

# Environmental, Social & Governance Policy



## A Message from our CEO

### Our Commitment

Since 2008, Optotune has helped to make optical innovation a reality and enhance people's lives through innovation in dynamic light control. Our long-term profitable growth is rooted in our efforts towards environmentally and socially responsible practices for our customers, our employees, and our communities. We focus on sustainably managing our environmental footprint, product and process innovation, information security and data privacy, and the success and development of our people.

### Our People

Optotune's core values of Pioneership, Positive Mindset, Respect, Profitable Growth, Ownership and our corporate culture defines who we are and how we responsibly do business. Our inclusive, collaborative culture comes from our diverse and international people. We foster a safe and healthy work environment, where proper training is provided. We attract and retain the best talents, who enjoy professional development opportunities and trainings.

## Our Environment

Optotune respects and strives to be responsible to the environment. We care about sustainability, such as using resources and energy more efficiently, and educating our employees on reducing waste and protecting our planet. We follow global standards and expect the same from our business partners.

## Our Governance

We hold our Management accountable to always do the right thing and uphold the highest ethical standards. Our dedicated Sustainability Committee keeps us on track to achieve our sustainability goals. We commit to do business responsibly, ethically, and sustainably, to act as a role model for our employees, business partners, and communities.

## Validity

This version of the **Environmental, Social & Governance Policy** was issued by the Executive Committee and became effective on 2 October 2022.

*signed*

Dr. Manuel Aschwanden, CEO



# 1. Social

## 1.1 Engagement

We are committed to do business with integrity while delivering high quality, long-term value. We act responsibly towards our employees, business partners and societies. We regularly engage with our stakeholders to mitigate risks and fairly balance interests.

## 1.2 Our People

### 1.2.1 Culture

Respect is one of our core values. We care about our employees. Our open-door policy encourages honest communication and easy access to Management. We ensure a safe and healthy working environment, encourage and support learning and development, and embrace diversity and inclusion.

### 1.2.2 Benefits

Our flexible and hybrid working policies allow employees to work in ways that fit their lifestyles. We believe that happy employees are motivated and productive employees. This enables us to attract the best talents and to meet customer expectations and provide innovative unique solutions. We prioritize talent development and provide further education opportunities through our OptoAcademy, coaching, mentoring and external trainings with certifications. Our employees are challenged to grow in their roles and upgrade their skills, in recognition of their talents and valuable contributions to Optotune.

It's not just work at Optotune – we also believe in fun. We organize many seasonal company events and activities for employees to relax and unwind together. Some examples are Friday drinks on our terrace, Easter barbecue, summer party, Float to Work, Bike to Work which lasts for one month every year, Christmas party, and Snow Day.

### 1.2.3 Diversity & Inclusion

- 220+ employees worldwide
- 42% females, 58% males
- 30+ different nationalities

Employees with diverse backgrounds and perspectives contribute to our rich workplace culture and inclusive, innovative environment. We embrace and value diversity in all its forms, whether gender, age, ethnicity, or cultural background. Equal opportunity is integral to our recruitment process, as we aim to develop an inclusive community of diverse talent.

### 1.2.4 Communities

We participate in community activities and sustainability initiatives, and support charities, especially those providing education opportunities.

## 1.3 Suppliers

We strive to incorporate sustainability in our sourcing processes by close collaboration with our direct suppliers where we conduct risk assessments and mitigation plans, using environmental and social criteria. We foster ethical and social operations and propagate optimized circular supply chains. We further ensure that due diligence is conducted with all applicable direct suppliers and through this, we mitigate conflict mineral risks.

Our [Sustainable Supply Policy](#) sets out our approach to working with suppliers in a responsible manner.

## 2. Environment

We want to protect the earth for future generations and make it a better place. To do this, we focus on our use of resources and product innovation. Our [Environmental Policy](#) sets out more information.

### 2.1 Use of Resources

We are aware that our world has limited resources and that it is our responsibility to act as environmental stewards. While pursuing Profitable Growth (one of our Optotune values), we focus on sustainability and on limiting the use of resources in a responsible way.

1. We reduce our carbon footprint, greenhouse gas emissions and we look towards renewable energy sources.
2. We prefer reusable, recyclable or bio-degradable packaging when possible.
3. We collaborate with stakeholders to improve our sustainability efforts and improve our environmental impact.
4. Our Sustainability Committee reviews our resource usage, including our water consumption, recycling rate, emissions to air (greenhouse gas emissions), energy efficiency of operations, and use of hazardous materials.

### 2.2 Our Products

As a global optics innovator and manufacturer working with the leading companies across various industries, Optotune responsibly creates advanced technology. We innovate technologies and design our products with a minimal number of components and our processes with a minimum number of steps, while considering environmental and ecological factors. We always follow the law and deliver high quality products and services which are compliant with the relevant standards. Together with [Assent](#), our third-party compliance service provider, we engage with our suppliers to ensure that standards such as REACH and ROHS are followed. In our products, we strive to reduce and restrict substances that can be deemed harmful to humans and the environment and eliminate conflict minerals.

We focus on end-to-end supply chain planning to reduce transportation emissions and waste generation. We also collaborate with suppliers to improve our sustainability efforts and improve our environmental impact. Our [Sustainable Supply Policy](#) highlights our efforts and measures to source materials responsibly.

### 2.3 Our Governance

We have a transparent governance structure with independent supervision. As role models for all employees, Management leads responsibly. We avoid conflicts of interests by declaring any potential conflicts in advance. Everyone in Optotune, starting from our Management, is expected to comply with the law and follow environmental, social and corporate governance (ESG) standards. [Management](#) and our Board of Directors, working with our Sustainability Committee, are responsible for ESG at Optotune, to ensure accountability to our stakeholders.

