

## Scope

This Policy applies to all Amgen, Inc. and subsidiary or affiliated company staff members, consultants, external workers, secondees, and temporary staff worldwide. Consultants, external workers, secondees, and temporary staff are not Amgen employees, and nothing in this Policy should be construed to the contrary.

## Purpose

Amgen is committed to the highest level of ethical business conduct, including compliance with applicable anti-bribery and anti-corruption (ABAC) laws and regulations. Amgen will compete lawfully and ethically in the marketplace and expects you to conduct all aspects of Amgen business lawfully and with integrity.

Many countries in which Amgen does business have enacted ABAC laws and regulations. Examples include, but are not limited to, the United States' Foreign Corrupt Practices Act (FCPA), United Kingdom's Bribery Act (UKBA), and Brazil's Clean Company Act (BCCA). These laws and regulations share many similar requirements including certain extraterritorial applications but vary in certain respects.

The penalties for violating applicable ABAC laws and regulations are severe and may be applied to both corporate entities and individuals. Depending upon the offense and applicable law, fines can be significant and in the case of an individual, a violation may also lead to imprisonment.

Regardless of whether penalties are imposed, a violation of ABAC laws and regulations could seriously damage Amgen's reputation and image, which are among our most important assets in our mission to serve patients.

This Policy covers Amgen's general principles and standards relating to ABAC compliance and maintenance of business documentation and financial records. It reinforces that we have no tolerance for bribery or corruption and that we are committed to maintaining accurate records of our business dealings. All of us are responsible for preventing any instance of bribery or corruption and for reporting any concern or suspicion.

## Policy

### General Principles

You must not:

- Directly or indirectly (e.g., through a Third Party) offer, promise, authorize, or give anything of value (e.g., payments, gifts, meals, entertainment, travel, discounts, commissions, employment) in order to obtain an improper advantage, to influence the judgment or conduct of a person, or to cause anyone to act against their lawful duties.
- Directly or indirectly solicit, request, or accept anything of value intended to improperly influence your judgment or conduct in your job responsibilities.

You must:

- Understand and comply with Amgen's ABAC principles and standards, as well as with all applicable ABAC laws and regulations, and
- Abstain from any activities that might violate or give any appearance of intention to violate such standards, laws, and regulations.

While the ABAC laws and regulations of various countries generally apply to government or foreign officials, Amgen's ABAC principles do not distinguish between Government Officials and private individuals, or commercial and non-commercial activities. Specific policies regarding Government Officials are presented below. In any event where doubt exists as to the appropriateness of proposed conduct, seek guidance from the Law Department, Compliance Leads, Chief Compliance Officer, and/or through the Business Conduct Hotline (BCH) prior to engaging in the conduct.

### Interactions and Engagements with Government Officials

As a global biotechnology company, Amgen must be particularly sensitive to interactions and engagements involving Government Officials, whether directly or indirectly through Third Parties. The term "Government Official" is broadly interpreted under ABAC laws and regulations. Some laws and regulations may also use the term "Foreign Official". For purposes of this Policy, Amgen uses the term "Government Official" to refer to both categories. In this Policy, "Government Official" means any officer or employee of a government or any department, agency or instrumentality of a government (e.g., government-owned or

controlled businesses such as hospitals), any officer or employee of a public international organization (e.g., World Health Organization, United Nations), and any person acting in an official capacity for or on behalf of any such government or department, agency, or instrumentality, or for or on behalf of any such public international organizations. Amgen has also defined the term “Government Official” to include any political party or candidate for political office and their representatives.

Under various ABAC enforcement actions, certain healthcare professionals have fallen within the ABAC laws and regulations definition of “Government Official”. This category of healthcare professionals includes those who are employed by, teach at, or have privileges at government-owned or controlled hospitals or public universities. In keeping with its commitment to the highest level of ethical business conduct, Amgen applies this broad interpretation of “Government Official” in this Policy and expects you to do the same.

You must not give Government Officials anything of value in order to secure any improper advantage or to improperly influence such Government Officials to advance Amgen’s commercial interests such as obtaining restricted information from the government, securing favorable regulatory treatment, and obtaining favorable government procurement activities (e.g., tender arrangements for the supply of Amgen products). Some examples of unacceptable practices to obtain favorable government procurement outcomes include:

- offering/discussing the possibility of employment at Amgen,
- offering/discussing business opportunities with procurement/regulatory personnel,
- and offering gratuities in connection with procurement.

