



## Data protection information

### for JENOPTIK Aktiengesellschaft shareholders and proxies

on the occasion of the 2021 virtual Annual General Meeting

The information below covers how your personal data are processed by JENOPTIK AG (hereafter also referred to as the “company”) and sets out your rights under the Regulation (EU) 2016/679 of the European Parliament and of the Council of April 27, 2016 on the protection of natural persons with regard to the processing of personal data, on the free movement of data, and on repealing Directive 95/46/EC (“**General Data Protection Regulation**” or “**GDPR**”) and the Federal Data Protection Act (“**BDSG**”) on the occasion of the company’s virtual Annual General Meeting on June 9, 2021.

#### 1. Name and contact details of the person responsible

The contact details of the company as responsible body are

JENOPTIK Aktiengesellschaft  
Carl-Zeiß-Straße 1  
07743 Jena, Germany  
Fax: +49 3641 65 2804  
Email: [ir@jenoptik.com](mailto:ir@jenoptik.com)

The company is legally represented by the members of its Executive Board, Dr. Stefan Traeger and Mr. Hans-Dieter Schumacher.

#### 2. Name and contact details of the data protection officer

Data Protection Officer of JENOPTIK AG  
JENOPTIK AG  
Carl-Zeiss-Straße 1  
07745 Jena  
Tel: +49 3641 65 2340  
Email: [data-protection.joag@jenoptik.com](mailto:data-protection.joag@jenoptik.com)

#### 3. Purposes and legal basis of the processing

The company holds registered shares. To enable shareholders and shareholder representatives to exercise their rights in the virtual Annual General Meeting, the company processes the following personal data in the share register on the basis of the applicable data protection regulations pursuant to Section 4 (7) of the GDPR:

- personal data (e.g. full name, date of birth, and email address (if provided)),
- contact information: (e.g. address and, as applicable, name and address of the proxy authorized by the shareholder),
- information on shares (e.g. number of shares, class of shares, type of share ownership), and administrative data (e.g. shareholder number).

The shareholder is generally obliged to provide the company with this information. Your personal data is therefore generally collected directly from you. The intermediaries involved in acquiring or holding your shares will further forward any information relevant to the share register or communication with you (e.g. nationality, title, gender) to Clearstream Banking AG, which is responsible for technical processing of securities transactions. If you sell your shares, the intermediary or the credit institution of the new purchaser notifies the company. In these cases, the company receives your personal data from the aforementioned credit institutions and processes it exclusively for the purpose of maintaining the share register.

If you or your proxy make use of the right to ask questions as provided for by law, or submit a countermotion, a proposal for the election of auditors or a motion to amend the agenda in connection with the virtual Annual General Meeting, the company will process your name (or the name of your proxy) and, as applicable, the company name, (except for motions to amend the agenda), your shareholder number, date of birth, address, number of shares and your email address. In the event of a motion to add items to the agenda or in the case of countermotions or election proposals, we must publish some of your personal data in compliance with the provisions of stock corporation law. When answering questions during the virtual Annual General Meeting, the Executive Board will also name you if you have expressly requested to be named when submitting questions.

The company is legally obliged to conduct the Annual General Meeting in accordance with the provisions of the German Stock Corporation Act (*AktG*) in conjunction with the Act to Mitigate the Consequences of the COVID-19 Pandemic under Civil, Insolvency and Criminal Procedure Law of March 27, 2020 as amended by the Act on the Further Shortening of the Residual Debt Exemption Procedure and the Adjustment of Pandemic-Related Provisions in Corporate, Cooperative, Association and Foundation Law of December 22, 2020 ("COVID-19 Act"). The processing of personal data of the shareholders or their proxies is required for the registration for the virtual Annual General Meeting, and for exercising the right to vote as well as other exercisable shareholder rights. The company is the controller responsible for data processing. The legal basis for data processing is Section 6 (1) (c) and (f) of the GDPR in conjunction with the relevant provisions of the Stock Corporation Act and the COVID-19 Act. If you have provided us with an email address for electronic dispatch of your invitation to the Annual General Meeting or have requested that your name be mentioned when answering the question, we will process your personal data on the basis of your consent pursuant to Section 6 (1) (a) of the GDPR.

The personal data of the shareholders or their proxies will only be processed for the purpose of registering for the virtual Annual General Meeting, for following the broadcast (video and audio) of the virtual Annual General Meeting, for using the proxy forms, for exercising voting rights and other shareholders rights at the virtual Annual General Meeting (including the right amend the agenda, to ask questions, the right to submit countermotions or proposals for election) and to exercise the right to declare objections to an resolution by the Annual General Meeting, for drawing up the minutes of the Annual General Meeting, and for fulfilling the company's obligations during and after the virtual Annual General Meeting under the Stock Corporation Act (e.g. to get a confirmation requested in accordance with section 118 (1) sentence 2 or section 129 (5)).

