appropriate training programs in place to meet the above expectations.

### 8.6 Continuous improvement

Evotec expects Suppliers to continuously improve their management systems by setting performance objectives, executing implementation plans and taking necessary corrective actions for deficiencies identified.

### 8.7 Complaints mechanism

Evotec has established a grievance procedure for complaints regarding violations of this Supplier Code of Conduct.

Complaints can be submitted at [humanrights@evotec.com](mailto:humanrights@evotec.com) and via Evotec's digital whistleblowing tool at <https://evotecse.integrityline.app>. Rules of procedure can be found at the following link: <https://www.evotec.com/en/about-us/ethics-compliance>.

Suppliers are encouraged to inform their employees about the reporting options of the complaints procedure and to set up complaints' options and mechanisms



themselves. Employees must be able to submit complaints without fear of discrimination, reprisals, intimidation or harassment.

## **8.8 Verification of Compliance with the Code of Conduct by Evotec**

Evotec is entitled to verify the Supplier's compliance with this Code of Conduct, e.g. in the form of self-assessments, audits or written requests for information. Corresponding measures will be taken on a risk basis and after prior notification in text form with reasonable advance notice in text form. Suppliers are obliged to allow, enable or participate in risk-based control measures and to fully support them.

The costs of the control measures by third parties shall be borne by Evotec. In the event that violations of this Code of Conduct are identified, the costs shall be borne by the Supplier.

If violations of this Code of Conduct are identified, the Suppliers are obliged to immediately initiate appropriate remedial measures, to document them and to complete them within a reasonable period of time for the respective remedial measure. Suppliers are obliged to provide Evotec with evidence of the implementation of remedial measures upon request.

In the event of serious violations of this Code of Conduct by Suppliers, Evotec is entitled to terminate this contract extraordinarily after prior warning and setting a deadline. In addition, the Supplier undertakes to indemnify Evotec upon first request against all claims of third parties asserted against Evotec due to a breach of the SCoC for which the Supplier is responsible, including the costs of reasonable legal defense and any fines.



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