

Amgen Supplier Code of Conduct



AMGEN[®]

Pioneering science delivers vital medicines[™]



Amgen understands that it is a privilege to be among the world's greatest innovators focused on serving patients with serious diseases — this privilege is not something Amgen accomplishes alone, but with the help of third party individuals and organizations Amgen engages who share its commitment to act in an ethically, socially, and environmentally responsible manner.

To recognize and reinforce the standards to which Amgen holds both itself and its suppliers, Amgen has created this Supplier Code of Conduct reflecting its dedication to “doing the right thing” as well as demonstrating the Amgen Values – being ethical, trusting and respecting each other, ensuring quality and being science-based. Fundamental to this belief is the expectation that our suppliers will, at a minimum, operate in full compliance with all applicable laws, rules and regulations. Without limiting the generality of the above or other requirements in agreements with Amgen, Amgen expects each of its suppliers to operate in an ethical manner and in compliance with this Supplier Code of Conduct which sets forth the basic principles for suppliers Amgen engages. The principles outlined in the Supplier Code of Conduct are considered during the supplier selection process as well as throughout the duration of the business engagement.

Amgen expects suppliers to firmly adhere to ethical principles for labor, health and safety, environment, management systems and supply transparency. Further, Amgen expects suppliers to determine how to meet, demonstrate and integrate in its conduct compliance with all applicable laws, rules, regulations and Supplier Code of Conduct principles. To continue supporting its ability to serve patients, Amgen expects suppliers to apply the Supplier Code of Conduct principles into continuous improvement efforts that are aimed at advancing performance over time.

TABLE OF CONTENTS

Amgen Supplier Code of Conduct	2	Chapter 2: Labor and Human Rights	6	Chapter 4: Environment	8
Chapter 1: Ethical Business Practices	4	Freely Chosen Employment	6	Environmental Authorizations	8
Business Integrity and Fair Competition	4	Child Labor and Young Workers	6	Waste and Emissions	8
Supplier Diversity	4	Non-Discrimination	6	Spills and Releases	8
Identification of Concerns	4	Fair Treatment	6	Sustainability	8
Animal Welfare	4	Wages, Benefits and Working Hours	6	Conflict Minerals	8
Accuracy of Business Records	4	Freedom of Association	6		
Product Quality	4	Chapter 3: Health and Safety	7	Chapter 5: Management Systems and Supply Transparency	10
Clinical Trials	5	Worker Protection and Safety	7	Commitment and Accountability	10
Protecting Information	5	Process Safety	7	Risk Assessment and Management	10
Conflict of Interest	5	Emergency Preparedness and Response	7	Confidential Information Management	10
Trade Compliance	5	Hazard Information	7	Documentation	10
				Training and Competency	10
				Business Continuity	10
				Continual Improvement	10
				Legal and Customer Requirements	10
				Supply Transparency	11
				Supply Disruptions	11
				Supply Chain Security	11

Amgen expects Suppliers to conduct their business in an ethical manner and act with integrity. This principle is supported by the following elements:



Business Integrity and Fair Competition

Corruption, extortion and embezzlement are prohibited. Suppliers shall not pay or accept bribes or participate in other illegal inducements in business or government relationships, including any act in violation of the *Foreign Corrupt Practices Act of 1977*, as amended, 15 U.S.C. §§ 78dd-1. Suppliers shall conduct their business consistent with fair and vigorous competition and in compliance with all applicable anti-trust laws. Suppliers shall employ fair business practices including accurate and truthful advertising. *Suppliers are not to use our name (or that of our affiliates or products) in publicity or advertising without our prior written consent.*

Supplier Diversity

Suppliers are to identify and provide opportunities to small and diverse businesses in connection with supplying useful goods and services to Amgen at competitive prices.

Identification of Concerns

All workers should be encouraged to report concerns or illegal activities in the workplace without threat of reprisal, intimidation or harassment. Suppliers shall investigate and take corrective action, where necessary.

Animal Welfare

Animals shall be treated humanely with pain and stress minimized. Animal testing should be performed using the least number of animals and in a way that minimizes distress. Alternatives should be used wherever these are scientifically valid and acceptable to regulators.

Accuracy of Financial and Business Records

Suppliers must maintain all financial books and records in conformance with generally accepted accounting principles. Business records must be accurate in all material respects. Business and financial records must be legible, transparent and reflect actual transactions and payments.

Product Quality

Suppliers involved in the supply, manufacturing, packaging, testing, storage and distribution of materials and/or products on Amgen's behalf will ensure compliance with applicable Quality regulations and Good Manufacturing Practice and Good Laboratory Practice requirements for the markets in which the products are registered and distributed.

