

# Catenion



## Code of Ethics and Professional Conduct

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**Code of Conduct for company members and business partners**

# Content

## 1. Business Ethics

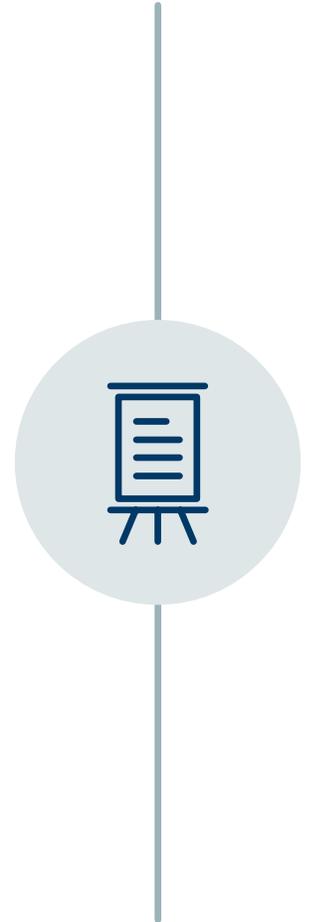
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# 1. Business Ethics (1/3)

## Disclosure & Objectivity

A consultant will disclose at the earliest opportunity any special relationships, circumstances or business interests which might influence or impair, or could be seen by the client or others to influence or impair, the consultant's judgment or objectivity on a particular assignment. This requires the prior disclosure of all relevant personal, financial or other business interests which could not be inferred from the description of the services offered.

This relates to:

- Any directorship or controlling interest in any business in competition with the client
- Any financial interest in goods or services recommended or supplied to the client
- Any personal relationship with any individual in the client's employ
- Any personal investment in the client organisation or in its parent or any subsidiary companies
- Any recent or current engagements in sensitive areas of work with directly competitive clients
- Any work for a third party on the opposite side of a transaction i.e. bid defense, acquisitions, work for the regulator and the regulated, assessing the products of an existing client

A consultant will advise the client of any significant reservations the consultant may have about the client's expectation of benefits from an engagement.

A consultant will not indicate any short-term benefits at the expense of the long-term welfare of the client without advising the client of the implications.

# 1. Business Ethics (2/3)

## Conflicts of Interest

A consultant shall not serve a client under circumstances which are inconsistent with the consultant's professional obligations or which in any way might be seen to impair the consultant's integrity. Wherever a conflict or potential conflict of interest arises, the consultant shall, as the circumstances require, either withdraw from the assignment, remove the source of conflict or disclose and obtain the agreement of the parties concerned as to the performance or continuance of the engagement.

A consultant shall not accept discounts, hospitality, commissions or gifts as an inducement to show favor to any person or body, nor attempt to obtain advantage by giving financial inducement to clients or client staff.

Our consultants shall not offer or receive gifts, fees, rewards or any other favours to gain advantage for themselves, colleagues, or any third party.

# 1. Business Ethics (3/3)

## Anti-Bribery and Corruption

Trust and integrity are essential values when serving our clients and our reputation and influence depends on us always operating and complying with these values. In order to ensure that our integrity and trustworthiness are not violated at any time, all our employees and consultants working on our behalf are reminded to conduct their business with utmost integrity and honesty.

We are committed to conducting our business in a transparent, honest and lawful manner based on the highest standards of integrity and in compliance with all applicable laws and regulations.

We will not participate in any form of corruption, extortion, bribery, unethical and fraudulent activity.

As our clients can be competitors or develop products in competing areas, utmost care is taken not to share or mix confidential information and to protect each client's interests. In doing so we comply with all applicable laws and regulations.

We ensure that all third-party suppliers we work with are reputable companies and we do not obtain information from questionable sources.

## 2. Data & Intellectual Property Protection (1/1)

The privacy and confidentiality of our clients' data is of the highest priority to us. We spare no efforts to ensure our clients' information remains safe and protected from any outside or potentially harmful sources.

