

Code of Conduct





Albert M. Baehny, Chairman of the Board of Directors and Chief Executive Officer *ad interim*

Our Purpose

Every day, our products and services have a positive impact on the lives of millions of people. This is not only a great privilege, but also a great responsibility. How we achieve our business results is just as important as the achievements themselves.

Around the world we are driven by our firm commitment to high quality and operational excellence across the regions, functions and markets we serve, every day. Passion for customer success, empowerment, trust and integrity govern how we do business and how we interact with each other. As individuals and as teams, we are making Lonza the place to go, stay and grow.

Our Commitment

We are committed to:

- Delivering value to our customers
- Enabling our employees to succeed
- Continuously improving performance
- Making Lonza a recognized member of its communities

Performance with Integrity

●●● Fast Facts: Integrity

For more than 120 years, Lonza has built an enduring reputation for its ethical performance. Our respect for our people, our care for our planet and our engagement with our communities are all key ingredients of our success.

In today's global business landscape, there is a greater expectation than ever before that companies will behave with responsibility and integrity. Here at Lonza, we understand that we can only maintain our reputation if we continue to earn the trust of our customers and the wider society in which we operate.

We count on each and every one of you to uphold our ethical standards and practices. Everyone who works for Lonza should be 100% transparent and accountable, whether working with colleagues, customers or external stakeholders.

Our Code of Conduct is designed to help you to consider your choices and make good decisions. High standards of ethics and compliance must always take priority over any other consideration. These standards will secure our on-going license to operate and our long-term business success. We must create a culture where there is no fear of speaking up and challenging activities or practices that concern us. We all play a critical role in sharing our views, identifying issues and preventing mistakes.

Our ethical commitment is both a privilege and a collective responsibility. Over generations, the people of Lonza have worked to uphold the best standards of business practice, and we must take our lead from their example. In doing so, we will not only improve our own sense of professionalism and pride, we will also secure the future of the business for the generations that come after us.

Albert M. Baehny
Chairman of the Board and CEO a.i.

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Who We Are

Lonza is committed to sustainable values, which include investing in our people and our communities, as well as responsible sourcing, environment, health and safety. Lonza supports and respects human rights. Investing in communities includes, among others, the civic commitment by Lonza to contribute to a transparent dialogue on topics that are relevant to Lonza, our business and constituencies, our employees and stakeholders.

●●● **Fast Facts: Principles of Political Engagement**

Global Commitment. Local Responsibility.

As a member of society, Lonza is committed to responsible business conduct, to the United Nations Global Compact, and to other principles of sustainability and corporate social responsibility. Lonza will act responsibly in our relationships with governments, regulatory entities, partners, customers and vendors. We know to be a successful company, we must work together, frequently transcending organizational and geographic boundaries, to meet the changing needs of all our stakeholders.

All employees are duty bound to obey all applicable laws, maintain the highest ethical and professional standards, and act with social and environmental responsibility, all in keeping with the fundamental values of openness, loyalty, fair dealing, integrity, mutual respect and honesty. Employees should familiarize themselves with best business practices in their area of responsibility and implement them conscientiously.

Who Owns and Manages Lonza's Risk?

Lonza's success depends on the success of the Lonza employees to run the business, and to manage its risk, at all levels of Lonza. Sound principles of risk management and control suggest that Lonza's business risk is managed by each and every employee in his or her daily work. In a second step, functions such as Quality Assurance, Finance, Legal, IP and Ethics and Compliance provide independent checks and controls. As a third layer, Internal Audit performs periodic reviews to control risk. Ownership of risk therefore stays with every employee, and so does accountability for ethical and compliant behavior – both cannot be delegated.

Whom Does the Code of Conduct Apply To?

This Code of Conduct applies to all Lonza employees, subsidiaries and members of our Board of Directors. All employees are expected to know, understand and comply with all laws, regulations and best business practices that apply to their activities. In addition, certain laws may apply to conduct that occurs outside the country in which an employee works – for example, in the case of anti-corruption and anti-bribery laws. Be sure to consult your manager or the Legal Department if you are unclear about which laws and regulations apply to your activities or if you require further support and assistance.

This Code of Conduct covers some of Lonza's most important policies, but it is not exhaustive. We rely on you to exercise good judgment in your decision making and to ask for help when you have questions or concerns not addressed in this Code of Conduct.



When indicated by this icon, Lonza employees are referred to the referenced policy on the intranet.



When indicated by this icon, Lonza employees are referred to Fast Facts located under Ethics and Compliance on the intranet.

Topics

Trade Sanctions and Export Controls

Lonza supports international efforts to prevent trade in technology, substances, and materials that can be misused for warfare or warlike activities, for the manufacture of illicit drugs or for other internationally prohibited activities. Lonza is committed to adhering to all applicable trade sanctions and export control regulations.

●●● Fast Facts: Trade Sanctions and Export Controls

 [Lonza Trade Controls Policy](#)

Quality

Lonza is committed to being the preeminent supplier to the life sciences industry through its chemical and biotechnology platforms. All our activities are guided by our vision which is the cornerstone of an ongoing drive to improve performance and deliver top service to our customers. Quality is ingrained in the work of our employees. Every employee needs to be dedicated to the delivery of quality products to our customers.