Clinical Trials

When engaged in clinical trials on Amgen's behalf, Suppliers must conduct such clinical trials in accordance with the global standards of Good Clinical Practices, applicable local regulatory requirements and following the ethical principles originating from the Declaration of Helsinki.

Protecting Information

Suppliers shall protect all confidential information, including personal information disclosed to or collected from or on behalf of Amgen and take all necessary technical, procedural and administrative safeguards to prevent its unauthorized disclosure, misuses, theft, fraud, improper access, disclosure or alteration; including an unauthorized communication and/or publication of information acquired from or on behalf of Amgen.

Any unauthorized access, use, disclosure or loss (including theft) of Amgen confidential or other information must be immediately reported to [Amgen's Business Conduct Hotline](#).

Suppliers shall respect Amgen's intellectual property rights.

Conflict of Interest

Suppliers are to avoid actual conflicts of interest and minimize the possibility or appearance of conflicts of interest. In order to avoid actual conflicts, and minimize the possibility or appearance of conflicts of interest, do not offer our staff money, loans, credits or discounts, gifts, entertainment, favors, products or services.

Trade Compliance

Suppliers must comply with all applicable import and export controls, sanctions and other trade compliance laws, regulations and rules of the United States and of any country where such transactions occur.

Suppliers shall be committed to uphold the human rights of their workers and treat them with dignity and respect. Suppliers shall support the protection of internationally proclaimed human rights and ensure that they are not complicit in any abuses of human rights. This principle is supported by the following elements:



Freely Chosen Employment

Suppliers shall not use forced, bonded, involuntary, slave or indentured labor or involuntary prison labor.

Child Labor and Young Workers

Suppliers shall not use child labor. The employment of young workers below the age of 18 shall only occur in non-hazardous work and when young workers are above a country's legal age for employment or the age established for completing compulsory education.

Non-Discrimination

Suppliers should engage in appropriate action to further Amgen's commitment to nondiscrimination and equal employment opportunities, including programs to implement [Amgen's affirmative action policy](#), which is available for review. Suppliers shall

provide a workplace free of harassment and discrimination and comply with all applicable laws and regulations. Suppliers shall not discriminate for reasons such as race, color, age, sex (including pregnancy, childbirth or related medical conditions), sexual orientation, gender identity, national origin, physical or mental disability, genetic information, religion, political affiliation, union membership, or veteran or marital status.

Fair Treatment

Suppliers shall provide a workplace free of actual or threatened harsh and inhumane treatment, including any sexual or other harassment, sexual abuse, corporal punishment, mental or physical coercion or verbal abuse of workers.

Wages, Benefits and Working Hours

Suppliers shall pay workers according to applicable wage laws, including minimum wages, overtime hours and mandated benefits. Suppliers shall, in a timely manner, communicate with workers the basis on which they are being compensated. Suppliers are also expected to communicate with workers whether overtime is required and the wages to be paid for such overtime.

Freedom of Association

Open communication and direct engagement with workers to resolve workplace and compensation issues is encouraged. Suppliers shall respect the rights of workers, as set forth in local laws, to associate freely, join or not join labor unions, seek representation and join works councils. Workers shall be able to communicate openly with management regarding working conditions without retaliation, threat of reprisal, intimidation or harassment.

Suppliers shall provide a safe and healthy working environment, as well as for any company-provided living quarters. This principle is supported by the following elements:



Worker Protection and Safety

In both the workplace and any company-provided living quarters, Suppliers shall protect workers from overexposure to chemical, biological, physical hazards and physically demanding tasks.

Suppliers shall operate in compliance with all applicable health and safety regulations and ensure safety management systems are in place to prevent work-related personal injuries.

Process Safety

Suppliers shall prevent or mitigate incidents associated with operations and processes that could result in catastrophic impact to people or the environment, on and off site. Suppliers' actions shall be commensurate with the risks associated with the potential impact.

Emergency Preparedness and Response

Suppliers shall identify and assess emergency situations in the workplace and any company-provided living quarters and minimize their impact by implementing emergency plans and response procedures. Suppliers shall review and, if appropriate, update such plans and procedures annually or, more frequently, if necessary.

Hazard Information

Safety information relating to hazardous materials - including pharmaceutical compounds and pharmaceutical intermediate materials - shall be available to educate, train, and protect workers from hazards.

Suppliers shall operate in an environmentally responsible and efficient manner to minimize adverse impacts on the environment. Suppliers are encouraged to conserve natural resources, to engage in reuse and recycling programs, and where possible, to avoid the use of hazardous materials. This principle is supported by the following elements:



Environmental Authorizations

Suppliers shall comply with all applicable environmental regulations, laws, codes, and other governmental requirements and authorizations. Suppliers shall obtain and follow all associated operational and reporting requirements of required environmental permits, licenses, information registrations and restrictions.

