



Privacy Policy for the distribution of investor relation news

The following privacy policy relates to the dispatch of investor relation news via e-mail or fax on the basis of Art. 6(1) f EU General Data Protection Regulation (GDPR) by JENOPTIK AG and its companies.

I. Name and address of the controller

The controller as defined by the General Data Protection Regulation (GDPR) and other national data protection laws of the EU Member States as well as other data protection regulations is

JENOPTIK AG
Carl-Zeiß-Straße 1
07743 Jena, Germany
Phone: +49 3641 65-0
Telefax: +49 3641 424514
Email: ir@jenoptik.com
Website: www.jenoptik.com

represented by the Executive Board:

Dr. Stefan Traeger (Chairman) and Hans-Dieter Schumacher,
registered in the commercial register of Jena District Court, HRB 200146
Turnover tax identification number: DE 150524241

II. Name and address of the Data Protection Officer

The Data Protection Officer of the controller is:

Mrs. Nicole Meerstedt
Data Protection Officer of JENOPTIK AG
Carl-Zeiß-Straße 1
07743 Jena, Germany
E-mail: data-protection.joag@jenoptik.com



III. General information on data processing

1. Scope of the processing of personal data

We only process the personal data of our users to the extent that this is necessary to provide our services. We process our users' personal data to safeguard a legitimate interest of our company. An exception applies in such cases in which the processing of the data is permitted by legal regulations.

2. Legal basis for the processing of personal data

Where the processing of personal data is necessary for the fulfillment of legal obligations to which the controller is subject, Art. 6(1) c GDPR is the legal basis.

Where processing is necessary to safeguard a legitimate interest of our company or a third party and if the interests, fundamental rights and freedoms of the data subject do not outweigh the former interest, Art. 6(1) f GDPR is the legal basis for processing.

3. Data erasure and storage duration

The user's personal data will be erased or blocked as soon as the purpose of storage ceases to apply. Furthermore, data may be stored if this has been provided for by the European or national legislator in EU regulations, laws or other provisions to which the controller is subject. The data will also be blocked or erased if a storage period prescribed by the aforementioned standards expires, unless there is a need for further storage of the data for the conclusion or fulfillment of a contract.

IV. Distribution of investor relation news

1. Description and scope of data processing

We inform capital market participants regularly about news and developments in the company by sending investor relation news on particular occasions via e-mail or fax and for free. The e-mail and fax dispatch is made via the electronic platform of an external provider (EQS Group AG, Munich) and is based on e-mail and fax distribution lists, in which the following data are processed:

- Title
- First name
- Surname



- E-Mail address or fax number
- Company

2. Legal basis for data processing

In case of legitimate interest of the company the legal basis for the processing of data is Art. 6(1) f GDPR.

3. Purpose of data processing

We inform capital market participants regularly about news, developments and events in the company.

The processing of personal data in our investor relations distribution lists exclusively serves the purpose of properly sending investor relation releases to capital market participants.

The user's e-mail address or fax number is necessary to deliver the investor relations release via e-mail or fax. The other personal data processed serve to prevent misuse of the services and, where necessary, to safeguard a personal address of the addressees and the processing of individual requests between the company and capital market participants.

Our legitimate interest in data processing pursuant to Art. 6(1) f GDPR also lies in these purposes.

4. Duration of storage

The personal data will be erased as soon as they are no longer required to achieve the purpose for which they were collected. The user's e-mail address or fax number will thus be stored until they notify us of their wish to no longer receive investor relations news via e-mail or fax.

5. Objection and elimination option

The user is able to withdraw his consent to the processing of their personal data in our press distribution lists at any time. For the purpose of objection, the user only has to notify us of this via e-mail to ir@jenoptik.com or by using the link in the investor relations news. All personal data stored in the investor relations distribution lists will be erased in this case.



