

## 2020 DISCLOSURE

### UK MODERN SLAVERY ACT 2015 LUMINEX CORPORATION

#### 1. INTRODUCTION

- 1.1 This statement sets out Luminex Corporation's ("Luminex") actions to understand all potential modern slavery risks in relation to its business and to put in place steps aimed at ensuring that there is no slavery or human trafficking in its business and supply chains.
- 1.2 Luminex recognises that it has a responsibility to take a robust approach to prohibit slavery and human trafficking. Luminex has put in place various policies and procedures to do our part to combat such illegal and unethical practices.

#### 2. ORGANIZATION STRUCTURE

- 2.1 We develop, manufacture, and globally market biological testing technologies with applications throughout the life-sciences industry.
- 2.2 Luminex has over 1200 employees worldwide and has foreign subsidiaries in Canada, the Netherlands, the United Kingdom, Germany, France, the People's Republic of China, Japan, and Hong Kong.

#### 3. OUR BUSINESS

- 3.1 Our business is headquartered in Austin, Texas. Our three primary focus areas are (a) Molecular Diagnostics, which focuses on the development and sale of molecular diagnostic assays utilizing our proprietary MultiCode®, xMAP and VERIGENE technologies for use on our installed base of automated and non-automated systems; (b) Licensed Technologies Group, which involves the sustained expansion of our partnership revenues through the introduction of an innovative xMAP system and continued fulfillment of our partners' needs in their respective fields of use; and (c) Flow Cytometry, which includes the continued innovation of our proprietary image based flow cytometry technology.

#### 4. OUR SUPPLY CHAINS

- 4.1 We have historically purchased many of the components and raw materials used in our products from numerous suppliers worldwide. For reasons of quality assurance, sole source availability and cost-effectiveness, certain components and raw materials used in the manufacture of our products are available only from one supplier. We have worked closely with our suppliers to develop contingency plans to assure continuity of supply while maintaining high quality and reliability, and in some cases, we have established long-term supply contracts with our suppliers.

#### 5. OUR POLICIES ON SLAVERY AND HUMAN TRAFFICKING

- 5.1 We are committed to ensuring that there is no modern slavery or human trafficking in our supply chains or in any part of our business. Our Anti-Trafficking Policy reflects our commitment to acting ethically and with integrity in all our business relationships and to implementing and enforcing effective systems and controls to ensure slavery and human trafficking is not taking place anywhere in our supply chains.
- 5.2 Luminex is committed to honest, fair and open business conduct and a culture dedicated to these principles. We believe that our stakeholders - customers, partners, investors, employees and vendors - depend on us to conduct our business with ethics and values of a high standard. We are committed to following professional standards of ethics, honesty and integrity in our relationships and to complying with all applicable laws and regulations relating to our operations. We strive to ensure that our employees comply with these laws and regulations, as well.

## **6. RESPONSIBILITY**

- 6.1 Responsibility for Luminex’s anti-slavery and human trafficking initiatives lies with the following individuals/functions:
- 6.1.1 Policies: Luminex’s Compliance Officer, in coordination with the Senior Vice President for Human Resources and the Senior Director of Global Supply Chain.
  - 6.1.2 Risk assessment: Luminex conducts third party risk assessments of new customers and distributors before entering into agreements or selling Luminex products. Luminex works with a third party vendor to conduct due diligence background checks to evaluate how the conduct of such customers and distributors might bring risk to Luminex, so Luminex can appropriately address and mitigate such risk.
  - 6.1.3 Investigations/due diligence: Luminex works with a third party vendor to conduct due diligence background checks on customers, suppliers and distributors to ensure that Luminex only conducts business with third parties who comply with all laws regarding human trafficking and slavery. Additionally, we require that all new distributors sign documentation stating that they will follow our Code of Compliance and will not engage in illegal activities. Any time a distributor agreement is renewed, this due diligence report is required anew. Luminex also maintains an ethics and compliance line, an easy-to-use and reliable communication tool to report (except where prohibited by law) any issues, concerns or violations of law or company policies – including those associated with slavery or human trafficking. Reports are investigated by Luminex and appropriate remedial measures taken, which can include turning results over to applicable authorities in appropriate circumstances. Such disclosure through this tool is confidential and anonymous.
  - 6.1.4 Training: Luminex requires periodic compliance training by employees and distributors. If policies are updated in between these trainings, employees may be required to undergo additional interim trainings and sign documentation that the updated policies have been read and understood.

## **7. RELEVANT POLICIES**

- 7.1 The organization operates the following policies that describe its approach to the identification of modern slavery risks and steps to be taken to prevent slavery and human trafficking in its operations.
- 7.1.1 Whistleblowing policy: Luminex’s ethics and compliance line provides employees with an easy-to-use and reliable communication tool to report their concerns. Disclosure is confidential and enables anonymity if requested. The tool is available 24 hours a day, seven days a week, and can be accessed by telephone, internet, or text message. Luminex educates employees of additional available reporting avenues specifically related to human trafficking, such as the Global Human Trafficking Hotline (1-844-888-FREE) and email to the same organization at [help@befree.org](mailto:help@befree.org). Luminex employees may also utilize traditional reporting structures of notifying their direct supervisors or the Compliance Officer by phone, email or in-person meeting.
  - 7.1.2 Employee Code of Compliance: Luminex’s Employee Code of Compliance is a thorough policy that governs employees’ interactions with third parties, conflicts of interest, ethics, oversight, and other critical matters related to the functioning of the company.

## **8. RISK ASSESSMENT AND DUE DILIGENCE PROCESSES FOR SLAVERY AND HUMAN TRAFFICKING**

- 8.1 We have in place systems to:
- 8.1.1 Identify and assess potential risk areas in our supply chains.

- 8.1.2 Mitigate the risk of slavery and human trafficking occurring in our supply chains.
- 8.1.3 Monitor potential risk areas in our supply chains.
- 8.1.4 Protect whistleblowers.

**9. SUPPLIER ADHERENCE TO OUR VALUES AND ETHICS**

- 9.1 We have zero tolerance for slavery and human trafficking. Luminex expects that its suppliers will conduct their business in a lawful manner with high ethical standards. Luminex has put in place several procedures to require our suppliers to adhere to such standards, including the avoidance of slavery or human trafficking. Specifically, Luminex has both policies and terms and conditions applicable to suppliers that prohibit unlawful behavior, including slavery and human trafficking. Luminex has procedures for verification and audit that require suppliers to disclose on an annual basis their compliance with laws against slavery and human trafficking and Luminex performs its own (not through a third party) random audits on select suppliers on an ongoing basis. Part of these audits is designed to confirm that the audited supplier is in compliance with this requirement.

**10. TRAINING**

- 10.1 To ensure a high level of understanding of the risks of modern slavery and human trafficking in our supply chains and our business, we provide training to our staff, as well as to our suppliers at company-sponsored events at our headquarters. For suppliers who are unable to attend this training, Luminex provides additional information through periodic communications on the topic. The Luminex Code of Compliance requires all employees to report any illegal or unethical activity. Luminex expects its business partners and contractors to share similar principles stated in our Code of Compliance.
- 10.2 This statement is made pursuant to section 54(1) of the Modern Slavery Act 2015 and constitutes Luminex’s slavery and human trafficking statement.

*Nachum Shamir*

Date: 12-17-2020

Nachum “Homi” Shamir

Chairman of the Board, President and Chief Executive Officer

Luminex Corporation