

# INTEGRITY FOR BIOLOGY



company Policy  
Code of Conduct



# ABOUT US

INNOVATIVE  
COMPOUND  
RESEARCH



## Tabel of Content

1. <b>Our Company Policy</b> .....	4	3. <b>Quality Policy</b> .....	10
1.1 Goal / Purpose / Zweck .....	4		
2. <b>Mission Statement</b> .....	6	4. <b>Code of Conduct</b> .....	12
2.1 Preamble .....	6	4.1 Ethics.....	12
2.2 The Goals of our Work .....	7	4.2 Human Rights and Working Conditions .....	14
2.3 Our Vocation.....	7	4.3 Health and Safety.....	16
2.4 Principles of Cooperation.....	8	4.4 Environment .....	17
2.5 Organization an Leadership .....	8	4.5 Management Systems .....	18
2.6 The Future is open .....	9		
2.7 Pride and Gratitude.....	9		

# OUR COMPANY POLICY



LARGE  
BIOBANK  
STUDIES

## 1. Our Company Policy

At LiCONiC, we are aware of our responsibility towards our customers, employees and society as a whole. Our success as a company is closely linked to our ability to set and maintain clear guidelines and standards for our actions.

### 1.1 Goals / Purpose

This company Policy serves as a guide to our business activities and sets out the fundamental principles that guide our actions. It is an expression of our responsibility to our stakeholders and our commitment to ethics, integrity, quality and sustainability. Our company Policy is the foundation on which we build our daily decisions and actions, and it serves as a benchmark for our conduct in the business world.

We believe that adhering to this policy not only contributes to our long-term success, but also helps us make a positive impact on the world and communities in which we operate.

## 1.2 Responsibilities

The management has the task of drawing up the company policy and, if necessary, adapting it should the company's vision change. The company policy must be communicated to the employees. This can also be done by a delegated position of the management.

# MISSION STATEMENT



INNOVATIVE  
COMPOUND  
RESEARCH

## 2. Mission Statement

In this mission statement, we document the core elements of our company identity and clarify our commitment to living these principles in our daily actions. It is an expression of our long-term vision and commitment to run our company successfully and ethically.

### 2.1 Preamble

LiCONiC has a company culture shaped by years of constant building. Due to our growth, the company is in constant motion.

In 1990 LiCONiC was founded. From small beginnings, it has become a company that is active worldwide. We recognize our company as something distinctive, something special. Our attachment to LiCONiC is strong, and we are determined to ensure that it remains so in the future. We feel good about LiCONiC and want it to stay that way in the future.

### 2.2 The goals of our work

Like any company, LiCONiC strives to make a profit, not least to ensure appropriate compensation for our employees. Nevertheless, economic considerations alone are not sufficient for us.

We recognize that the long-term future security of our company can only be guaranteed by the continued satisfaction of our customers, employees and suppliers. That is why LiCONiC should not only be a working space for us, but above all a living and working space. Our cooperation and interpersonal interactions are characterized by honesty and fairness.

We are committed to the performance community, but also to the joy of work. As a market leader, we are aware of our responsibility and continuously check whether our demands on creativity and quality match reality. Only against this background do profit-oriented company goals become responsible

### 2.3 Our vocation

With our responsible work, we develop and manufacture laboratory products and distribute them worldwide. Our equipment supports medicine and medical research for the health of the world's population. Every work should contribute to the well-being of people, in our work the connection to health is very close to the people. We make a direct contribution to the well-being of people.

This awareness is our incentive and motivation. It goes without saying that we are committed to serving our customers carefully and reliably.

# MISSION STATEMENT



SAMPLE  
SECURITY

## 2.4 Principles of cooperation

We make no distinctions between employees, colleagues, customers and suppliers. Every relationship is equally important to us. Only among equal partners do lasting bonds grow.

In the event of a conflict, we explore the reasons with the parties involved and strive for fair solutions. If cooperation is not possible despite intensive efforts on our part, we can also say no.

We distinguish ourselves through collegiality and not at the expense of others. We only achieve our goals together. We celebrate our successes and learn from our defeats.

## 2.5 Organization und Leadership

Individuality is desired in our company. We limit any organization to the necessary minimum. We do not shy away from change; on the contrary, we encourage it. For us, necessary standards and rules are not fetters, but the basis for entrepreneurial freedom.

Our thinking is holistic and not limited to departmental boundaries. All our actions are aligned with the overall context. That is what makes us, that is how we have grown.