V. Processing of data in countries outside the European Economic Area

Where we process data in third countries (countries outside the EU/EEA) or transmit data to companies in third countries, we will only do so if we are authorized to do so. If there is no adequacy decision by the Commission pursuant to Art. 45 GDPR for the third country concerned, i.e. there is no adequate level of data protection in the third country, we ensure through contractual provisions (standard EU contractual clauses on data protection) or other suitable guarantees as defined by Art. 46 GDPR that your privacy and your personal data are also adequately and legally protected in the company in the third country.

VI. Security of your personal data

JENOPTIK AG uses technical and organizational security measures to protect your personal data collected by us against accidental or intentional manipulation, loss, destruction or access by unauthorized persons. Our security measures are continuously improved in line with technological developments.

VII. Your rights as data subject

Where we process your personal data, you as the data subject have the following rights vis-à-vis the controller. To assert your rights, which are outlined below, please contact:

JENOPTIK AG
Investor Relations
Carl-Zeiß-Straße 1
07739 Jena, Germany
ir@jenoptik.com

1. Right to information

You can ask us for a confirmation of whether your personal data are processed by us. If such processing takes place, you can request the following information from us:

- (1) the purposes for which the personal data are processed;



- (2) the categories of personal data processed;
- (3) the recipients or categories of recipients to whom your personal data have been or are still being disclosed;
- (4) the planned duration of the storage of your personal data or, if no specific information on this is possible, criteria for determining the storage period;
- (5) the existence of a right to rectification or erasure of your personal data, a right to restriction of processing by the controller or a right to object to such processing;
- (6) the existence of a right to lodge a complaint with a supervisory authority;
- (7) any available information on the origin of the data if the personal data are not collected from the data subject;
- (8) the existence of automated decision-making, including profiling, pursuant to Art. 22(1) and (4) GDPR and – at least in these cases – meaningful information about the logic involved as well as the significance and envisaged consequences of such processing for the data subject.

You have the right to request information as to whether your personal data are transferred to a third country or to an international organization. In this context, you can request to be informed of the appropriate guarantees pursuant to Art. 46 GDPR in connection with the transfer.

2. Right to rectification

You have a right to rectification and/or completion vis-à-vis the controller if your processed personal data are inaccurate or incomplete. The controller must make the rectification immediately.

3. Right to restriction of processing

Under the following conditions, you may request that the processing of your personal data be restricted:

- (1) if you dispute the accuracy of your personal data for a period of time that enables the controller to verify the accuracy of the personal data;



- (2) the processing is unlawful and you reject the erasure of the personal data and instead request that the use of the personal data be restricted;
- (3) the controller no longer needs the personal data for the processing purposes, but you need them to establish, exercise or defend legal claims, or
- (4) if you have lodged an objection to the processing pursuant to Art. 21(1) GDPR and it has not yet been determined whether the legitimate reasons of the controller override your reasons.

Where the processing of your personal data has been restricted, such data may only be processed – apart from being stored – with your consent or for the purpose of establishing, exercising or defending legal claims or protecting the rights of another natural or legal person or for reasons of an important public interest of the Union or a Member State.

If the processing restriction has been restricted in accordance with the above conditions, you will be notified by the controller before the restriction is lifted.

4. Right to erasure

a) Erasure obligation

You may ask the controller to erase your personal data immediately. The controller is then obliged to erase these data immediately if one of the following reasons applies:

- (1) your personal data are no longer required for the purposes for which they were collected or otherwise processed;
- (2) you withdraw your consent on which the processing pursuant to Art. 6(1) a or Art. 9(2) a GDPR was based and there is no other legal basis for processing;
- (3) you lodge an objection to the processing pursuant to Art. 21(1) GDPR and there are no overriding legitimate reasons for the processing, or you lodge an objection to the processing pursuant to Art. 21(2) GDPR;
- (4) your personal data have been processed unlawfully;
- (5) the erasure of your personal data is necessary to fulfill a legal obligation under Union or Member State law to which the controller is subject;



- (6) your personal data have been collected in relation to information society services offered pursuant to Art. 8(1) GDPR.

b) Information to third parties

Where the controller has made your personal data public and if he is obliged to erase the data pursuant to Art. 17(1) GDPR, they will take reasonable steps, including technical measures, taking into account the available technology and the implementation costs, to inform controllers who are processing the personal data that you as the data subject have requested the erasure of all links to these personal data or of copies or replications of these personal data.