Waste and Emissions

Suppliers shall ensure the safe handling, movement, storage, recycling, reuse, or management of waste, air emissions and wastewater discharges. Prior to the release into the environment of any waste, wastewater or emissions, Suppliers must appropriately manage, control and treat any potential adverse impact to human or environmental health.

Spills and Releases

Suppliers shall prevent and mitigate accidental spills and releases to the environment.

Sustainability

Suppliers shall reduce their environmental footprint through minimizing their use of natural resources and the environmental impact of their activities.

Conflict Minerals

“Conflict Minerals” refer to columbite-tantalite (tantalum), cassiterite (tin), gold, wolframite (tungsten), or their derivatives. Amgen has adopted a Conflict Minerals policy establishing its objectives and goals with regards to Conflict Minerals in its supply chain. To support this policy, suppliers must promptly notify Amgen if the products or materials they supply to Amgen contain Conflict Minerals. Regardless of whether or not Amgen receives any notice from the supplier, Amgen may require some suppliers to take some or all of the following actions:

- commit to the identification, reduction and ultimate elimination of use of Conflict Minerals that directly or indirectly finance or benefit armed groups in the Democratic Republic of the Congo or surrounding countries;

- work with their own upstream suppliers and supply chain to conduct due diligence to determine the source and chain of custody, of Conflict Minerals that are contained in products or materials supplied to Amgen;
- establish their own policies, due diligence frameworks and management systems for the traceability of Conflict Minerals consistent with the Organization for Economic Co-operation and Development Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk-Areas, and communicate an expectation to their suppliers that they do the same; and
- cooperate with Amgen in its efforts to comply with any applicable reporting requirements (including without limitation the SEC Conflict Minerals Disclosure Rule¹), including providing timely responses to Amgen's inquiries regarding the origin and chain of custody of Conflict Minerals in products or materials supplied to Amgen (including the smelter, country of origin, mine location and status) and, upon request, adequate verification of such information.

¹ As promulgated in 17 CFR 240.13p-1

Suppliers shall facilitate continual improvement and compliance with the expectations of this Supplier Code of Conduct. This principle is supported by the following elements:



Commitment and Accountability

Suppliers shall demonstrate commitment to the principles contained herein by allocating appropriate resources.

Risk Assessment and Management

Suppliers shall identify, assess and manage risks in all areas.

Confidential Information Management

Suppliers shall safeguard and make only proper use of confidential information, including personal information, to ensure that rights and interests of Amgen and those who have entrusted their information to Amgen are protected.

Documentation

Suppliers shall maintain documentation necessary to demonstrate conformance with these expectations and compliance with applicable laws, regulations, standards and Amgen's requirements.

Training and Competency

Suppliers shall train their workers to achieve an appropriate level of knowledge, skill and ability to manage and address the expectations set forth herein.

Business Continuity

Suppliers are responsible for developing and implementing appropriate business continuity plans for any and all operations supporting Amgen's business.

Continual Improvement

Suppliers are expected to continually improve by setting performance objectives, executing implementation plans and taking necessary corrective actions for deficiencies identified by internal or external assessments, inspections, or management reviews.

Legal and Customer Requirements

Suppliers shall identify and comply with applicable laws, regulations, standards and relevant customer requirements, which include compliance with applicable laws and regulations prohibiting the use of forced, bonded, child, involuntary, slave or indentured labor or involuntary prison labor. We have the right to audit our key Suppliers

of materials that are incorporated into our products and we conduct or use third parties to conduct announced audits of Suppliers to assess compliance with this expectation. If we determine that a Supplier has failed to meet these expectations, we may take action with respect to that Supplier, including requiring corrective actions or canceling outstanding orders. We have not required independent certifications of compliance but typically have the right to obtain documentary evidence of compliance upon request. We provide compliance training to all Amgen personnel and have global compliance policies requiring Amgen personnel to comply with all applicable laws. Any Amgen personnel who fail to abide by our compliance policies may be subject to disciplinary action, including termination.

Supply Transparency

Suppliers shall provide information regarding their supply chain to support Amgen's compliance with manufacturing practices, regulatory requirements, regulatory agency expectations, disclosure responsibilities and policies and our other legitimate business purposes.

Supply Disruptions

Suppliers shall inform Amgen of financial, economic, supply changes or other material conditions that affect or might affect the ability to supply Amgen or Amgen's ongoing operations or operating decisions.

Supply Chain Security

Amgen maintains membership in supply chain security programs administered by Customs authorities in the United States (Customs-Trade Partnership Against Terrorism) and the European Union (Authorized Economic Operator). These programs require Amgen and their supply chain partners to meet or exceed acceptable warehouse, transportation and cargo security standards. Supply chain partners may be subject to audit for the purpose of validating Amgen's supply chain security profile.