

## Prototek Digital Manufacturing Supplier Code of Conduct

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### Introduction

A commitment to high ethical standards has been at the heart of PROTOTEK from the beginning. Today, as an international leader in the digital manufacturing sector, it is important our commitment to the highest professional and ethical standards is understood and embedded throughout our business and supply chain. Therefore, PROTOTEK wishes to conduct business and build relationships with suppliers who share our core values of *integrity* and *transparency*. PROTOTEK expects to work with suppliers that act with honesty and integrity in all business interactions and work with us to improve standards.

This Supplier Code of Conduct sets out our expectations of suppliers that provide goods and services to PROTOTEK. All suppliers are expected to commit to this Code of Conduct as a condition of doing business with PROTOTEK and ensure that it is communicated to their employees and subcontractors.

*When we refer to Prototek in this Supplier Code of Conduct include Prototek Digital Manufacturing and all its direct and indirect subsidiaries across the Prototek group of companies.*

*General Disclaimer: The expectations set forth in this Code are not intended to conflict with or modify the terms and conditions of your contracts with Carrier. If a contract requirement is more restrictive than this Code, you must comply with the more restrictive contract requirement. By way of example only, for suppliers supporting U.S. Government contracts, the requirements of FAR 52.203-13, Contractor Code of Business Ethics and Conduct, also shall apply. This Code also contemplates that the laws of different jurisdictions will apply depending upon the specific circumstances and this Code is not intended to prevent Carrier from exercising any rights or privileges available under the law applicable in a specific jurisdiction.*

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### Following laws and regulations

Suppliers shall act at all times in full compliance with applicable laws, rules and regulations and in a manner that does not result in PROTOTEK being put in a position where it does not itself comply with applicable laws, rules and regulations.

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### Labor Standards

#### Hiring and employment practices

Suppliers' hiring practices must include verification of worker's legal right to work in the country and ensure that all mandatory documents, such as work permits, are available. In addition, a written contract should be made available to each worker that clearly communicates the conditions of employment in a language understood by the employee.

PROTOTEK suppliers must not discriminate against employees in hiring, promotion, salary and performance management on the basis of race, ethnicity, gender, religion, nationality, age, disability, political affiliation, union membership, sexual orientation, maternity or marital status

of the employee. PROTOTEK suppliers are expected to support diversity and equal opportunity in their workplaces.

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### **Human Rights**

PROTOTEK is committed to respecting human rights and treating every internal and external stakeholder with respect and dignity. We expect the same from each one of our suppliers. Suppliers must respect human rights throughout their operations (in accordance with applicable laws, rules, regulations and internationally recognized guidance and frameworks such as the International Labor Organization's Declaration on Fundamental Principles and Rights at Work, the United Nations Global Compact (UNGC) and the United Nations Guiding Principles on Business and Human Rights. This includes, without limitation, their own operations and those of its permitted subcontractors.

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### **Modern slavery**

PROTOTEK does not tolerate slavery, servitude, forced or compulsory labor (known as *modern slavery*) or human trafficking in its supply chain and complies with applicable law and regulations. Suppliers must not engage in modern slavery of any kind. Suppliers are required to monitor any third party which assists them in recruiting or hiring employees to ensure that people seeking employment at their facilities are not compelled to work through modern slavery of any kind.

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### **Health & Safety**

PROTOTEK suppliers must provide workers with a safe and healthy work environment and should proactively document and implement appropriate measures such as policies, procedures, education, and communication that support accident prevention and minimize health risk exposure for all employees. Where appropriate, suppliers shall provide personal protective equipment together with training on its benefits and use.

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### **Risk management**

Our suppliers shall not inappropriately downstream supply chain risks to their subcontractors. We expect all parties involved in the supply chain to be aware and promptly divulge their intelligence of such risks to prevent and mitigate the impact of material commercial and operational risks accordingly (i.e. the impact of losing a key supplier). We require suppliers of critical services to develop business continuity plans and resolution plans, deployable in the event of a business critical occurrence or corporate insolvency to ensure continued supply of critical services to PROTOTEK.