●●● Fast Facts: Quality

 [Lonza Quality Policy](#)

EHS

Lonza is committed to operations and practices which prevent harm or damage to people, the environment, or property.

Our vision is zero injuries, zero process incidents, zero distribution incidents and zero environmental incidents. To assist in these goals, employees should report all EHS incidents, near-misses, and hazards to their managers, take action to correct any unsafe practices or conditions, and seek to continuously improve our EHS performance.

●●● Fast Facts: EHS

 [Lonza Policy on Environment, Health and Safety](#)

Anti-Discrimination and Equal Employment Opportunities

Lonza recognizes that its people are the cornerstone of its success and we value our diversity as a source of strength. Lonza is committed to non-discriminatory working practices. Independent of their position, all employees are duty bound to treat their colleagues with fairness, courtesy, and respect.

Lonza does not tolerate any verbal, electronic or physical discrimination, harassment, or bullying on the basis of ethnicity, national origin, color, religion, marital status, sexual orientation, gender identity or gender expression, creed, age, sex, disability, veteran status or any similar characteristic. Nor will Lonza engage in, or support, child labor, human trafficking, slavery, or bonded or forced labor of any kind in the research, manufacture, sale and distribution of our products or by our suppliers.

●●● Fast Facts: Anti-Discrimination & EEO

Conflicts of Interest

Lonza's best interests are the paramount consideration in all business transactions. Doing what is right for Lonza is important. A conflict of interest occurs when a Lonza employee's personal activities or relationships interfere with his or her objectivity in doing what is best for Lonza. Situations that create, or appear to create, a conflict between a Lonza employee's personal benefit and Lonza's interests should be avoided, or else be disclosed to management and resolved.

●●● Fast Facts: Conflicts of Interest

Anti-Corruption and Anti-Bribery

No Lonza employee shall offer any payment or improper financial advantage to any government official (including any employee of a government-controlled agency, state-owned enterprise, or public international organization) or any other third party (including customers and suppliers) for the purpose of obtaining or retaining a commercial advantage of any kind. Bribes, kickbacks or similar payments are never permitted, whether made to a government official or to customers, suppliers, or other private parties. Similarly, Lonza employees may not solicit or accept such payments. All Lonza employees and any third party acting on Lonza's behalf must comply with all applicable anti-bribery laws and regulations.

●●● Fast Facts: Anti-Corruption and Anti-Bribery

 [Lonza Anti-Corruption and Anti-Bribery Policy](#)

Business Gifts

Offering, soliciting or accepting gifts and donations related to our business is prohibited. However, entertainment and gifts of insignificant monetary value arising out of ordinary corporate hospitality are acceptable provided they do not violate applicable law.

••• [Fast Facts: Business Gifts](#)

 [Lonza Business Gift Policy](#)

Insider Trading

Lonza employees may become aware of material non-public information about Lonza or other companies (such as mergers, acquisitions, significant contracts, financial results, significant research or innovation results). Employees possessing such information are prohibited from trading in stock, securities or derivative financial instruments emanating from Lonza or the other company or companies involved, nor may they disclose such inside information to another person. Breaches of confidentiality, including insider trading, may violate applicable laws and lead to civil or criminal prosecution.

••• [Fast Facts: Insider Trading](#)

 [Lonza Insider Trading Policy](#)

Fair Competition

Lonza is committed to the principles of fair competition and respects the laws restricting the operation of cartels and other monopolistic practices. Lonza employees must be aware of antitrust and competition laws and their implications in their business area.

In addition, business information about other companies should only be collected and used ethically and in a way that does not violate any laws or confidentiality obligations. Lonza employees must never use, or ask any third party to use, unlawful or unethical means such as misrepresentation, deception, theft, spying or bribery to gather information.

••• [Fast Facts: Fair Competition](#)

 [Lonza Guidelines for Compliance with Competition Laws](#)

Use and Protection of Business Assets and Confidential Information

The products, services, ideas, concepts and other information Lonza produces on a daily basis are important company proprietary business assets. Lonza employees have a duty to protect and make careful use of Lonza's business assets.

Confidentiality should be maintained with regard to sensitive information and commercial secrets, including trade secrets. Lonza employees may not disclose confidential or sensitive information other than for legitimate business purposes and with the appropriate safeguards.

••• [Fast Facts: Confidential Information](#)

 [Lonza Global Confidentiality Policy and IT Policy](#)

Intellectual Property

Protecting Lonza's intellectual property is essential to maintaining Lonza's competitive advantage. Lonza employees are expected to support the establishment, protection, maintenance, and defense of Lonza's rights in all commercially significant intellectual property and to use those rights in a responsible way.

••• [Fast Facts: Intellectual Property](#)

 [Lonza Industrial Property Rights \(IPR\) Policy](#)

Accuracy of Records

Lonza expects all employees to keep books, records, and accounts that accurately and fairly reflect all transactions, dispositions of assets, and other events. No payment on behalf of Lonza may be approved or made with the intention or awareness that any part of the payment will be used for any purpose other than that described by the documentation supporting the payment.

