



WuXi Biologics
Global Solution Provider

Code of Business Conduct & Ethics for Business Partners

2024

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1 Our Expectations

1.1 Expectations

As a leading global Contract Research, Development, and Manufacturing Organization (“CRDMO”), WuXi Biologics (Cayman) Inc. (the “Company” or “WuXi Biologics”) and its worldwide holding subsidiaries and affiliated companies strive to conduct business with individuals and organizations who adhere to high ethical standards and operate in a socially and environmentally responsible manner. The Code of Business Conduct and Ethics for WuXi Biologics Business Partners (referred to herein as the “Code”) is designed to emphasize the Company’s adherence to ethical business, social and environmental standards.

1.2 Principles

The term “Business Partners” includes but is not limited to organizations or individuals (non-employees) – such as suppliers, distributors, and contractors – who provide WuXi Biologics with services, raw materials, or other products. The term encompasses the employees or personnel of Business Partners.

The principles outlined in this Code are not intended to replace or conflict with any applicable laws and regulations or contractual obligations with WuXi Biologics. Subsidiaries and affiliates should implement requirements stipulated by the laws and regulations of their countries when related requirements are stricter than those stipulated in this policy.

Business Partners must sign this document before proceeding to the next stage of business cooperation. When entering into a cooperation agreement or contract, accepting orders, or providing goods or services to WuXi Biologics, Business Partners are responsible for adhering to this Code.

Business Partners should establish and continuously seek to improve their own management systems in accordance with the requirements elaborated in the “Commitment and Accountability” section of this document so as to comply with the principles and standards specified in the Code.

2 Code of Business Conduct and Ethics

2.1 Compliance with Laws, Rules and Regulations

Business Partners should comply with all applicable laws, rules, and regulations, and should resolve any issues in a responsible and timely manner.

2.2 Antitrust and Fair Competition Principle

Business Partners should follow applicable laws, rules, and regulations regarding unfair competition and antitrust, and should not gain any advantage by manipulating, concealing, or abusing privileged information, or by other unfair means.

2.3 Global Trade Compliance

Business Partners should comply with all applicable trade laws and regulations.

2.4 Data Privacy

Business Partners should comply with all applicable data privacy laws and regulations in the process of gathering and handling the personal information of employees, customers, and other business partners and entities, and ensure that any personal information collected is protected properly, processed legally, and used appropriately.

2.5 Representation on Behalf of the Company

Unless expressly authorized by WuXi Biologics, Business Partners should not participate in any political, religious or other activities in the name of the Company, and should not indicate by any means – explicitly or implicitly – that they represent the Company, including through such actions as referencing the Company’s names, trademarks, brands, and logos; using the Company’s email address; or wearing the Company’s uniforms.

2.6 Anti-Corruption Requirements

Business Partners should uphold the values of compliance, fair competition, and integrity when engaging in business activities; ensure compliance with laws and regulations; and never secure or retain business through corrupt means. Business Partners should adhere to the WuXi Biologics Anti-Corruption Policy, including but not limited to its provisions regarding gifts and hospitality. Business Partners should enhance their own anti-corruption compliance management framework; establish an anti-corruption policy; implement relevant compliance controls; and ensure that their directors, senior management and employees are aware of and trained to fulfill their obligations under anti-corruption laws and the WuXi Biologics Anti-Corruption Policy. Additionally, all consultants, agents, representatives, and sub-contractors who have a connection with any goods or services supplied to WuXi Biologics should also be made aware of and trained on their obligations under anti-corruption laws and the WuXi Biologics Anti-Corruption Policy.

2.7 Responsible Marketing

All forms of marketing activities conducted by Business Partners – including content and approach – should be subject to all applicable laws and regulations; industry standards; and the WuXi Biologics Responsible Marketing Policy, which can be found on the Company’s website.

2.8 Workers’ Rights

Business Partners should comply with all applicable laws and regulations related to workers, including but not limited to labor laws and international standards set by the International Labor Organization (ILO). Additionally, Business Partners should support and respect internationally recognized labor rights, as well as respect and preserve the dignity of workers. Among others, the Business partners should in particular:

- Comply with relevant laws and regulations regarding working hours, avoid excessive

overtime, provide workers with reasonable rest periods, and respect their right to rest.

