

Code of Conduct





Wolfgang Wienand
CEO



Jean-Marc Huët
Chairman of the Board

Our Purpose

Every day, our products and services have a positive impact on the lives of millions of people. This is how we fulfill our purpose, to enable a healthier world. 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.

Our Commitment

We are committed to:

- Delivering value to our customers
- Enabling our colleagues to succeed
- Continuously improving performance
- Ensuring Lonza is a trusted member of its communities

Performance with Integrity

For more than 125 years, Lonza has built an enduring reputation for its ethical performance. Our respect for 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.

Our purpose to enable a healthier world is driven by our four company values:

- INTEGRITY**
Having the accountability, honesty and courage to speak up and do the right thing
- INCLUSION**
Being supportive, respectful and responsible towards others
- INNOVATION**
Being engaged, curious and enquiring to find the best possible solution
- INITIATIVE**
Being self-driven, motivated and committed to focus and deliver

Our values define how we behave individually and reflect how we work collaboratively. Everyone who works for Lonza should be fully transparent and accountable, whether working with colleagues, customers or external stakeholders.

Our Code of Conduct is designed to help you consider your choices and make good decisions. High standards of ethics and compliance must always take priority. These standards will secure our ongoing 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.

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.

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1 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 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 our business and constituencies, our colleagues and stakeholders.

2 Global Commitment. Local Responsibility.

Lonza is committed to responsible business conduct, to the United Nations Global Compact and to other principles of sustainability and corporate responsibility. At Lonza, we act responsibly in our relationships with governments, regulatory agencies, partners, colleagues, patients, customers and suppliers. 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 colleagues 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 our company values and the values of openness, loyalty, fair dealing, mutual respect and honesty. Colleagues must familiarize themselves with best business practices in their area of responsibility and implement them conscientiously.

3 Who Owns and Manages Lonza's Risk

Lonza's success depends on the success of our colleagues to run the business and manage its risk at all levels. To achieve this, risk management is everyone's responsibility. We all have a duty to participate in and support our risk management processes. To support this, functions such as Quality Assurance, Finance, Legal, Intellectual Property 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 colleague and so does accountability for ethical and compliant behavior – neither can be delegated.

4 To Whom does the Code of Conduct Apply?

This Code of Conduct applies to all employees, contingent workers, officers and directors of Lonza and its affiliates (individually and collectively "colleague," "you" and "colleagues"). All colleagues are expected to know, understand and comply with all policies, laws, regulations and best practices that apply to their activities. In addition, certain laws may apply to conduct that occurs outside the country in which a colleague works, for example, in the case of anti-bribery and anti-corruption laws. Be sure to consult your manager or members of the Legal or Ethics and Compliance departments 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.

5 Topics

Trade Compliance and Export Controls

Lonza is committed to complying with all applicable import, export, re-export and trade compliance laws and regulations. These include trade embargoes and economic or other sanctions, export/import controls and license requirements and denied or restricted party requirements. Colleagues must adhere to the applicable laws and regulations and perform due diligence to ensure our operations are compliant, including to ensure goods are used for the lawful purpose for which they are intended.



Fast Facts: [Trade Compliance and Export Controls](#)



[Lonza Trade Compliance Policy and Management Commitment Statement](#)

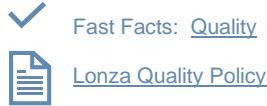
Quality

We are committed to providing customers with high-quality, safe and effective products and services. Our quality management systems and operations must comply with applicable laws, regulations and standards.



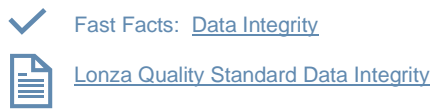
Indicates additional guidance for Lonza colleagues
Indicates internal policy

We leverage our expertise, collaborative spirit and ambition to achieve these expectations. Every colleague has the responsibility to work in accordance with these requirements and principles.



