



Supplier Code of Conduct

At Apellis, we're leveraging courageous science, creativity, and compassion to deliver life-changing medicines. Leaders in targeted C3 therapies, we aim to develop best-in-class therapies for a broad range of debilitating diseases that are driven by excessive activation of the complement cascade, including those within hematology, ophthalmology, and nephrology

As a part of this journey, we cannot go at this alone. We believe in building long-lasting and meaningful partnerships with our suppliers that support our mission of delivering revolutionary therapies for people living with serious diseases.

Our Supplier Code of Conduct provides guidance on business standards and advises us on making the right decision for our patients, employees, and partners. It is an unwavering reminder that corporate integrity, responsible sourcing and the safety and wellbeing of workers are of paramount importance to us. This code is our commitment to act with a consistently high ethical of standards and accept the same accountability for doing so as we expect of you, our trusted partners.

We encourage you to read our Supplier Code of Conduct and refer to it often. While we cannot cover every possible scenario we might face, it does contain helpful guidance for many of the issues that may arise.

I hope that you feel, as I do, that the standards set forth embody our commitment to working responsibly together.

A handwritten signature in black ink, appearing to read "Cedric Francois".

Cedric Francois
CEO and co-founder

1 Background

- Apellis Pharmaceuticals, Inc. and its Affiliates (“Apellis”) often engages with third parties to provide goods or services to the Company or on its behalf.

2 Purpose and Scope

The purpose of this Supplier Code of Conduct is to:

- Ensure that all commitments to purchase goods and or services be conducted in a consistent manner
- Corporate integrity, responsible sourcing and the safety and wellbeing of workers are of paramount importance to Apellis
- Communicate and align on these principles that reflect Apellis’ minimum standards that must be met by any Supplier while conducting business with or on behalf of Apellis with respect to Ethical Business Practices, Labor, Health and Safety, Environment and Management Systems.

These principles apply to all aspects of Apellis’ business, and encompass all manufacturers, distributors, vendors, suppliers, contractors, subcontractors that provide goods or services to the company or on its behalf. Please note that healthcare professionals (HCPs), patient consultants, payor consultants, government officials and clinical trial sites are out of scope.

					
Ethical Business Practice	Labor	Health & Safety	Environment	Management Systems	Additional
<ul style="list-style-type: none"> • Business Integrity, Anti-Bribery, Anti-Corruption and Fair Competition • Identification of Concerns • Animal Welfare • Data Privacy, Security and Confidentiality • Conflict of Interest • Trade Compliance • Supplier Diversity 	<ul style="list-style-type: none"> • Freely Chosen Employment • Child Labor and Young Workers • Non-Discrimination, Diversity • Fair Treatment • Wages, Benefits and Working Hours • Freedom of Association and Collective Bargaining 	<ul style="list-style-type: none"> • Workers Protection • Processes, Emergency Preparedness and Response 	<ul style="list-style-type: none"> • Environmental Authorizations • Waste and Emissions • Spills and Releases • Material Compliance 	<ul style="list-style-type: none"> • Commitment and Accountability • Legal and Customer Requirements • Risk Mgmt. • Documentation • Training and Competency • Continuous Improvement 	<ul style="list-style-type: none"> • Innovation • Sustainability

3 Introduction to Apellis' Supplier Code of Conduct

- Managing the environmental and social impacts of our operations, products, manufacturing and sourcing is an important part of our commitment. We work with business partners, contractors and suppliers to ensure the products we deliver are safe, effective and of the highest quality. Operating responsibly and using resources efficiently involves setting and living up to exacting standards and supporting our partners and suppliers in doing the same.
- At Apellis, we're committed to partnering with our suppliers and making positive changes along our value chain by encouraging our business partners, Contract Service Providers (CSP) to adopt responsible and sustainable practices.

4 Apellis' Expectations of Suppliers

- Apellis deals fairly, responsibly and ethically with our contractors, vendors and suppliers; we expect that Suppliers will do the same in return.
- Decisions are based on customary commercial and technical considerations.
- Suppliers must comply with the all applicable laws, rules, regulations, and ethical standards of the countries in which they operate or do business.
- For those Suppliers providing Contract Manufacturing and Testing services or services in support of these activities, all applicable Good Manufacturing (GMP), Good Clinical (GCP) and Good Laboratory Practices (GLP) (collectively GxP practices) must be followed.

5 Ethical Business Practice

5.1 Business Integrity, Anti-Bribery, Anti-Corruption and Fair Competition

- Suppliers shall conduct business competitively and in full compliance with all applicable antitrust and (unfair) competition laws and regulations. Suppliers shall not fix prices or rig bids with their competitors. Suppliers shall not allocate customers or markets with their competitors, or exchange current, recent, or future pricing information with their competitors.
- All corruption, extortion and embezzlement are prohibited. Suppliers shall not pay or accept bribes or participate in other illegal inducements in business or government relationships. Supplier shall comply with all applicable laws and regulations and industry standards related to anti-corruption, anti-bribery.

5.2 Identification of Concerns

- 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 if needed.

5.3 Animal Welfare

- Applicable suppliers shall strive to ensure that animals are treated humanely, with pain and stress minimized. Animal testing should only be performed after consideration to replace animals, reduce the number of animals used or refine procedures to ensure humane treatment. Alternatives should be used wherever scientifically valid and acceptable to regulators.

5.4 Data Privacy, Security and Confidentiality

- Suppliers shall safeguard and make only proper use of confidential information and trade secrets to ensure that company confidential information and secrets are protected.
- Suppliers shall establish and maintain adequate personal data and information security protection for the for the information, including personal data that they, and any third party acting on their behalf, process. This shall include, but not limited to, proper mechanisms, technical and organizational structure, processes and procedures.
- Suppliers must abide by applicable data privacy laws and regulations when handling confidential information including statutes requiring notification of breaches or unauthorized disclosure of confidential information. Suppliers must comply with applicable Apellis Data Privacy and Security policies with respect to collection, use, or retention of confidential information.