- Provide and pay fair, reasonable, and legal salaries and benefits in accordance with the law, including but not limited to ensuring that wages are not lower than the statutory minimum wage standards, provide statutory benefits and paying overtime in accordance with the law.
- Exercise high standards of integrity and adhere to all applicable local laws and regulations in dealing with and protecting the personal information of workers.
- Advocate and practice an equal, inclusive, and diverse workplace culture, and prohibit discrimination against groups protected by local laws, including but not limited to discrimination based on race, color, religion, ethnicity, nationality, age, gender, physical disability or illness, marital or family status, sexual orientation, political views, social status, and other factors. Employment decisions, such as hiring, compensation, rewards/incentives, personal development, promotion, retention, and other personnel management matters, should be based solely on the worker's ability, experience, behavior, performance, and/or demonstrated job-related potential.
- Establish and maintain a safe, non-hostile work environment, and prohibit bullying, any form of harassment (including but not limited to sexual harassment), and any other behavior that is demeaning to personal dignity.
- Be respectful of the statutory rights of workers to associate freely, join lawful labor unions and collective bargain.
- Not to use child labor, and strictly adhere to applicable local laws and regulations regarding age restrictions for workers and age related position restrictions and requirements.
- Respect workers' freedom and do not unreasonably restrict them.
- Hire workers who freely and voluntarily choose to work for the company/organization. Do not engage in, support, tolerate, or condone any form of slavery or forced labor.
- Do not engage in, support, tolerate or condone human trafficking.

2.9 Work Environment Health and Safety

Business Partners should comply with all applicable laws and regulations relating to health and safety in their work environment, and comply with WuXi Biologics' health and safety policy when working on WuXi Biologics' premises.

- To ensure the health and safety of employees and visitors, Business Partners should provide a healthy, safe, and environmentally friendly workplace, along with all necessary equipment and facilities, including accessibility to safe drinking water and sanitization facilities.
- Business Partners should have and maintain effective safety management processes, provide necessary occupational health and safety training to employees, and ensure that health and safety program requirements are consistent for contractors and subcontractors.

2.10 Quality Management

Business Partners should establish and maintain a quality control system.

- Business Partners should ensure that all goods and services supplied to WuXi Biologics comply with all applicable quality control requirements and any requirements specified in quality agreements signed with the Company.
- Business Partners should permit the Company or an authorized delegate to conduct quality audits of facilities, systems, and/or documents related to the goods and services provided, and promptly provide responses and take corrective actions to remedy any observations cited.
- Business Partners should notify the Company of any significant regulatory inspections or regulatory issues in a timely manner, including especially any observations related to the products/services for the Company.

2.11 Protection of Intellectual Property, Commercial Secrets, and Confidential Information

Business Partners should protect the Company's intellectual property, commercial secrets, and confidential information. Unless expressly authorized by WuXi Biologics, Business Partners should not disclose to unauthorized Business Partner personnel or to any third parties the Company's intellectual property, business information, confidential information, or other information that it possesses or acquires with respect to the Company's business.

2.12 Comply with Environmental Laws and Regulations to Achieve Sustainable Development

The most important resource in the world is humanity itself and the natural environment. Business Partners should operate in an environmentally friendly and responsible manner, minimizing the impact of their operation activities on the surrounding environment, protecting biodiversity, and using energy and resources efficiently.

- Business Partners should comply with all applicable environmental regulations. In addition, Business Partners should obtain the necessary environmental permits, licenses, registration information, etc. for their operations, and comply with applicable operational and disclosure requirements.
- Effective environmental management systems should be in place to ensure that waste, air and wastewater emissions are safely regulated, handled, transferred, stored, discharged, or recycled, and that the risk of accidental leakage or release of hazardous substances into the environment is reduced and controlled.
- To improve the efficiency of resource and energy use, and to reduce resources waste and plastic consumption, conservation measures and alternative approaches should be implemented.
- Efforts should be made to reduce operational water consumption and minimize the use of water resources, in compliance with relevant water laws and regulations.

2.13 Animal Care and Use

When conducting any animal testing, Business Partners should adhere to the “Reduction, Replacement, and Refinement” principles – commonly referred to as the 3Rs principles – and comply with all relevant legislation, regulations, and codes of ethical practices and requirements relating to animal welfare. Business Partners should treat animals humanely, and minimize their pain and stress.

Animal testing should be performed only after the consideration of avoiding or replacing the use of animals, reducing the number of animals used, and refining procedures to minimize distress. Alternatives should be used wherever these are scientifically valid and acceptable to regulators.

2.14 Sustainable Procurement

Business Partners should comply with the principles listed in this Code when selecting their own suppliers or subcontractors, and should have systems in place to monitor their supplier compliance and help improve their own sustainable procurement system.