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### **Environmental Standards and Sustainability Environment**

PROTOTEK suppliers shall comply with all applicable environmental legislation, regulations and standards and have robust processes in place to identify and eliminate potential hazards to the environment and local community. Additionally, suppliers should seek to minimize their impact on the environment by energy conservation, recycling and appropriate disposal of waste.

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### **Sustainable Procurement**

We expect our suppliers to operate in a sustainable and responsible manner, in addition to complying with legal and contractual obligations. This includes, without limitation, reducing the environmental impacts of their operations and supply chains; preventing adverse environmental impacts on the local community; implementing programs that recognize, respect and invest in the local community and addressing risks related to the security of raw material supply.

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### **Conflict Minerals**

PROTOTEK is committed to sourcing materials across our global supply chains in a responsible manner. Our actions include using appropriate measures to avoid the use of conflict minerals (as defined in Section 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act) such as tantalum, tin, tungsten and gold originating from the Democratic Republic of the Congo (DRC) and surrounding countries. We expect each of our suppliers to exercise appropriate due diligence across their own supply chains (global or otherwise), particularly in relation to use of conflict minerals, and PROTOTEK reserves the right to review their findings at any given time.

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### **Data Cyber Security and Data Privacy**

It is essential that our suppliers safeguard the integrity and security of their electronic systems and support PROTOTEK's requirements to protect personal data. Suppliers must inform PROTOTEK if they become aware of any cyber security or data privacy incident that has breached or potential to affect PROTOTEK in any way.

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### **Business Integrity Improper payments/bribery**

PROTOTEK does not tolerate bribery or corruption in any form, as set out within our Code of Ethics. PROTOTEK suppliers must comply with all relevant anti-bribery and corruption laws with regard for legislation in the Foreign and Corrupt Practices Act 1977. PROTOTEK suppliers must not engage in any activity, practice or conduct which would constitute a tax evasion facilitation offence under applicable law.

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### **Conflict of interest**

PROTOTEK suppliers or their employees or representatives must disclose any potential or actual conflict of interest in writing to PROTOTEK's Supply Chain Team at the earliest opportunity.

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### **Participation in sourcing exercises**

Where suppliers are invited to participate in sourcing exercises (through formal tenders or requests for proposals/quotations) suppliers shall ensure they are familiar with and conduct themselves in accordance with the PROTOTEK Supplier Engagement Policy.

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### **Confidential Information**

Proper management of confidential information and personal data is paramount to the success of PROTOTEK and its suppliers. PROTOTEK suppliers must protect all PROTOTEK information,

data, and intellectual property with appropriate safeguards. Suppliers may receive PROTOTEK confidential information and shall not disclose the confidential information or use the information except as permitted by any relevant agreement and shall protect the information from misuse or unauthorized disclosure.

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**Use of PROTOTEK company names and logos**

PROTOTEK suppliers shall not use PROTOTEK company names or logos for any purpose without express written authorization from PROTOTEK. This includes, but is not limited to: public announcements, press releases, media activity, advertising, endorsements, customer or client listings and photographs of PROTOTEK and its companies' staff, buildings, equipment and branded products in supplier publications.

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**Supply chain transparency**

PROTOTEK expects transparency in its supply chain. To monitor this PROTOTEK will request documentation from time to time including but not limited to: supplier locations, supplier sub-contractor names and locations and results of audits. Accordingly, PROTOTEK suppliers must ensure that documentation is retained to demonstrate compliance with this PROTOTEK Supplier Code of Conduct. Additionally, PROTOTEK reserves the right to conduct onsite audits, reviews and approve corrective action plans, verify implementation of corrective actions throughout the supply chain and require suppliers to work in a collaborative way to improve overall supply chain standards.

**Authorized Signature:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Company:** \_\_\_\_\_

**Date:** \_\_\_\_\_