5.5 Conflict of Interest

- A “conflict of interest” exists when your personal, social, financial, civic or charitable activities could conflict with Apellis’ interests or compromise your objectivity. Apellis expects all suppliers to disclose any actual or potential conflicts of interest to Apellis’ management.

5.6 Trade Compliance

- Apellis expects its suppliers to import, export and engage in all forms of trade in a legal and ethical manner.

5.7 Supplier Diversity

- Apellis recognizes the value of unique and diverse perspectives from our partners and suppliers. We encourage and welcome diversity in your supplier base.

6 Labor

6.1 Freely Chosen Employment

- All labor must be voluntary. Suppliers shall not engage in or support trafficking in human beings. Slave, child, underage, forced, bonded, or indentured labor will not be tolerated. Involuntary labor includes the transportation, harboring, recruitment, transfer, receipt or employment of persons by means of threat, force, coercion, abduction, fraud or payments to any person having control over another person.

6.2 Child Labor and Young Workers

- Supplier will not use child labor. A child is any person under age 15, under the age for completing compulsory education, or under the minimum age for employment in the country, whichever is greatest. Young workers under the age of 18 or as defined under local laws, whichever is greatest, will not perform work that is likely to jeopardize their health or safety,

including night shifts and overtime. Suppliers may use legitimate, properly managed apprenticeship programs, such as student internships.

6.3 Non-Discrimination, Diversity

- Equal treatment of all employees is a fundamental principle.
- All terms and conditions of employment including, but not limited to, hiring, pay, training, promotion, termination, and retirement must be based on an individual's ability and willingness to do the job. Suppliers must not discriminate against any worker based on age, disability, race, national origin, ethnicity, gender, marital status, sexual orientation, political affiliation, religion or union membership.

6.4 Fair Treatment

- Workplaces must be free of harassment and abuse. Supplier shall not threaten workers with, or subject them to, harsh or inhumane treatment, including verbal abuse, corporal punishment, mental and physical coercion and sexual harassment.

6.5 Wages, Benefits and Working Hours

- Suppliers must comply with all applicable wage laws and regulations, including those relating to minimum wage, overtime hours, and legally mandated benefits.
- Suppliers shall follow all applicable laws and regulations with respect to working hours, overtime and days of rest.

6.6 Freedom of Association and Collective Bargaining

- Supplier shall respect, and shall not interfere with, the right of workers to decide whether to lawfully associate with groups of their choice, including the right to form or join trade union and to engage in collective bargaining.

7 Health and Safety

7.1 Workers Protection

- Suppliers shall protect workers, and any visitors to their facilities, from exposure to chemical, biological and physical hazards. Suppliers shall monitor their workplace for any other safety hazards and provide a safe and secure environment for workers and visitors.

7.2 Processes, Emergency Preparedness and Response

- Suppliers shall have appropriate processes in place to identify, prevent and mitigate any risk of a chemical spill or other event that would pose a threat to worker safety and/or to the environment. These processes include emergency plans in the case of an unsafe event and response procedures should such an event occur.

8 Environment

8.1 Environmental Authorizations

- Suppliers shall comply with all applicable environmental regulations. All required environmental permits, licenses, information registrations and restrictions shall be obtained, and their operational and reporting requirements followed.

8.2 Waste and Emissions

- Suppliers shall have systems to ensure the safe and lawful handling, movement, storage, recycling/reuse or management of waste, air emissions and wastewater discharges.

8.3 Spills and Releases

- Suppliers shall have systems in place to prevent or mitigate accidental spills and releases to the environment including but not limited to notification and communication with applicable regulatory authorities, employees and customers as appropriate.

8.4 Material Compliance

- Suppliers shall comply with all applicable chemical regulations governing the manufacturing, distribution, handling and storage, import and sale of materials supplied to Apellis and/or used on our behalf.

9 Management Systems

9.1 Commitment and Accountability

- Suppliers shall demonstrate commitment to the concepts described in this document by allocating appropriate resources.

9.2 Legal and Customer Requirements

- Suppliers shall identify and comply with applicable laws, regulations, standards and relevant customer requirements.

9.3 Risk Management

- Suppliers shall maintain documentation necessary to demonstrate conformance with these expectations and compliance with applicable regulations.

9.4 Documentation

- Supplier shall maintain documentation necessary to demonstrate conformance with these expectations and compliance with applicable laws and regulations.

9.5 Training and Competency

- Suppliers shall have a training program that achieves an appropriate level of knowledge, skills and abilities in management and workers to address these expectations.

9.6 Continuous 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 and management reviews.

10 Additional Principles

10.1 Innovation

- Apellis views suppliers as business partners with expertise, assets and capabilities that can be used to enable improvements in efficiency, effectiveness and business continuity to bring life-changing therapies to underserved patients.

10.2 Sustainability

- Suppliers shall strive to improve their organization processes by establishing and implementing sustainability goals in support of minimizing environment impact, managing social risk ethically and responsibly.

11 Additional Points of Mention

- Apellis may request additional information through but not limited to supplier surveys/campaigns.
- Apellis may request additional documentation on any of the topics covered in this document.

12 Conclusion

The Supplier Code of Conduct contains general guidelines for conducting the business of the Company consistent with the highest standards. If you have any questions about these guidelines, please contact your Procurement representative. Apellis expects all of its employees to adhere to these standards.

Revision History

This document will be reviewed every year by the Procurement leadership, Quality, Data Protection, Compliance, Legal and Finance team members.