



## EMCORE Corporation Anti-Human Trafficking Statement

EMCORE Corporation (“EMCORE”) believes that businesses have a central role to play in combating modern slavery. We prohibit all forms of modern slavery throughout our global organization, operations and supply chains. We are committed to fair labor practices and protecting workers against labor rights violation.

This statement is made pursuant to Section 54 of the Modern Slavery Act 2015 and the California Transparency in Supply Chains Act. It details the steps EMCORE has taken to ensure slavery and human trafficking are not taking place in our business and supply chains. It constitutes our slavery and human trafficking statement for the fiscal year ending on September 30, 2018. We will review and publish this statement annually.

EMCORE is a provider of advanced Mixed-Signal Optics products that enable communications systems and service providers to meet growing demand for increased bandwidth and connectivity. EMCORE has fully vertically-integrated manufacturing capability through our Indium Phosphide compound semiconductor wafer fabrication facility at our headquarters in Alhambra, CA. The facility supports EMCORE’s vertically-integrated manufacturing for our laser, transmitter and receiver products for cable TV and other broadband applications, fiber optic gyro sensors for navigation systems, and chip devices for telecom and datacom applications. EMCORE also has a manufacturing facility located in Beijing, China, and utilizes various domestic and international contract manufacturers.

EMCORE is committed to complying with applicable law wherever we operate and conducting all business activities in accordance with the highest ethical standards. We expect the same of the parties with which we do business. Our ethical standard is reflected in our Code of Business Conduct and Ethics (“Code”) (available at <http://investor.emcore.com/corporate-governance>) and our Employee Handbook (“Handbook”), which outline our expectations of ethical conduct and compliance with all applicable laws from our employees, agents and other representatives.

In addition to our Code and Handbook, EMCORE maintains a 24/7 whistleblower hotline (<https://emcore.alertline.com>) where employees can anonymously submit any concerns of possible ethics and compliance violations, including slavery and human trafficking, without repercussion. Every concern submitted to this hotline is reviewed and handled appropriately. Any employee or contractor who is found to have violated the Code or Handbook is subject to disciplinary action, up to and including termination of employment or contract, as the case may be, and referral to appropriate legal authorities.

EMCORE expects its suppliers to comply with legal requirements and operate consistently with the principles of the Code when working on our behalf or for our benefit. Accordingly, we consider these issues when we assess potential suppliers, and our agreements with our suppliers require (i) suppliers to represent that their performance under such agreement will be in compliance with all applicable laws and regulations, (ii) that EMCORE be permitted to inspect the Supplier’s facilities and (iii) that EMCORE be provided any information reasonably requested related to sourcing and chain of custody. In addition, EMCORE is an active member of the Electronic Industry Citizenship Coalition (EICC) and has adopted the EICC Code of Conduct, which prohibits the use of forced, bonded, indentured labor or prison labor.

Beginning in 2018, EMCORE implemented a formal verification program using a leading human-trafficking data management consultant to assist us in obtaining information from our suppliers using an industry standard open-source template called the Slavery & Trafficking Risk Template (STRT) to collect data from our suppliers on indicators of risk of human trafficking and compliance with anti-human trafficking legislation. The STRT takes into consideration a supplier's geographical location, industry, use of labor brokers and workforce characteristics. After screening for risks in its supply chain, EMCORE is committed to mitigating identified risks related to slavery and human trafficking by targeting suppliers for online supplier training. EMCORE intends to introduce KPIs to measure progress once it completes its initial supply chain risk screening process.

EMCORE's anti-human trafficking program includes employee training and capacity building. Starting in 2019, a subset of EMCORE employees who have direct responsibility for supply chain management and recruitment will be enrolled in training on slavery and human trafficking and related regulations, through a third-party provider's online training platform. This training is designed to help employees understand how to identify and respond to slavery and human trafficking risks within EMCORE's operations and supply chain. EMCORE is committed to increase the number of employees trained each reporting year.

We will continue to communicate our expectations and information requirements to our direct suppliers. We will continue to make inquiries to our direct suppliers and undertake additional risk assessments when potentially relevant changes in facts or circumstances are identified. We expect our suppliers to take similar measures with their suppliers to ensure alignment throughout the supply chain.

This statement was approved by EMCORE's Board of Directors on October 2, 2018.



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Gerald J. Fine, Ph.D  
Chairman of the Board, EMCORE Corporation