## **4. Recipients of personal data**

The company will not pass on any personal information to third parties. Third parties contracted for the purpose of preparing for and conducting the Annual General Meeting will receive from the company the personal data required to carry out their contracted services. They are contractually bound as processors pursuant to Section 28(3) of the GDPR and process the data solely in accordance with the company's instructions. Such third parties may be companies providing services for Annual General Meetings, e.g. agencies, lawyers, auditors or printing or shipping suppliers. They also include Computershare Deutschland GmbH & Co. KG, Elsenheimerstraße 61, D-80687 Munich, which has been contracted by the company to provide services for the Annual General Meeting.

The company may also be required to transfer your personal data to public authorities (e.g. Bafin) in fulfillment of statutory notification obligations (e.g. if voting rights exceed or fall below legal thresholds).

With regard to the transfer of personal data to third parties in the context of announcements of shareholder requests for additions to the agenda and of countermotions and shareholder proposals for election, reference is made to the notes given in the "Shareholder rights" section of the invitation to the virtual Annual General Meeting on June 9, 2021.

## **5. Processing of data in countries outside the European Economic Area**

The company does not intend to transfer your personal data to a third country outside the European Economic Area (EEA) or to an international organization. Should the company pass on personal data to service providers outside the European Economic Area (EEA) in connection with the Annual General Meeting and its preparation, the transfer will only take place if the third country has been confirmed to have an appropriate level of data protection by the EU Commission or if other suitable data protection safeguards (e.g. binding internal company data protection regulations or agreement on the standard contractual clauses of the EU Commission) are in place. You may request detailed information on this and the level of data protection from our service providers in third countries using the contact information set out above.

## **6. Duration of storage**

Subject to statutory provisions that enter into force following the Annual General Meeting, the company will store personal data for a period of ten years, starting at the end of the year in which the virtual Annual General Meeting takes place, on the basis of current statutory retention obligations. In isolated cases, personal data may be stored for longer periods if further processing of the data is necessary for the purpose of processing motions, decisions, or legal proceedings related to the virtual Annual General Meeting.

## **7. Your rights as an affected person**

### **7.1 Right of information**

You have the right to information about the data stored regarding your person and how we collect, process and store this data, Art. 15 DSGVO.

### **7.2 Right to rectification / completion**

You can request the rectification or completion of inaccurate or incomplete data concerning you, Art. 16 DSGVO.

### **7.3 Revocation of a granted consent**

You can revoke a given consent at any time without justification with effect for the future, Art. 7 para. 3 DSGVO.

### **7.4 Right to deletion**

Pursuant to Article 17 of the GDPR, in certain situations you have the right to request the deletion of data concerning you. For example, you may request erasure if the data is no longer necessary for the intended purpose or is processed unlawfully, or you have revoked your previously given consent or declared an objection to the processing; however, we can only erase your personal data if there is no legal obligation to retain it or no overriding right to retain it.

### **7.5 Right to restriction of processing**

You may also request the restriction of data processing under the conditions of Art. 18 DSGVO.

### **7.6 Right to data portability**

In certain cases, you have the right to receive the personal data concerning you that you have provided to us in a structured, commonly used and machine-readable format. At the same time, you have the right to transfer this data to another controller or, if technically feasible, to have it transferred by us, Art. 20 DSGVO.

### **7.7 Right of complaint to the supervisory authority**

If you believe that the processing of your data violates the GDPR or other data protection law, you can contact a data protection supervisory authority. The supervisory authority responsible for us is the Thuringian State Commissioner for Data Protection and Freedom of Information (TLfDI); P.O. Box 90 04 55; 99107 Erfurt; e-mail: [poststelle@datenschutz.thueringen.de](mailto:poststelle@datenschutz.thueringen.de) .

However, you may also submit your complaint to any other data protection supervisory authority, in particular in the Member State of your residence, workplace or the place of an alleged infringement.

You can access all relevant personal data concerning yourself that are stored in the share register at [www.jenoptik.com/investors/annual-general-meeting](http://www.jenoptik.com/investors/annual-general-meeting) at any time. In the event of any discrepancies, please contact your depository bank, which will make any necessary changes to the share register.

Pursuant to Section 77 of the GDPR, shareholders and proxies also have the right to lodge a complaint, in particular with the competent data protection supervisory authority at their habitual or permanent place of residence or in the Federal State in which the alleged infringement was committed.

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*This is a translation of the original German-language text. JENOPTIK AG shall not assume any liability for the correctness of this translation. In case of difference of opinion the German text shall prevail.*