Our consultants shall not use any confidential information about a client's affairs, elicited during the course of an assignment, for personal benefit or for the benefit of others outside the client organisation.

We have established tools and methods of working which preserve the privacy of the client's information, such as only working with data entrusted to us which are secured with a protective technology.

We handle confidential information of all our clients and third parties with the same utmost care as our internal confidential information and data. With every client and third party working on behalf of Catenion, we sign a legally binding CDA (Confidentiality Disclosure Agreement) before starting on any project.

We value our Intellectual Capital, which we have created during many years of research, and it defines our success with clients and over competitors. Therefore, Catenion's Intellectual Capital shall remain the property of Catenion. Copying, distributing, downloading and sharing our Intellectual Property without prior consent and outside of contractual assignments with a client as well as non-disclosure agreements, is unlawful behaviour and violates our code of conduct.

We are committed to fully comply with applicable rules and regulations in the event of a business or personal data breach. At Catenion we respect and safeguard the personal information of all fellow colleagues and business partners. We value and adhere to our data-protection principles.

# 3. Ethical Behaviour and Conduct (1/3)

## Non-Discrimination

We welcome and support people of all backgrounds and identities. This includes, but is not limited to, members of any sexual orientation, gender identity and expression, ethnicity, culture, national origin, social and economic class, colour, immigration status, sex, age, size, family status, political belief and religion.

We encourage and support a working environment of inclusion in which everyone communicates and behaves with respect, kindness and compassion. We do not insult or put down others. Harassment and exclusionary behaviour are not acceptable. This includes, but is not limited to:

- Threats of violence
- Discriminatory jokes and language
- Sharing sexually explicit or violent material via electronic devices or other means
- Personal insults, especially those using racist or sexist terms
- Unwelcome sexual attention
- Advocating for, or encouraging, any of the above behaviour

# 3. Ethical Behaviour and Conduct (2/3)

## Our Agreements

### CATENION AGREEMENTS



**GOAL: I AGREE TO FOSTER PERSONAL AND TEAM GROWTH, AND TO EMPOWER EACH OTHER.**

These agreements were created and written down by the entire Catenion team during a works on "Company Culture"



#### COMPASSION

I agree to care about my colleagues and to help whenever I perceive that help is needed.



#### ENVIRONMENT

I agree to cultivate a safe space: I will be honest, accountable, trusting and trustworthy.



#### MERITOCRACY

I agree to always be open to feedback from any direction: giving & receiving with an open and positive mind & heart.



#### CONTEXT

I agree to obtain a better understanding of the situation before reacting:

I will first ask questions and actively listen. I will not react impulsively but reflect. I will offer support without forcing it. I will praise in public and give constructive feedback in private.



#### EMPATHY

I agree to put myself in other people's shoes and try to understand their motivation and situation:

I will be kind to others and listen. I will be aware of and respect different cultural backgrounds and personalities. I will take the importance of emotions into consideration.



#### TIMING

I agree to give and ask for feedback in a proactive and timely manner:

I will do this as soon as possible and as late as necessary. I will give positive feedback immediately.



#### GOSSIP

I agree to not engage in gossip and to hold each other accountable.

Definition of gossip: Any conversation between 2 or more people that can negatively label the performance of a colleague who is not present.

# 3. Ethical Behaviour and Conduct (3/3)

## Compensation, Health & Safety and Benefits

### **Compensation**

Wages must be paid regularly, on time, and must reflect the experience, qualifications and performance of the employee as well as the industry standard. Catenion offers a competitive salary and bonus structure as well as career progression which is documented in the HR Guidelines and transparent to everyone. All other types of legally mandated benefits and compensations shall be paid.

### **Health & Safety at the work-place**

Catenion has a health and safety assessment in place, which shall protect the rights of all employees and adhere with all local legal regulations.