With us, no one is a superior by virtue of his or her position. We see our employees first as colleagues and fellow human beings. Together we bring our strengths to the solution of a task.

## 2.6 The future is open

We experience our company culture as something special. But we also know that we will continue to develop and change as a result, and we want to do so.

The future is open and offers many opportunities. No one can predict exactly what the future will bring. However, we want to be and remain ourselves. This is what this mission statement stands for. It contains our basic convictions, which can be used as a guide for employees working in the company and for new employees.

It is our obligation to cultivate our company culture and align our community accordingly. That's why we ask ourselves and everyone involved to always be upfront if we become unfaithful to our core beliefs.

## 2.7 Pride and gratitude

LiCONiC AG stands for development, production and distribution of automated incubators as well as small and large storage systems for the life science industry worldwide. High-quality products and services for the ever-growing requirements of today's life science industry are the result of many years of research and development. In our plant in Liechtenstein, innovative high-tech instruments are developed and manufactured from the idea to the finished product

We are proud of our quality certifications:

- ISO 9001
- D&B Rating Certificate

# QUALITY POLICY



RESERVATION  
FOR FUTURE  
IDEAS

## 2. Quality Policy

We have set ourselves the goal of ensuring long-term and forward-looking further development through a clearly formulated company strategy and the optimum use of funds and resources.

We want to achieve this by:

- Involvement and promotion of employees
- Use of contemporary working methods, technologies and materials
- Meeting the requirements of our customers through regular recording and evaluation of customer satisfaction
- Incorporation of know-how from our suppliers and customers in order to meet the market technically and economically
- Safety of employees and protection of the environment as an important factor

We support these demands by establishing and maintaining a quality management system that complies with ISO 9001. As the main topics of the quality policy we promote:

### Personal / departmental / company quality

This means leading by example, avoiding mistakes through self-control, learning from mistakes and not committing them again. Meeting the requirements and expectations placed on an individual, the department and the company as a whole.

### Quality of decisions so that they serve the entire company

We understand this to mean our daily entrepreneurial decisions, which should always be made in the interests and for the benefit of the entire company. The decisions must be in line with the goals of the company and the requirements of our customers.

### Quality of the methods and processes used

The processes and methods used in our company are technologically adapted and we strive to achieve the optimum in

performance and product quality.

### Quality and efficiency of the machines, plants and equipment used

Through professional monitoring and maintenance, we optimize the economic use of our machines, plants and equipment and ensure high product quality.

### Quality of the materials used for our process

By constantly monitoring our starting products and adapting our processes, we ensure the economical use of materials.

### Product quality and production in harmony with occupational safety and environmental protection

By selecting and using suitable materials, we try to keep the impact on the environment as low as possible.

Through the environmentally friendly development of our products, we take into account the requirements of the most resource-efficient use of materials and energy.

The safety of our employees and third parties is our primary objective, and we do everything in our power to ensure that the

relevant standards and regulations are complied with.

# CODE OF CONDUCT

NEW  
DRUGS  
DISCOVERY



the case with our customers. Therefore, this point is addressed to our customer. They are committed to ensuring that appropriate management systems are in place to minimize the risk of compromising the rights of patients, subjects and donors, including their rights to health and direct access to information.

#### Conflicts of interest

To avoid conflicts of interest, personal interests must not influence business decision-making. Potential conflicts of interest must be disclosed to the supervisor in order to prevent them before they occur. Even the appearance of favoritism in business relationships with competitors, suppliers, service providers and other companies harms LiCONiC and its employees and must therefore be avoided

Examples of conflicts of interest may include:

- **Gifts and favors:** An employee accepts gifts, favors or entertainment from customers, suppliers or other business partners that are disproportionate to customary business practices and could compromise the employee's independence and objectivity.
- **Contracting:** An employee is involved in the contracting process and awards contracts to a company or organization in which he or she has a personal stake or from which he or she benefits financially.
- **Financial Interests:** An employee invests in companies or organizations that have business relationships with the employee's own company and could be influenced by the employee's decisions.

## 4. Code of Conduct

We, the people of LiCONiC, are firmly convinced that respectful interaction at eye level is a prerequisite for every successful business. This applies equally to the management as well as to the employees. All employees are required to behave in accordance with the Code of Conduct and to draw attention to violations.

The Code of Conduct describes our business activities based on the official PSCI Principles for Responsible Supply Chain Management with regard to human rights, ethics, working conditions, health and safety, the environment and related management systems.

