

# CODE OF CONDUCT FOR BUSINESS PARTNERS



# MESSAGE FROM THE CEO



## Dear Affirmed Business Partner,

Affirmed has committed itself to compliance and to high ethical standards. This includes forming fair and ethical relationships with our Business Partners.

Our commitments to social responsibility, upholding human rights, respecting each other, protecting the environment, enabling fair competition, and standing against corruption are together the strategic foundation of our business and both the major principles and conditions for our corporate relationships with our Business Partners.

We expect that our Business Partners comply with applicable laws and our compliance and ethics standards. This Code of Conduct for Business Partners (the “Code”) sets out such compliance and ethics standards and our expectations in more detail. We encourage our Business Partners to review this Code carefully, share it with their employees, and to agree with their business partners on similar standards.

A handwritten signature in black ink, appearing to read 'Adi Hoess', written in a cursive style.

Adi Hoess  
CEO

# CONDUCTING ETHICAL BUSINESS



- **Our Corporate Mission and Values**
- **Complying with the Law and Business Integrity**
- **Good Operating Standards**
- **Anti-Corruption, Gifts, Entertainment & Hospitality**
- **Fair Competition**
- **Protecting Personal Data**
- **Conflict of Interest**
- **Protection of Intellectual Property**
- **Books & Records**
- **Insider Trading**
- **Anti-Money Laundering and Trade Sanctions**
- **Information Security**

# CONDUCTING ETHICAL BUSINESS

## Our Corporate Mission and Values

At Affimed, we have the vision to stop cancer from derailing patients' lives and to bring *life-changing treatments to cancer patients around the world*.

Our five corporate values – TEAMGEIST, INNOVATION, PERFORMANCE, PEOPLE, and PASSION – guide us in how we pursue our mission.

United by a common goal and committed to working together and supporting each other with loyalty and enthusiasm, we develop innovative products to be successful and profitable. The people and partners who work for and with Affimed and the passion with which they achieve exceptional results are key contributors to our success.

## Complying with the Law and Business Integrity

We consider compliance with all applicable laws, rules, and regulations as an obvious minimum standard. No third party with whom Affimed has entered into or seeks to enter into a contractual relationship, including but not limited to all suppliers (hereinafter collectively a "Business Partner") shall commit or participate in an illegal act. This is the only way in which a trusting and long-term business relationship with Affimed can grow.

To safeguard this principle, we carry out a risk-based integrity check on our Business Partners before entering a contract. All third-parties who perform business on behalf of Affimed are selected and engaged in strict compliance with this Code of Conduct for Business Partner, the Affimed Code of Conduct and all relevant internal procedures (SOPs).

Our Business Partners shall ensure that their employees and, where applicable, their business partners are properly trained and meet the Affimed standards set out herein.

# CONDUCTING ETHICAL BUSINESS

## Good Operating Standards

Our objective is to develop safe and effective products for patients based on the highest quality standards. We are committed to meeting, and strive to exceed, the regulatory requirements for patient safety and product quality in all our activities.

When engaged in clinical trials on behalf of Affimed, our Business Partners shall work in accordance with the global standards of Good Clinical Practices, applicable local regulatory requirements, and ethical principles. Suppliers involved in the supply, manufacturing, packaging, testing, storage, and distribution of materials and/or products used for or involved in clinical trials on Affimed's behalf shall ensure compliance with applicable Quality regulations and all applicable good manufacturing practice and good laboratory practice ("GxP") requirements.

## Anti-Corruption, Gifts, Entertainment & Hospitality

Affimed strictly prohibits all forms of bribery or corruption. Affimed employees must avoid even the appearance of improper influence and are bound by Affimed's Gifts, Entertainment & Hospitality Policy.

No Business Partner working on behalf of or for Affimed may offer or grant Affimed employees (or other third parties involved in any Affimed business) benefits that are not in line with Affimed's Gifts, Entertainment & Hospitality Policy.