### **Benefits**

Benefits are accessible to everyone at Catenion and outlined in the HR Guidelines. The standard benefits include amongst others: flexible working hours and the possibility of remote work, financial remote work support, a free of charge fitness membership, personal learning budgets, company retreats and access to all “Catenion Family” programmes.

## 4. Compliance with our Code of ethics and professional conduct (1/1)

All company members are bound to adhere to this Code of Conduct: we expect all colleagues to comply with this Code of Ethics and Professional Conduct and we expect all others working with and for Catenion to act in a manner that is consistent with our Code.

Anyone who is aware of a breach of this Code shall immediately report to HR and to the Managing Director: any potential breach is subject to investigation, with appropriate action taken. We have clear internal procedures, such as platforms on which anonymous feedback can be given as well as open and confidential feedback sessions, for company members to report concerns about values, ethics and professional conduct.

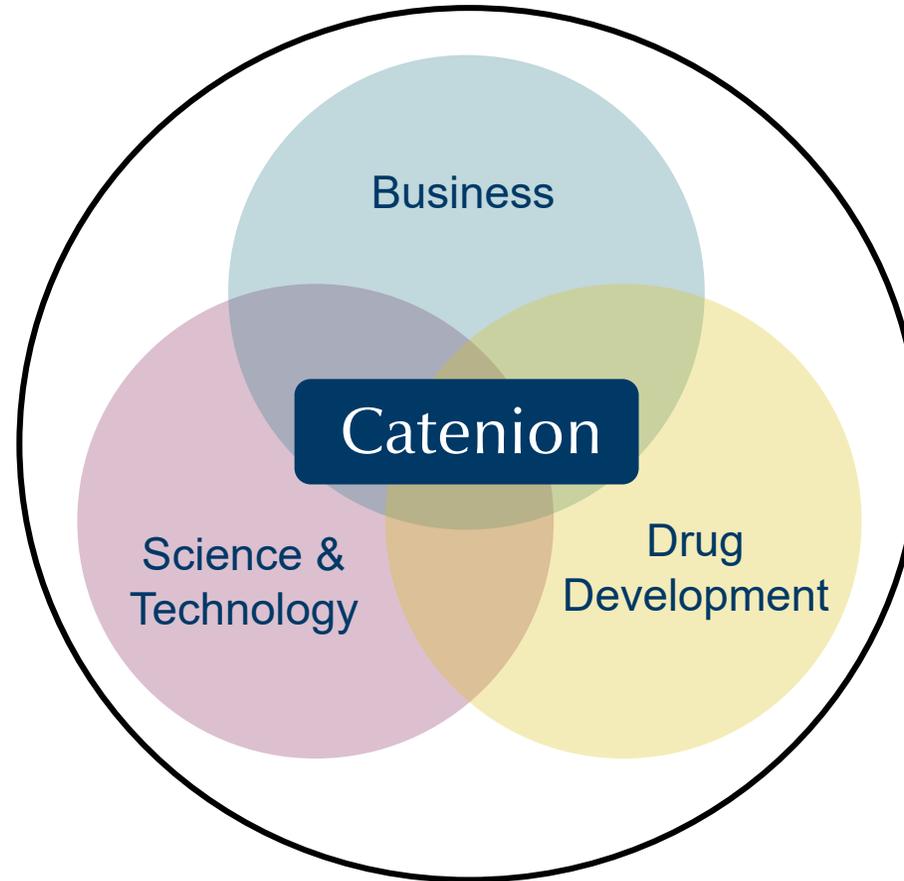
Changes to the Code of Conduct must be discussed and approved of by the company's management.

# Catenion is a science-driven strategy consultancy with a proven track record of creating value for biomedical clients and patients

Largest team exclusively focused on Biopharma R&D

Objectivity and independent thought

Assessed >1,500 projects often in collaboration with project teams



Helped develop numerous marketed drugs and medical devices

Value creation through portfolio strategy and optimization

Trusted partners of top executives in Europe, the US and Japan

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