Lonza expects its employees to report any unrecorded funds or assets or false or artificial entries in Lonza's books and records to the Legal Department. In addition, Lonza expects employees to comply with its travel and expense reporting policies. In particular, employees should submit all business expenses via approved programs and accurately categorize expenses.

••• [Fast Facts: Accuracy of Records](#)

 [Lonza Global Business Travel Policy](#)

Business Partnerships

Lonza holds its vendors to high standards. Our suppliers play an important role as enablers of our company's sustainable growth and overall success. We demand strict adherence by our suppliers to all policies that relate to work conducted on Lonza's behalf, including our principles for labor, environment, health and safety.

●●● Fast Facts: Business Partnerships

 [Lonza Supplier Code of Conduct](#)

Data Privacy

Lonza respects the privacy of its employees, customers, business partners, and others who share their personal information with us. Lonza employees must ensure that any personal information Lonza collects is treated with care, protected, and used lawfully and properly.

●●● Fast Facts: Data Privacy

 [Lonza Global HR Data Privacy Guidelines](#)

Data Integrity

Data integrity refers to the completeness, consistency, and accuracy of data. Data integrity is the foundation to assuring that GMP documentation, data and records are attributable, legible, contemporaneous, original and accurate. Every Lonza employee has the responsibility to ensure that the data they generate, collect, review, analyze, document and report adheres to these principles.

●●● Fast Facts: Data Integrity

 [Lonza Data Integrity Policy](#)

Social Media

Social media offers Lonza new opportunities for communication and collaboration when used properly. Lonza expects its employees to follow the same professional conduct guidelines online as they would in the workplace, and to maintain online confidentiality.

●●● Fast Facts: Social Media

 [Lonza Social Media Policy](#)



How We Implement

This Code of Conduct will be made available to all current and new employees. Lonza will also include this Code of Conduct in employee training programs and will monitor compliance. Training may be web-based or live. Audits of compliance with this Code of Conduct may occur periodically.

When implementing this Code of Conduct, Lonza companies shall take account of local laws and regulations. The boards of directors of Lonza companies shall pass appropriate resolutions enabling the implementation of this Code of Conduct.

How We Maintain

Lonza has an ethics and compliance program designed to support legal and ethical actions throughout the company. The ethics and compliance program covers the activities of advice and assistance, education and training, and monitoring and control. Ethics and compliance related trainings will be assigned to Lonza employees throughout each calendar year, including periodic training on this Code of Conduct. Lonza employees are required to take all assigned ethics and compliance training courses, either through the online compliance training portal or by attending scheduled live-trainings. Failure to complete these required trainings on time may result in disciplinary or other corrective action, at the discretion of Lonza management.

The foundation of our ethics and compliance commitment is openness, accessibility, and discussion within the Lonza community. Most issues can be resolved at the local level before they become problems for employees, Lonza or the public.

The Lonza Open Door and Non-Retaliation policy encourages employees to present ideas, ask questions, or voice concerns about any subject, especially those related to company policies and procedures, GMP guidelines, correct data and recordkeeping, and ethical or legal questions. Anyone who, in good faith, raises a concern about a possible ethics or compliance breach will be supported by Lonza management, and will not be subject to any retaliation. Lonza has a strict non-retaliation policy. Any act or threat of retaliation will in itself be considered a serious violation of this Code of Conduct.

●●● Fast Facts: Global Open Door and Non-Retaliation policy

In addition to the Open Door and Non-Retaliation policy, Lonza provides several confidential ways to report issues or concerns.

Email

Contact the Ethics and Compliance team:
compliancegroup@lonza.com

Online or Phone

The multi-lingual Ethics and Compliance Hotline (www.lonzaethics hotline.com) is available 24 hours a day, 7 days a week, worldwide, with country-based toll-free phone numbers. The Ethics and Compliance Hotline is staffed by a third-party reporting service. Where allowable by law, there is an option to remain anonymous when utilizing the Ethics and Compliance Hotline.

Regular Mail

Lonza Group Ltd.
Muenchensteinerstrasse 38
CH-4002 Basel, Switzerland
Attn: Group General Counsel

●●● Fast Facts: Ethics and Compliance Hotline

How We Manage

Lonza managers have leadership responsibilities for setting a good example, encouraging an environment of open and honest communication without fear of retaliation, and taking prompt action when ethical or compliance issues are brought to their attention. They must never direct employees to achieve results that violate Lonza's policies, this Code of Conduct, or the law.

How We Enforce

Violations of law can result in civil and criminal penalties for Lonza and its employees. Other consequences of breaches may include loss of business, loss of faith and confidence in Lonza, damage to the personal reputations of employees, and increased risk of safety and environmental hazards.

Lonza will investigate any suspected failure to comply with this Code of Conduct, its supporting policies, or the laws and regulations governing the company. Employees must fully cooperate in all such investigations. Lonza reserves the right to take appropriate corrective action in response to any violations, which may include suspension or termination of employment.



We welcome input on any aspect of the Code of Conduct. Please send email comments to compliancegroup@lonza.com.

Lonza Code of Conduct approved by the Board of Directors on October 25, 2017.

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