If a Business Partner is in doubt, it is encouraged to contact Affimed's compliance function before promising or granting a benefit (see section "Reporting Violations and asking Questions" below).

When interacting with Healthcare Professionals ("HCPs") or other public officials, Business Partners need to be particularly cautious. All relationships with HCPs should be aligned with the applicable laws and regulations and meet the highest ethical and professional standards.

# CONDUCTING ETHICAL BUSINESS

## Fair Competition

Businesses may only grow and develop on the basis of fair competitive practices. Our Business Partners shall commit to fair and unrestricted competition as a core element of a free economy. They shall refrain from entering into illegitimate restrictive agreements or practices with competitors, suppliers, distributors, retailers, and customers and shall not share sensitive information with competitors.

## Protecting Personal Data

When collecting, storing, processing, or transferring personal data relating to employees, patients or other third parties, our Business Partners shall take the highest care and maintain strict confidentiality, while also observing all applicable laws and rules.

## Conflict of Interest

Affimed's reputation heavily depends on the integrity of our employees and our Business Partners and on the independence of their decision-making. It is imperative that Affimed employees and Business Partners avoid any relationship or activity that might impair, or even appear to impair, the ability to make objective and fair decisions.

Business Partners who are affected by a potential or actual conflict of interest in their activities in relation to Affimed are obliged to disclose the conflict according to the procedures set forth below under Reporting Violations and Asking Questions and resolve it promptly.

# CONDUCTING ETHICAL BUSINESS

## **Protection of Intellectual Property**

Our intellectual property is vital to driving innovation, our mission and business success. We own numerous patents and other intellectual property rights. They are among the company's most important assets and need to be strictly protected. The protection of intellectual property and other sensitive scientific data is of particular importance to Affimed and is therefore also expected from our Business Partners.

## **Books & Records**

Accurate and truthful reporting is part of open and effective cooperation. Our Business Partners shall conduct their business, store documents, and perform financial reporting with integrity and in accordance with proper accounting principles. Data records and other reports must always be complete, accurate and timely.

## **Insider Trading**

Insider trading occurs when securities of a given company are being traded based on material, non-public information about Affimed. If such material, non-public information becomes known to our Business Partners, then they are restricted from trading in Affimed securities. For details on Affimed's insider trading rules, please see our Insider Trading Policy.

# CONDUCTING ETHICAL BUSINESS

## **Anti-Money Laundering and Trade Sanctions**

Compliance with all applicable foreign trade laws, regulations and boycott lists is a basic principle for globally operating companies and expected from all Affirmed Business Partners. They shall also comply with all relevant laws and regulations relating to anti-money laundering

## **Information Security**

We use information systems to capture and store a variety of information including study data, research data, patient information, financial records, and other types of information.

Our Business Partners shall protect confidential information from unauthorized disclosure or misuse. They shall ensure that confidential information and data are stored carefully, and that information is not forwarded or made available to unauthorized persons and is only used for the agreed business purposes. If confidential information is accidentally disclosed to unauthorized persons, the Business Partners are advised to inform us promptly.

# SUSTAINABILITY AND SOCIAL RESPONSIBILITY



- Fair Working Conditions
- Diversity and Anti-Discrimination
- Health and Safety
- Human Rights
- Treatment of Animals for Research Purposes
- Environmental Protection

# SUSTAINABILITY AND SOCIAL RESPONSIBILITY

## **Fair Working Conditions**

We expect our Business Partners to comply with national and international labor laws, to provide a harassment-free workplace, and to protect employees from any form of abuse and unethical treatment. Also, Business Partners must grant their employees remuneration and benefits that are legal, adequate, and, where applicable, at collectively agreed levels.

## **Diversity and Anti-Discrimination**

At Affimed, we value the diversity of our employees, which is also an important driver for ideas and innovation. We create a culture of appreciation and respect. We don't tolerate any form of discrimination, harassment, or bullying. We also expect our Business Partners to respect diversity and equal opportunities in employment, the personal dignity, privacy, and personal rights of every individual regardless of their origin, ethnic backgrounds, cultures, religions, ages, disabilities, races, sexual identity, world view, and gender and to refrain from any form of discrimination or bullying.

# SUSTAINABILITY AND SOCIAL RESPONSIBILITY

## Health and Safety

Business Partners shall protect their employees from unhealthy exposure to chemical, biological and physical hazards. We expect our Business Partners to operate in compliance with all applicable health and safety regulations and to ensure that a safety management system prevents employees from work-related personal injuries.

## Human Rights

We are committed to respecting the human rights of our employees and treating employees with dignity and respect. All Business Partners are expected to observe the principles set out in our Human Rights Policy. Our Business Partners shall accordingly respect and support the protection of universally recognized human rights and ensure that they are not complicit in violations of human rights.

# SUSTAINABILITY AND SOCIAL RESPONSIBILITY

## **Treatment of Animals for Research Purposes**

The ethical and respectful treatment of research animals is very important. All Business Partners who are involved in keeping animals or developing and conducting animal studies shall ensure the best possible environment for those animals, shall comply with all applicable regulations and the highest standards, and shall use alternatives wherever scientifically valid and acceptable to regulators.

## **Environmental Protection**

For the good of our planet and future generations, we act as stewards of our environment. Environment protection, climate protection, and the responsible use of natural resources are an important part of our Business Partners' responsibility. Our Business Partners shall meet or exceed all applicable legal and regulatory standards regarding environmental protection. We expect that our Business Partners responsibly use and source natural resources.

# COMPLYING WITH THIS CODE



- **Scope**
- **Reporting Violations and asking Questions**
- **Consequences of Compliance Violations**
- **Amendments and Waivers**

# COMPLYING WITH THIS CODE

## Scope

This Code applies to all Business Partners, including but not limited to suppliers, contract research organizations, contract manufacturers, and other partners with whom Affimed conducts business. All Business Partners are required to familiarize themselves with this Code and comply with its provisions. The Code is to be read together with Affimed's Code of Conduct and Affimed's aforementioned Policies, (Insider Trading Policy, Human Rights Policy, EHS Policy) .

# COMPLYING WITH THIS CODE

## Reporting Violations and asking Questions

At Affimed, everyone, including Business Partners, is encouraged to speak up, to ask questions, or to report concerns regarding non-compliance or non-ethical conduct. Reports are treated in strict confidentiality and can be made in person or anonymously through any of the various available communication channels.

Please address any reports to:

**Susanne Spieler**

Compliance Officer

Phone: + 49 6221 6743 0

Mail: [compliance@affimed.com](mailto:compliance@affimed.com)

**Polya Ivanova**

Senior Corporate Compliance Manager

Phone: + 49 6221 6743 0

Mail: [compliance@affimed.com](mailto:compliance@affimed.com)

or to Affimed's internet-based, anonymous communication channel (available in multiple languages):

**[Integrity Line](#)**

or to any pertinent governmental authority.

Our [Integrity Line](#) is open to all Employees, business partners and other stakeholders and ensures full anonymity for all, who report a Compliance case. Affimed carefully investigates all reports of misconduct.

# COMPLYING WITH THIS CODE

## Consequences of Compliance Violations

This Code is the basis for all relationships between Affimed and its Business Partners.

Violations of this Code, or other applicable laws, regulations, or policies can result in very severe consequences for Affimed, its employees, or Business Partners, including fines, imprisonment, damages, financial losses, loss of licenses, or reputational damage.

In the event of potential violations of this Code, Affimed, where appropriate, will work together with the Business Partner to find a resolution. In severe cases or where situations cannot be resolved, Affimed reserves the right to pursue all available legal or equitable remedies, including terminating the relevant contract with the Business Partner, claiming damages, or, where appropriate, taking other actions.

## Amendments and Waivers

Affimed will periodically update this Code. Any waivers of provisions of this Code of Conduct for Business Partners may only be granted by Affimed's Compliance Officer with the prior consultation of the Compliance Committee.