Data Integrity

Data integrity refers to the completeness, consistency and accuracy of data. Data integrity is the foundation of assuring that Good Manufacturing Practices (GMP) documentation, data and records are attributable, legible, contemporaneous, original and accurate. Every colleague has the responsibility to ensure that the data they generate, collect, review, analyze, document and report adheres to these practices.



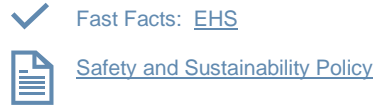
Safety and Sustainability

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

We work to continuously improve our systems and aspire to zero incidents, injuries and environmental footprint. We work towards achieving our science-based targets related to climate change. We increase energy efficiency and use of renewable energies by improving our processes and in planning for future assets. We reduce our water consumption and strive to decouple it from business growth. We demonstrate a sustainability culture in all our activities and support safety sustainability and corporate responsibility initiatives at all levels of the company.

Colleagues must report all environmental, health and safety (EHS) incidents, near misses and hazards to their managers and in accordance with applicable procedures, take action to correct any unsafe practices or conditions, and continuously improve our EHS and

sustainability performance. Lonza prohibits working while under the influence of alcohol and illegal, prescription (to the extent set forth in the Substance Abuse Policy) and recreational drugs.



Anti-Discrimination and Equal Employment Opportunities (EEO)

Lonza is committed to ensuring a safe and respectful work environment, free from threats, workplace violence and discriminatory practices. Independent of their position, all colleagues 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 (including pregnancy), disability, veteran status or any similar characteristic. Lonza prohibits all forms of harassment, including sexual harassment, including unwelcome sexual advances, requests for sexual favors or other offensive behavior of a sexual nature.



Human Rights

Lonza respects all internationally recognized human rights that are relevant to our operations and we address material, negative human rights impacts.

We are committed to fair treatment of colleagues and freely chosen employment. We prohibit human trafficking, slavery, including forced and bonded labor and child labor. Colleagues have an obligation to report any suspected violations of these requirements and to ensure our suppliers adhere to these requirements as set forth in our Supplier Code of Conduct.



Inclusion, Diversity and Belonging

We are supportive, respectful and responsible toward others. Diversity is a source of strength and innovation. Our global community embraces differences across backgrounds, characteristics, preferences, beliefs and perspectives with the goal of ensuring all colleagues feel a sense of belonging.

Conflicts of Interest

Acting in Lonza's best interest is paramount for all business activities. This means making decisions with integrity, free from any personal, social or financial interests that could compromise a colleague's objectivity.

Situations that create or appear to create a conflict or potential conflict between one's personal interests and Lonza's interests must be avoided. Communication is essential between colleagues and Lonza. Any actual or perceived conflict or potential conflict must be disclosed to management and to Ethics and Compliance to ensure appropriate awareness and resolution as appropriate.

 [Fast Facts: Conflicts of Interest](#)

Anti-Bribery and Anti-Corruption

Lonza strictly prohibits all forms of bribery and corruption, which include practices such as facilitation payments, fraud, extortion, collusion and money laundering. Kickbacks, facilitation or other payments, gifts or other advantages, as an inducement to do something that is dishonest, illegal or a breach of trust or to seek an improper advantage, including the offering, paying, soliciting or receiving such payments, gifts or advantages, is never permitted, regardless of whether such actions are lawful or customary in a particular location. These requirements apply to dealings with all third parties, including government officials and private parties.

All colleagues must comply with all applicable anti-bribery and anti-corruption laws and regulations, and ensure that any third party representing or acting on behalf of Lonza also complies. Of the laws and regulations of one or more jurisdictions apply,

colleagues must comply with the most stringent obligations.