### 4.1 Ethics

Our Code of Conduct serves as a guideline for our company ethics and emphasizes our commitment to responsibility and ethics. In this code, we address issues such as anti-bribery, fair competition, animal testing, data protection and conflicts of interest. These principles are the foundation of our commitment to responsible business conduct and our commitment to continuously improve our company practices.

#### Combating bribery and corruption

We oppose any form of bribery, corruption, extortion or even embezzlement. Therefore, we commit not to pay or accept bribes or participate in other illegal inducements in business or government relationships or through the use of intermediaries. We ensure that we have adequate systems in place to prevent bribery and comply with applicable laws.

#### Fair competition

We are committed to conducting our business in a manner consistent with fair competition and in compliance with all applicable antitrust laws. We use only fair business practices, including accurate and truthful advertising.

#### Animal welfare and animal testing

We treat animals ethically and with respect. We do not use animal testing in the manufacture of our technical equipment. Because our products are used in biomedical research, we understand that our customers may rely on animal testing. We ask our business partners to treat animals humanely, minimizing pain and stress. Animals should be replaced where possible, the number of animals used reduced, or procedures refined to minimize distress. Alternatives should be used wherever they are scientifically valid and accepted by regulatory agencies.

#### Privacy and security

We protect confidential information and use it appropriately - taking into account the GDPR. We ensure that the data protection rights of companies, employees and others are protected. We comply with all applicable privacy and data protection laws and ensure the protection, security and lawful use of personal data. We also ensure that employees are aware of what data is used or stored, for what purpose, and how to revoke their consent to data storage.

#### Patient safety and access to information

While we at LiCONiC do not come into contact with any patient: inside data, we are nevertheless aware that this may very well be

# CODE OF CONDUCT



## 4.2 Human rights and working conditions

We respect and protect the rights of every human being and are committed to complying with labor laws in the markets in which we operate. We adhere to the Universal Declaration of Human Rights, the Fundamental Principles of the International Labor Organization (ILO), the ten principles of the UN Global Compact, and the United Nations Guiding Principles on Business and Human Rights (UNGP).

We strive to ensure that human rights are respected beyond our company, which is why we do not work with companies that are involved in human rights violations. Thus, our Supplier Code of Conduct is part of the contractual basis for future suppliers, the agreements with existing suppliers are to be supplemented by this Code of Conduct and includes the following points in the area of human rights:

### Freely chosen employment

We ensure that all employees work for LiCONiC of their own free will. We oppose forced labor, bonded labor, debt bondage, or

involuntary prison labor. No one should be paid for work or denied freedom of movement.

### Child labor and young workers

We do not use child labor and also require this for our business partnerships. The employment of young workers under the age of 18 may only take place for non-hazardous work. And only if the young workers are over the legal age for employment in a country or the age set for the completion of compulsory education.

If we or our partners come across child labor, we take immediate action against the supplier. We also cover all costs for the schooling of the child concerned. We ensure that the child goes back to school. If the child has not been to school before, we provide him or her with the necessary support to get a good start in school life. This step demonstrates our firm commitment to ending child labor and improving educational opportunities for affected children. We firmly believe that education is the key to liberation from this unacceptable situation. We are determined not only to combat the effects, but also to address the causes and actively contribute to improving the living conditions of the children affected.

### Fair treatment

We understand fair treatment to mean more than just observing non-discrimination. Our workplaces are free from harassment as well as inhumane treatment, including sexual harassment, sexual abuse, corporal punishment, mental or physical coercion or verbal abuse.

### Wages, benefits and working hours

Equal pay for equal work. Unfortunately, this is still not guaranteed across all industries. We specifically ensure that we pay fair wages and do not discriminate against anyone. We communicate with our employees the basis on which they are paid. Compensation is in accordance with applicable wage laws, including minimum wages, overtime and mandated benefits.

We also notify employees whether overtime is required and the wages to be paid for such overtime. Overtime is in accordance with applicable national and international standards and is voluntary.

### Freedom of association

We see open communication and direct engagement as the solution to conflicts of any kind regarding workplace and

compensation issues.

We respect the right of workers to associate freely, join or not join unions, seek representation and join works councils, as set forth in local laws. We ensure that employees are able to communicate openly with management about working conditions without threats of reprisal, intimidation or harassment.



# CODE OF CONDUCT



## AGRICULTURE RESEARCH

### 4.3 Health and Safety

As a healthy company, we see it as our particular duty to provide a safe and healthy working environment. The health and safety measures also apply to suppliers, customers and subcontractors.