### **Working with Third Parties**

A Third Party is any non-Amgen individual, party, or entity with which Amgen interacts or engages to conduct business. This category includes, but is not limited to, distributors, business partners, promotional/marketing agencies, travel agencies, meeting organizers, contract sales force, clinical research organizations, functional service providers, investigators, and customs brokers.

Although there are certain legal distinctions between Amgen and Third Parties (under corporate, employment, and tax laws, for example), law enforcement agencies have held companies accountable for acts of their Third-party business partners in certain situations regardless of the way in which the legal relationship with the third party was structured. Thus,

it is important to recognize that while Third Parties can be important to Amgen's business success, law enforcement agencies may hold Amgen responsible for Third Parties' misconduct.

We must take care to ensure Third Parties engaged by Amgen do not breach the requirements of this Policy. Third Party engagements must be in accordance with applicable Amgen policies and procedures (by way of example, on expenditures, written documentation and the like). To that end, Amgen must only engage Third Parties after conducting due diligence into the Third Parties' reputation, qualifications, and associations in accordance with applicable and appropriate Amgen procedures in advance of, and if necessary, periodically during the lifecycle of the engagement. Further, compensation should be at fair market value, supported by satisfactory documentation (e.g., proof of performance), and only for legitimate goods or services.

Questions regarding whether a person or entity qualifies as a Third Party or applicable due diligence and contracting processes under this Policy should be directed to the Law Department, Compliance Leads, Chief Compliance Officer, and/or through the BCH. Concerns about Third Parties acting on Amgen's behalf may be reported in accordance with the reporting instructions set forth below.

#### **"Facilitating" or "Expediting" Payments**

It is possible that, while performing work for Amgen, you may be asked by bureaucrats or other Government Officials for a payment to persuade them to perform their administrative, non-discretionary functions (e.g., processing of routine paperwork, visas, applications, or clearance of goods through customs). Such payments are often referred to as "facilitating" or "expediting" payments. These payments are illegal in most countries, and Amgen prohibits you from paying, offering, or authorizing such payments or offers, whether directly or indirectly, through Third Parties. If you do receive a request or demand for a facilitating or expediting payment, such request or demand must be reported in accordance with the reporting obligations set forth below.

**Expenditures for Product Promotion and Related Activities**

It is important to note that certain expenditures, including:

- those required for travel, meals, or lodging,
- for purposes of promoting, demonstrating, or explaining products or services,
- or executing or carrying out a contract

are normally permitted, provided that the expenditures are bona fide (i.e., are true and reasonable and have a legitimate business purpose), are not made for the purpose of securing an improper advantage or improperly influencing anyone's decision on awarding or continuing business, and do not otherwise violate this or any other Amgen policy or law. All such expenditures must be reasonable in amount and consistent with Amgen's policies on expenditures of this kind in other contexts. In no event should expenditures be incurred where doubt exists as to the appropriateness of the purpose of the expense.

**Accounting Records and Internal Controls Procedures**

It is Amgen's policy to keep books and records that accurately and fairly reflect Amgen's transactions and dispositions in reasonable detail and to maintain internal controls to prevent and detect potential violations of Amgen's policies or of applicable laws and to assure control over Amgen's assets.

No false or artificial entries may be made in the books and records for any reason, and all payments and transactions, regardless of value, must be recorded accurately and comply with applicable generally accepted accounting principles and established internal accounting controls and procedures. This includes, but is not limited to, Third-Party reimbursements of previously agreed upon (i.e., pre-approved) expenses. Amgen also expects that any records provided by Third Parties to Amgen will be accurate and include reasonable detail and adequate supporting documentation. You must also ensure that all agreements are in writing and that services are properly described.

You must also watch for "red flags." What constitutes a red flag may vary depending on the payment at issue, but in general red flags may appear as payments, discounts, or commissions that are unusually structured, or are larger than is standard for the deal. These payments may not be appropriate or for legitimate business purposes.