Business Partners should conduct due diligence to ensure legal and sustainable procurement, and should commit to and take reasonable actions to avoid supplying WuXi Biologics with restricted or banned raw materials, or products that are manufactured with restricted or banned raw materials.

2.15 Financial Records

All financial books and records of Business Partners should be legible and transparent, reflect actual transactions and payments, and comply with generally accepted accounting principles and relevant legal requirements.

2.16 Data Management

Business Partners should ensure that the data they generate, collect, review, analyze, document and report are attributable, legible, contemporaneous, original, complete, and accurate.

2.17 Records Retention

Business Partners should maintain and keep accurate and complete business and financial data records relating to WuXi Biologics in accordance with generally accepted accounting standards, industry practices and applicable laws.

2.18 Conflicts of Interest

Business Partners should avoid any interactions with WuXi Biologics Personnel that might create or appear to create a conflict between their personal interests and the interests of WuXi Biologics. Business Partners should not directly or indirectly employ any active WuXi Biologics Personnel or otherwise provide them with anything of value or benefit. If a Business Partner or any of its employees has a relationship with a WuXi Biologics employee that might represent a conflict of interest, the Business Partner should inform WuXi Biologics promptly.

2.19 Commitment and Accountability

Business Partners should commit to following all applicable laws and regulations, commit to meeting customer requirements, commit to complying with the requirements of this Code, and commit to implementing continuous improvement. Business Partners should deploy appropriate resources; appoint senior management; establish a comprehensive management system, and regularly review the system's effectiveness in ensuring compliance performance; and establish an internal assessment and accountability mechanism to promote continuous improvement.

2.20 Risk Assessment and Management

Business Partners should have mechanisms in place to ascertain and manage risks in all areas addressed by this Code. Based on the determined degrees of risk exposure, Business Partners should implement appropriate procedures and substantive control measures to mitigate identified risks and ensure compliance.

2.21 Documentation

Business Partners should maintain all necessary documentation to demonstrate conformance with the principles of this Code, as well as compliance with applicable regulations.

2.22 Training and Competency

Business Partners should establish an appropriate and continuous training program that enables their management and employees to competently address the expectations of this Code as well as relevant laws and regulations.

2.23 Continual Improvement

Business Partners should conduct regular internal and external audits to ensure compliance with laws, regulations, and customer requirements. Business Partners 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, and management reviews.

2.24 Whistle-Blowing Program

Business Partners should encourage their employees – as well as suppliers, customers and other third parties – to report concerns or illegal activities without threat of reprisal, intimidation, or harassment. All reports should be investigated and corrective action taken if needed. Business Partners should provide information on how to report concerns confidentially and should ensure that reporting personnel are protected from the risk of retaliation. Anonymous reporting channels should be provided where permitted by law.

2.25 Cooperating with Investigations

Business Partners should inform WuXi Biologics promptly upon discovery of any violations of laws or breaches of this Code. Business Partners should support the Company in monitoring

business conduct and ethics, and cooperate with WuXi Biologics investigations and/or audits, including anti-corruption investigations.

3 Reporting Channels

Business Partners may report any actual or suspected improper behaviors of WuXi Biologics personnel through the whistle-blowing channels established by the Company's Compliance and Risk Management Center, including email (SpeakUp@wuxibiologics.com), the whistle-blowing platform (wuxibiologics.ethicspoint.com), and the WuXi Biologics official website.

WuXi Biologics is committed to appropriately handling whistle-blowing information, protecting whistle-blowers, and taking appropriate follow-up and remediation actions.

4 Dissemination and Amendment

This Code should be distributed to all Business Partners before the commencement of collaboration or other relationship with the Company. The Company reserves the right to amend, alter, or terminate this Code at any time for any reason.

The most current version of this Code can be found on the Company's website.

5 Attachment

Code of Business Conduct and Ethics Commitment for Business Partners

We have carefully read and understood all the contents and definitions in the Code of Business Conduct and Ethics for WuXi Biologics Business Partners, and agree to comply with the requirements of the Code of Business Conduct and Ethics for WuXi Biologics Business Partners

(the "Code") while engaging in business with WuXi Biologics (Cayman) Inc. and its worldwide holding subsidiaries and affiliated companies ("WuXi Biologics" or the "Company").

We understand and agree that, in the event of any violation of laws or this policy, WuXi Biologics reserves the right to take all reasonable measures - including but not limited to suspending or terminating the business relationship - and to take other disciplinary actions.

Business Partner Name:

Name of Representative:

Address:

Date:
