



# CODE OF CONDUCT

## CONTENTS

### 1. INTRODUCTION

### 2. SCOPE

### 3. PRINCIPLES OF CONDUCT

- 3.1 Principles of dealing with each other
- 3.2 Responsibility for the company's reputation
- 3.3 Open communication and dealing with criticism
- 3.4 Taking an active role
- 3.5 Personal development
- 3.6 Work environment and safety

### 4. SPECIFIC REQUIREMENTS

- 4.1 Compliance with applicable law
- 4.2 Prevention of corruption and conflicts of interest
- 4.3 Fraud prevention
- 4.4 Adherence to antitrust and competition laws
- 4.5 Money Laundering
- 4.6 Customs and Export Regulations
- 4.7 Dealing with information
- 4.8 Occupational health and safety, anti-discrimination
- 4.9 Protection of the environment and climate
- 4.10 Handling company property

### 5. APPLICATION

- 5.1 Responsibilities and help
- 5.2 Reporting violations
- 5.3 Sanctioning of violations

### APPENDIX

## 1. INTRODUCTION

FMC Industrial's values are deeply rooted in our corporate culture and shape our day-to-day activities. They guide our decisions and influence our relationships with our employees and business partners. Our core values are integrity & trust, partnership & respect, and independence. In addition to this, we are giving direction in our daily work by a number of other guidelines. These include our CSR policies, our environmental protection guidelines, the principles of the United Nations Global Compact, the OECD Anti-Bribery Convention, as well as further guidelines that can be found in the Appendix of this document.

We respect, protect, and actively promote internationally recognized human rights and ensure that these are not infringed also anywhere along the supply chain.

Our Code of Conduct sets out the main principles and thus serves us as a guideline for adherence to ethical standards and in creating a working environment characterized by integrity, trust, partnership, respect, independence, and sustainability. By keeping to the rules set out in the Code of Conduct, we ensure the long-term welfare of the company and its employees.

## 2. SCOPE

The rules formulated in the Code of Conduct apply without exception to all owners, managers, employees, and all other persons engaged in company work. For clarity of understanding, all categories of persons – regardless of gender – are collectively referred to in what follows as "employees". The scope of these guidelines extends to all business sectors, all companies, and all locations. This Code of Conduct does not replace any other behavioral guidelines but compel them. We also apply the standards formulated in the Code of Conduct to our partners, suppliers, and customers.

### **3. PRINCIPLES OF CONDUCT**

#### **3.1. PRINCIPLES FOR DEALING WITH EACH OTHER**

The way we treat each other is characterized by respect and acceptance. We respect social manners and strive for polite cooperation. We always act with integrity and are aware of our responsibility as role models. We always act as 'One Team'.

#### **3.2 RESPONSIBILITY FOR THE COMPANY'S REPUTATION**

We all are responsible for the indisputable reputation of the entire FMC Industrial family and for our personal reputation. For this reason, every one of us must always behave in public, including social media, in such a way that his or her behavior does not reflect negatively on the company.

#### **3.3 OPEN COMMUNICATION AND DEALING WITH CRITICISM**

We communicate in a goal-oriented and clear manner. We encourage the open exchange of opinions, criticism, and ideas. Conflicts are inevitable in everyday dealings with each other. But they help us to look at our positions critically and to learn from them. We view mistakes as an opportunity. We examine them and eliminate their causes and defects.

#### **3.4 TAKING AN ACTIVE ROLE**

We encourage all colleagues to act on their own initiative. At the same time, we expect them to observe the responsibility that comes with this and to work towards our common goals.

#### **3.5 PERSONAL DEVELOPMENT**

We strive in all areas to create a work environment that enables every employee to produce his or her best performance. We support the personal development of all employees, in particular the expansion of their expertise through training. With our 'annual feedback meetings' we assess the performance and success of every employee according to objective criteria and thus promote an open feedback culture at the same time.

#### **3.6 WORK ENVIRONMENT AND SAFETY**

We are committed to the Sustainable Development Goals of the UN Global Compact. Our primary goal is to create a safe working environment for our employees and to promote their health and well-being.

- Our processes, systems and operations will strive to assure all our employees are always safe.  
We avoid accidents, injuries and ensure safe and health promoting accommodations.  
We train and instruct our employees accordingly.
- Trust, openness, and transparency will create a constructive environment to work.
- We ensure that private or public security forces are properly instructed to prevent any risk of the use of torture, cruel, inhumane or demeaning treatment, injury to life and limb or a restriction of the freedom of assembly and association.

## **4. SPECIFIC REQUIREMENTS**

### **4.1 COMPLIANCE WITH APPLICABLE LAW**

We comply with applicable law. We respect the relevant national and international laws, regardless of our location or the location of the business. In addition, we also respect the international conventions referred to in the appendix.

### **4.2 PREVENTION OF CORRUPTION AND CONFLICTS OF INTEREST**

#### **4.2.1 Prohibition of corruption and personal gain**

We condemn corruption, taking advantage and bribery. We respect the relevant laws and conventions. We neither offer business partners gifts or benefits with the aim of influencing a business decision, nor do we accept such gifts or benefits. Even the appearance of such influence is to be prevented. We will not tolerate the application of unfair means.