**Workers protection**

We protect workers from excessive exposure to chemical, biological and physical hazards and physically demanding tasks in the workplace. We ensure proper order and cleanliness as well as access to drinking water

**Process reliability**

We use management processes to identify the risks of chemical and biological processes and to prevent or, if necessary, quickly respond to a release of chemical or biological agents.

**Emergency Preparedness and Response**

Implementing emergency plans and response procedures allows us to identify and assess emergency situations in the workplace

and minimize their impact.

**Hazard information**

We keep safety information relating to hazardous substances - including active pharmaceutical ingredients and pharmaceutical intermediates - freely available to train, instruct and protect workers from hazards.

### 4.4 Environment

We are aware that resources are not infinitely available and therefore we maintain a responsible and resource-conserving approach. We work in an environmentally conscious and efficient manner to prevent or minimize any negative impact on the environment. We avoid the use of hazardous materials where possible and participate in activities that promote reuse and recycling.

**Environmental permitting and reporting**

We comply with all applicable environmental regulations. All required environmental permits, licenses, information registrations and restrictions must be obtained and their operating and reporting requirements followed.

**Waste and emissions**

We implement and maintain systems that ensure the safe handling, movement, storage, disposal, recycling, reuse or management of waste, air emissions and wastewater discharges. Any waste, effluent or emission that may adversely affect human or environmental health must be appropriately managed, controlled and treated prior to its release into the environment. We also expect this from our customers, including with regard to the management of emissions of active pharmaceutical ingredients into the environment.

**Leaks and releases**

We implement and maintain systems to prevent and mitigate accidental spills and releases to the environment and adverse impacts to the local community.

**Responsible use of resources**

We are committed to conducting our business activities in a way that respects and conserves the natural resources of our environment. This includes reducing energy and water consumption, minimizing waste, and promoting recycling and reuse practices. We strive to pursue sustainable sourcing strategies and use materials and resources efficiently to minimize our environmental footprint.

**Sustainable procurement and traceability**

To ensure sustainable and legal procurement and to promote this beyond our company, we check the origin of critical raw materials particularly carefully. In doing so, we likewise oblige our suppliers to strictly comply with the law and international standards and verify this at regular intervals through on-site or desktop audits.

# CODE OF CONDUCT



NEW  
DRUGS  
DISCOVERY

## 4.5 Management systems

Our integrated management system maintains business continuity and enables continuous improvement.

### **Commitment and Accountability**

For us, the demand for ethical and resource-saving actions does not end within our company, but goes beyond it. We therefore also require our suppliers to adhere to the concepts described in this document and to demonstrate them in a comprehensible manner. This includes allocating appropriate resources and identifying responsible management personnel.

### **Legal and customer requirements**

Applicable laws, regulations, standards and relevant customer requirements change over time. We continuously inform ourselves to identify and comply with them.

### **Risk Management**

We use mechanisms to determine and manage risks in all areas addressed by these principles.

### **Documentation**

We maintain necessary documentation to demonstrate compliance with these principles and applicable regulations.

### **Training and competence**

We have a training program that achieves an appropriate level of knowledge, skills and abilities among management and workers to meet the expectations of these principles.

### **Continuous improvement**

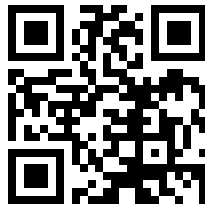
We use a continuous improvement process by setting performance goals, executing implementation plans, and taking

necessary corrective action for deficiencies identified through internal or external assessments, inspections, and management reviews.

### **Communicate and identify concerns**

Open communication is important to us, and all employees are encouraged to raise concerns, report illegal activities or violations of these principles of the Code of Conduct - without fear of threat or actual reprisal. Employees may contact management, supervisors and Human Resources at any time. Since we know that it is not always easy to voice concerns and criticism or even to report violations of our Code of Conduct, there is also a designated person for the protection of employees' personal privacy. This person is listed on the notice board. Anonymous comments can currently be posted in the mailbox.

We follow up on all leads by investigating and taking appropriate corrective action when necessary.



[www.liconic.com](http://www.liconic.com)

LiCONiC AG  
Industriestrasse 8-12  
9493 Mauren  
Principality of Liechtenstein  
Europe

Phone: +423 340 5000  
Fax: +423 340 5003  
Email: [info@liconic.com](mailto:info@liconic.com)  
Web: [liconic.com](http://liconic.com)