c) Exceptions

The right to erasure does not apply to the extent that processing is necessary

- (1) for exercising the right of freedom of expression and information;
- (2) for compliance with a legal obligation which makes processing necessary under Union or Member State law to which the controller is subject or for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller;
- (3) for reasons of public interest in the area of public health pursuant to Art. 9(2) h and i as well as Art. 9(3) GDPR;
- (4) for archiving purposes in the public interest, scientific or historical research purposes or for statistical purposes pursuant to Art. 89(1) GDPR, to the extent that the right referred to in a) is likely to render impossible or seriously impair the achievement of the objectives of such processing, or
- (5) for establishing, exercising or defending legal claims.

5. Right to notification

Where you have exercised your right to have the controller rectify, erase or restrict the processing, they are obliged to notify all recipients to whom your personal data have been disclosed of this rectification or erasure of the data or restriction of processing, unless this proves impossible or involves a disproportionate amount of effort.



You have the right vis-à-vis the controller to be notified of such recipients.

6. Right to data portability

You have the right to receive your personal data that you have provided to the controller in a structured, common and machine-readable format. In addition, you have the right to pass these data on to another controller without obstruction by the controller to whom the personal data were provided, provided that

- (1) the processing is based on consent pursuant to Art. 6(1) a GDPR or Art. 9(2) a GDPR or on a contract pursuant to Art. 6(1) b GDPR, and
- (2) processing is carried out using automated methods.

In exercising this right, you also have the right to request that your personal data be transferred directly from one controller to another controller, to the extent that this is technically feasible. The freedoms and rights of other persons must not be impaired by this.

The right to data portability will not apply to the processing of personal data necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.

7. Right to object

You have the right, for reasons arising from your particular situation, to object at any time to the processing of your personal data, which is carried out pursuant to Art. 6(1) e or f GDPR; this also applies to profiling based on these provisions.

The controller will then no longer process your personal data unless he can demonstrate compelling legitimate grounds for the processing which override your interests, rights and freedoms, or the processing serves to establish, exercise or defend legal claims.

Where your personal data are processed for direct marketing purposes, you have the right to object at any time to the processing of your personal data for the purpose of such marketing; this also applies to profiling, to the extent that it is associated with such direct marketing.

If you object to processing for direct marketing purposes, your personal data will no longer be processed for these purposes.



You may exercise your right to object in connection with the use of information society services – Directive 2002/58/EC notwithstanding – by means of automated procedures using technical specifications.

8. Right to withdraw the data protection declaration of consent

You have the right to withdraw the data protection declaration of consent at any time. The withdrawal of consent will not affect the legality of processing carried out on the basis of consent before withdrawal.

9. Automated decision in individual cases including profiling

You have the right not to be subject to a decision based exclusively on automated processing – including profiling – that has legal effect against you or significantly impairs you in a similar manner. This does not apply if the decision

- (1) is necessary for the conclusion or fulfillment of a contract between you and the controller,
- (2) is admissible due to Union or Member State law to which the controller is subject and this legislation contains appropriate measures to safeguard your rights and freedoms and your legitimate interests, or
- (3) takes place with your express consent.

However, these decisions may not be based on special categories of personal data pursuant to Art. 9(1) GDPR, unless Art. 9(2) a or g applies and appropriate measures have been taken to protect your rights and freedoms and your legitimate interests.

In the context of the “distribution of investor relations news” processing procedure, the user is not subject to any such automated decisions in individual cases, including profiling.

10. Right to complaint to a supervisory authority

Without prejudice to any other administrative or judicial remedy, you have the right to complain to a supervisory authority, in particular in the Member State where you reside or work or where you suspect infringement, if you believe that the processing of your personal data infringes the GDPR.



The supervisory authority with which the complaint has been lodged will inform the complainant of the progress and the outcome of the complaint, including the possibility of a judicial remedy pursuant to Art. 78 GDPR.

September 2019