 [Fast Facts: Anti-Bribery and Anti-Corruption](#)
 [Anti-Bribery and Anti-Corruption Policy](#)



Business Gifts and Entertainment

When interacting with third parties, including customers and suppliers, colleagues must abide by Lonza's Business Gift Policy and Guidelines. Offering, soliciting or accepting gifts, donations or entertainment can be seen as improperly influencing a business decision and is prohibited. However, those of insignificant monetary value arising from ordinary corporate hospitality, or those below the thresholds in the Business Gift Policy, are acceptable provided they do not violate applicable law. Anything above such thresholds must be disclosed to your manager and Ethics and Compliance.

 [Fast Facts: Business Gifts](#)
 [Business Gift Policy](#)

Insider Trading

Colleagues 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). Material non-public information is any information that investors may consider important to base thereon a decision on buying, keeping or selling securities. Colleagues 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](#)
 [Insider Trading Policy](#)



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Fair Competition

Lonza is committed to the principles of free and fair competition and respects the laws restricting the operation of cartels and other monopolistic practices. Colleagues must be aware of antitrust and competition laws and their implications in their areas of responsibility. 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.

Colleagues 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](#)



[Compliance with Competition Laws Policy](#)

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. Colleagues have a duty to protect and make careful use of Lonza's business assets.

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



Fast Facts: [Confidential Information](#)



[Global Confidentiality Policy](#)
[Global IT Acceptable Use and Security Standard](#)
[Lonza Global Records Retention Policy](#)

Intellectual Property

Protecting Lonza's intellectual property is essential to maintaining Lonza's competitive advantage. Colleagues are expected to support the establishment, protection, maintenance and defense of Lonza's rights

in all commercially significant intellectual property and use those rights in a responsible way.



Fast Facts: [Intellectual Property](#)



[Intellectual Property Rights Policy](#)

Integrity of Reporting and Accounting

Lonza complies with all applicable laws, internal accounting and reporting guidelines and external financial and non-financial reporting standards. We are committed to creating and reporting true, fair and transparent financial and non-financial information.

Colleagues have a duty to ensure the information we provide to our stakeholders is a true and fair view of our financial and operational situation. Colleagues must maintain proper books, records and accounts that fairly reflect all transactions and in accordance with internal guidelines and requirements. They must ensure that any data, information or record that is either created or is our responsibility is complete, truthful, accurate and clear. This entails a broad range of information including but not limited to annual reports, business records, travel and expense claims and e-mails.

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 in the documentation supporting the payment.

Falsifying records and accounts or misrepresenting facts may constitute fraud. In addition to Lonza's liability as a company, colleagues who engage in such illegal behavior may be subject to severe penalties.



Fast Facts: [Accuracy of Records](#)



[Global Business Travel and Expense Policy](#)

Business Partnerships

Our suppliers are integral to Lonza's sustainable growth and overall success. Colleagues must responsibly select, conduct due diligence and manage our suppliers and other third parties as a fundamental aspect of our business practices. Lonza holds its suppliers and those



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who act upon its behalf to high standards, mandating compliance with all laws, regulations and relevant policies and procedures. We expect these third parties to comply with our Supplier Code of Conduct. Colleagues who manage such third parties should monitor activities to identify, assess and mitigate any compliance risks and escalate them to the appropriate internal resources as appropriate.

✓ Fast Facts: [Business Partnerships](#)

 [Lonza Supplier Code of Conduct](#)

Data Privacy

Lonza respects the protection and privacy of information of its colleagues, customers, business partners and others who share their personal data with us. Lonza colleagues must ensure that any personal data Lonza collects is treated with care, protected and used lawfully and properly. Any unlawful access, disclosure, or mishandling of personal or sensitive information is strictly prohibited.

✓ Fast Facts: [Data Privacy](#)

 [Internal Data Protection Guideline](#)

Social Media

Social media offers Lonza opportunities for communication and collaboration when used properly. Lonza expects its colleagues 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](#)


Whistleblowing and Non-Retaliation

Colleagues have a responsibility to report any suspected violations of this Code of Conduct, other Lonza policies and procedures and applicable laws and regulations. Colleagues are encouraged to ask questions regarding ethical or legal requirements in how we conduct business.