#### **4.2.2 Conflicts of interest**

We do not accept any benefits, gifts or entertainment that could lead to a conflict of interest. We avoid situations that could lead to conflicts of interest between our personal or financial interests and the interests of FMC Industrial.

### **4.3 FRAUD PREVENTION**

We do not tolerate fraudulent acts, such as embezzlement, misappropriation, or other fraud – neither within our company nor in our cooperation with business partners.

### **4.4 ADHERENCE TO ANTITRUST AND COMPETITION LAWS**

We respect laws and regulations designed to safeguard fair competition, in particular anti-trust and competition law. We will not tolerate unauthorized preferential treatment or discrimination.

We are not tolerating any abuse of a dominant market position as well as any collusion or concerted behavior with other companies for the purpose of preventing, restricting or feigning competition or which seek to cause such effects, as defined in the applicable anti-trust regulations.

### **4.5 MONEY LAUNDERING**

We observe the applicable legal provision concerning money laundering prevention and comply with their reporting obligations.

### **4.6 CUSTOMS AND EXPORT REGULATIONS**

We comply with the international customs and export control regulations and ensure proactive exchange of export information with the goal of achieving a secure and safe supply chain.

## **4.7 DEALING WITH INFORMATION**

### **4.7.1 Dealing with internal knowledge**

We do not pass on business information that has not been approved for publication by the relevant bodies within the company. Through careful handling, we protect business secrets: in particular, process and manufacturing knowledge, patents, plans, financial data and other information that has not been approved for publication. We do not accept inaccurate reporting – neither within our company nor in terms of information intended for external consumption.

### **4.7.2 Ensuring the confidentiality of data entrusted to us**

We protect the secrets of our customers and suppliers. We do not use them to give ourselves an unfair advantage and we do not pass them on to third parties. We only ever use the information entrusted to us to perform the task for which it was entrusted to us.

### **4.7.3 Data protection**

We comply with all legal requirements for data protection based on the GDPR and accordingly we are obliged to ensure in all business processes the right to informational self-determination. Furthermore, the personal data entrusted to us by our employees and partners is solely used for the intended purposes to the extent legally permissible. In particular, we treat personal information confidentially.

### **4.7.4 Documentation and transparency requirements**

We comply with documentation requirements arising from legal provisions comprehensively and with the necessary care. We also comply in full with any further documentation requirements arising from operational provisions. All our reports, records and statements are accurate, timely, understandable, comprehensive and true.

### **4.7.5 Information security**

We comply in full with all policies and regulations on data security. Our employees are regularly trained in IT security and awareness. We are conscious that cyber-attacks, data theft and data misuse represent an ever-increasing danger for a company, its employees, customers and suppliers and therefore protect our data and the data entrusted to us in accordance with the latest security standards and by trained personnel.

## **4.8 OCCUPATIONAL HEALTH AND SAFETY, ANTI-DISCRIMINATION**

### **4.8.1 Compliance with legal and operational safety policies**

We always observe all legal, trade association and occupational safety regulations. The applicable local laws shall serve as the minimal standard in this regard.

### **4.8.2 Working conditions**

We pay fair wages – at least the statutory and collectively agreed minimum standards – and respect the statutory and collectively agreed standards on working hours, holidays, and public holidays. We respect and protect the dignity and rights of children. We only hire such persons who have reached the minimum age required for performing the work according to the applicable national laws and do not tolerate any child labor.

### **4.8.3 Equal opportunities and anti-discrimination**

We consider a pluralistic personnel structure as an enrichment. We explicitly condemn any form of discrimination, regardless of whether it is because of the person, his or her behavior or any form of discrimination, e.g., due to skin color, ethnic origin, gender, age, nationality, social background, disability, sexual orientation, religious affiliation, ideology, political convictions, or union membership. Employees subject to the same requirements and performing the same tasks must receive equal remuneration for the same work, regardless of their gender.

### **4.8.4 Freedom of association**

We respect the fundamental right of the employees to form unions and to join unions at their free discretion. Membership in a union or employee representation body may not be grounds for discrimination. The right to collective bargaining for the regulation of working conditions and the right to strike must be protected within the legal regulations.

## **4.9 PROTECTION OF THE ENVIRONMENT AND CLIMATE**

### **4.9.1 Compliance with legal and operational environmental protection standards**

We adhere to or exceed all statutory environmental protection regulations.

### **4.9.2 Consideration of environmental impact in all operational decisions**

When making operational decisions, we consider the impact on the environment and choose the most environmentally friendly alternative, where economically feasible.

### **4.9.3 Environmental activities**

We profess and are committed to sustainable business practices and actively practice internal and external projects for environmental protection and increased energy efficiency within the framework of our environmental policy. We refrain from harmful changes to the soil, pollution of bodies of water and the air, noise emissions and excessive water consumption. We proactively support our customers in at least achieving the jointly set targets for the reduction of greenhouse gases.

### **4.9.4. Prohibition of Harmful Substances**

We comply with the legal prohibitions regarding ingredients, restrictions, and declaration requirements as well as applicable standards on the prohibition and declaration of ingredients.

### **4.9.5. Environmentally Friendly Handling of Waste**

We observe the prohibition of non-environmentally friendly handling, collection, storage, and disposal of waste according to the regulations applicable as well as the prohibition on the export of hazardous waste.

### **4.9.6. Protection Against Eviction and Dispossession of Land**

Of course, we do not perform illegal evictions or illegal dispossession of land, forests, or bodies of water the use of which forms the basis of life of a person.

## 4.10 HANDLING COMPANY PROPERTY

We handle company property carefully and in accordance with the rules. Every employee is responsible for his or her own actions in this regard. We report damage, misuse, loss, theft, embezzlement, or destruction of company property on our own initiative.

# 5. APPLICATION

## 5.1 RESPONSIBILITIES AND HELP

### 5.1.1 Personal responsibility of every employee

Everyone is responsible for ensuring that he or she complies with the principles of conduct in everyday life. An honest and trustworthy attitude towards the code of conduct is appreciated. It is the duty of every employee to stay informed of changes to the code of conduct. Ignorance does not protect against consequences. Company management makes available the valid version of the Code of Conduct via the intranet and provides information about any changes through the usual channels. New employees will be familiarized with the principles of conduct within one month of entering the company's employment.

### 5.1.2 Contact persons for clarification of questions

Questions regarding application of the Code of Conduct can be addressed in the first instance to your immediate supervisor, Compliance Coordinator or Managing Director.

## 5.2 REPORTING VIOLATIONS

### 5.2.1 Reporting

We all work towards compliance with the Code of Conduct in direct contact with our colleagues. Where we cannot satisfactorily resolve an infringement of the principles via contact, the case can be referred to the immediate superior or the local Managing Director. If we cannot solve the case in a direct contact with our superior or managing director for any reason, including you do not feel comfortable in doing so, the claim can be also reported verbally or in writing via e-mail or through our whistleblower system. If you wish, you can even submit your report anonymously. To do so, simply scan the QR code or go to 'about us' on our website and scroll down to 'Compliance'.



<https://fmc-industrial.whistleblowing-software.com>

We treat all reported violations in confidence. Nevertheless, in some cases, disclosing this information to third parties may be unavoidable: for example, at the opening of an investigation in which the reporting person is to be heard as a witness. But, as mentioned above, we can also report anonymously.



### **5.2.2 Protection against reprisals for reporting in good faith**

We do not tolerate any reprisals against employees who report a violation in good faith.

### **5.3 SANCTIONING OF VIOLATIONS**

Reported violations of the Code of Conduct will be clarified by the relevant superior or investigated by the local management. If during this process the suspicion of criminal conduct strengthens, the case will be referred to the authorities. An infringement can thus result in personnel as well as civil and criminal legal liability.

## APPENDIX

### Relevant national and international conventions:

**United Nations Global Compact**

[www.unglobalcompact.org](http://www.unglobalcompact.org)

**German Corporate Governance Code**

[www.dcgk.de/en/code.html](http://www.dcgk.de/en/code.html)

**OECD Convention on Combating Bribery of Foreign Public Officials in International Business Transactions**

[www.oecd.org/daf/anti-bribery/ConvCombatBribery\\_ENG.pdf](http://www.oecd.org/daf/anti-bribery/ConvCombatBribery_ENG.pdf)

**OECD Guidelines for Multinational Enterprises**

[www.oecd.org/daf/inv/mne/48004323.pdf](http://www.oecd.org/daf/inv/mne/48004323.pdf)

**UN Convention Against Corruption (UNCAC)**

[www.unodc.org/documents/treaties/UNCAC/Publications/Convention/08-50026\\_E.pdf](http://www.unodc.org/documents/treaties/UNCAC/Publications/Convention/08-50026_E.pdf)

**Transparency International/Social Accountability International: Business Principles for Countering Bribery**

[www.transparency.org/whatwedo/publication/business\\_principles\\_for\\_countering\\_bribery](http://www.transparency.org/whatwedo/publication/business_principles_for_countering_bribery)

**ISO 37301: Compliance management systems - Guidelines**

[www.iso.org/iso/home/store/catalogue\\_tc/catalogue\\_detail.htm?csnumber=62342](http://www.iso.org/iso/home/store/catalogue_tc/catalogue_detail.htm?csnumber=62342)

As stated above, we abide by the law wherever we do business. However, we want to bring to your attention some laws you might not immediately recognize as being relevant to you. Both apply not only to actions in their respective countries but, under certain conditions, to actions in any other country:

**(USA) Foreign Corrupt Practices Act (FCPA)**

[www.justice.gov/criminal-fraud/foreign-corrupt-practices-act](http://www.justice.gov/criminal-fraud/foreign-corrupt-practices-act)

**(UK) Bribery Act 2010**

[www.legislation.gov.uk/ukpga/2010/23/contents](http://www.legislation.gov.uk/ukpga/2010/23/contents)

## CONTACT DATA

FMC Industrial GmbH  
Wasserkunst 1a  
28199 Bremen  
Germany