#### 2.3.1 Board of Directors

##### Dr. Manuel Aschwanden, Chairman



Manuel has been an executive member of the Board of Directors of Optotune Holding since 2008. Manuel holds an MSc in electrical engineering and a PhD in nanotechnology from ETH Zurich. Besides his excellent engineering skills, he also gained a broad knowledge in economics during his business education at Imperial College London and at the University of Illinois at Urbana-Champaign. Prior to Optotune, Manuel has gained experience in engineering at Avalon and ABB. He has been serving as CEO since 2008.

[Mark Ventura, Board Member](#)



Mark has been an executive member of the Board of Directors of Optotune Holding since 2008. Mark holds an MSc in electrical engineering from ETH Zurich. Having lived and worked in Gothenburg, Paris, San Francisco and Boston, Mark has an international profile with a broad network. He gained practical business experience as a strategy consultant with Bain & Company. Mark co-founded Optotune in 2008. After building up operations he now focuses on sales and marketing.

**Dr. Felix Mayer, Board Member**



Felix has been a non-executive member of the Board of Directors of Optotune Holding since 2008. Felix Mayer is one of the two founders and Co-Chairman of the Board of Directors of Sensirion Holding AG. Until June 2016, he served as Co-CEO of the Company together with Moritz Lechner. Mr. Mayer worked at Siemens for five years and conducted research in the area of microtechnology at the Swiss Federal Institute of Technology (ETH Zurich) for four years. Currently, Mr. Mayer serves on the Board of Directors of Lumiphase AG and Luma Beef AG. He studied Physics at ETH Zurich, from which he also received his PhD in Physics.

**Sarit Landau, Board Member**



Sarit has been a non-executive board member since 2023. Sarit joined 7-main in 2007 and serves as its CFO over the last ten years. Sarit oversees the financial and legal due diligence processes of new investments as well as the structuring of the transactions and related agreements. She also supports portfolio companies in their development, in particular in financial related matters. Sarit holds an MBA from Northwestern University and a BA in economic and accounting from Bar Ilan University.

**David Niederer, Board Member**



David has been an executive member of the Board of Directors of Optotune Holding since 2008. David has an MSc in mechanical engineering and is the second co-inventor of Optotune's core technology. During his studies at ETH Zurich, he specialized in industrial process engineering, innovation management and micro- and nanotechnology. David has been responsible for product and process development at Optotune since 2008.

**Jan Kollros, Board Member**



Jan has been a non-executive member of the Board of Directors of Optotune Holding since 2020. Jan holds an MSc in management, technology and economics. In 2005 he joined Adbodmer AG where he became a partner and CEO. In 2019 Jan successfully sold Adbodmer AG to the Bellevue Group where he is a member of the group management team.

**2.3.2 Sustainability Committee**

We consult with our industry peers and local networks to leverage on best practices and constantly seek to improve our sustainability processes and governance. Our Sustainability Committee, headed by our Sustainability Officer, oversees our sustainability goals, policies and operational controls through regular meetings.

**2.4 Integrity**

**2.4.1 Optotune Values & Code of Conduct**

We act with integrity in line with our Optotune [Values](#) and [Code of Conduct](#). When doing business, we follow the law while delivering high quality, compliant products and services.

Our Code of Conduct, which is built on our Values, guides us to align our business activities with the applicable ethical and legal standards. The Optotune Code of Conduct is available on our websites in English, German, and Slovak.

[Optotune CoC in German](#)  
[Optotune CoC in Slovak](#)

#### 2.4.2 Culture of Integrity

We promote an organizational culture that encourages ethical conduct and a commitment to legal compliance. We train our leaders on best practices to collaborate, address risks and manage difficult situations, to foster a workplace culture of respect, support and open communication, and to educate employees of the same.

Employees are encouraged to speak up and report concerns or suspected violations. They may do so to their managers, to HR, or through our Integrity Channel which allows for anonymous reporting. Employees will not suffer retaliation as a result of their reporting. Our office ombudsman provides employees with an informal channel to raise any compliance or employment related issues, such as topics related to management and coworkers or workplace bullying or harassment.

#### 2.4.3 Compliance Oversight

Management has overall responsibility for and oversight of compliance activities, which are managed by various legal and compliance officers. This includes areas such as data privacy, export compliance, conflict minerals, product compliance, and Environmental, Social & Governance (ESG).

### 3. Information Security, Confidentiality & Data Privacy

#### 3.1 Confidentiality

All employees and business partners who have access to our company information and assets have an obligation to protect Optotune's and our customers' information and assets. One of the ways we do this is through our contracts such as Non-Disclosure Agreements, and regular trainings. Our IT and Information Security team helps the business to closely monitor and mitigate security threats, in line with industry standards.

#### 3.2 Data Protection

Optotune recognizes the importance of privacy and is committed to protecting your personal data. Our websites [Privacy Policy](#) and [Terms Of Use](#) outline the types of personal data Optotune gathers when you use one of our websites, how your personal data is processed, some of the steps we take to safeguard your personal data, and your rights over your personal data.

#### 3.3 Information Security

Our systems are protected by industry leading technology, and we have a dedicated team monitoring our environment in real-time. We are constantly analyzing and improving our IT security as a high priority in our IT team. We strictly give access on a need-to-know basis and conduct regular audits to make sure permissions are assigned on that basis.

We take the necessary means to protect our intellectual property to the fullest extent. We have an extensive backup system on- and off-line and maintain clearly defined disaster recovery plans, which are tested regularly. All of our systems are up-to-date, and we have a system to apply updates immediately upon newly discovered threats.



**Pioneership**

**Positive Mindset**

**Respect**

**Positive  
Growth**

**Ownership**