Lonza has a strict non-retaliation policy. Anyone who, in good faith, raises a concern about a suspected ethics or compliance violation will not be subject to any retaliation for doing so. Any act or threat of retaliation will in itself be considered a serious violation of this Code of Conduct.

Lonza's multi-lingual Ethics and Compliance Hotline can be accessed: www.lonzaethicshotline.com. Additional contact resources can be found in "How We Maintain."

✓ Fast Facts: [Reporting Wrongdoing](#)

 [Whistleblower and Non-Retaliation Policy](#)

6 How We Implement

The Code of Conduct is available for colleagues on Lonza's intranet: [Code of Conduct | Lonza](#) (ethicsatlonza.com) and in our document management system. A public version is available: [Ethics and Compliance | Lonza](#).

When implementing this Code of Conduct, Lonza affiliates shall take account of local laws and regulations. The boards of directors of Lonza affiliates shall pass appropriate resolutions and comply with any local works council requirements enabling the implementation of this Code of Conduct.

7 How We Maintain

Lonza's Ethics and Compliance program is designed to support legal and ethical actions throughout the company. The program covers the activities of advice and assistance, risk management, mitigation and controls, including by providing policies such as this Code of Conduct to provide guidance to colleagues, and monitors compliance.

The Ethics and Compliance program includes training and communication to Lonza colleagues throughout each calendar year, including periodic training on this Code of Conduct. Lonza colleagues 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 the 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. Our values of integrity, inclusion, innovation, and initiative define how we behave individually and as a community. Through our shared values, we create a “One Lonza” culture which is recognized and respected across our global network. Most issues can be resolved at the local level before they become problems for colleagues, Lonza or the public.

Lonza offers multiple confidential channels for reporting issues or concerns and for asking questions related to this Code of Conduct.

Email

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

Online or Phone

The multi-lingual Ethics and Compliance Hotline (www.lonzaethicshotline.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.

Fast Facts: Ethics and Compliance Hotline

Regular Mail

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

8 How We Manage

Lonza managers are responsible for acting with integrity, setting a good example, encouraging an environment of open and honest feedback and communication without fear of retaliation and taking prompt action when ethical or compliance issues are brought to their attention. They must never direct colleagues to achieve results in an unethical way, including by actions that violate Lonza’s policies, this Code of Conduct or the law.

9 How We Enforce

Violations of law can result in civil and criminal penalties for Lonza and its colleagues. Other consequences of breaches of this Code of Conduct may include loss of business, loss of faith and confidence in Lonza, damage to the reputations of Lonza and its colleagues, 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 in accordance with the Whistleblower and Non-Retaliation Policy. Lonza may conduct periodic audits of compliance with the Code of Conduct. Colleagues must fully cooperate in all such investigations and audits. Lonza reserves the right to take appropriate corrective action in response to any violations, which may include suspension or termination of employment or contract, contact with law enforcement and recovery of funds improperly obtained and incentive compensation.

10 Related References

CORP-1	Lonza Quality Policy
CORP-5	Anti-Bribery and Anti-Corruption Policy
CORP-8	Insider Trading Policy
CORP-9	Lonza Trade Compliance Policy and Management Commitment Statement
CORP-13	Business Gift Policy
CORP-15	Philanthropic Sponsorship and Donations Policy
CORP-16	Lonza Social Media Policy
CORP-32	Safety and Sustainability Policy
CORP-47	Human Rights Principles
CORP-53	Lonza Quality Standard Data Integrity
CORP-51	Internal Data Protection Guideline
CORP-72	Compliance with Competition Laws Policy
CORP-73	Whistleblower and Non-Retaliation Policy
CORP-74	Global IT Acceptable Use and Security Standard
GROUP-61	Intellectual Property Rights (IPR) Policy
GROUP-5304	Lonza Supplier Code of Conduct
GROUP-91643	Global Data Privacy Guidelines
GROUP-98741	Global Business Travel and Expense Policy



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