

Standard for Suppliers

ultragenyx
pharmaceutical



- Contents

Introduction	2
Purpose	3
Integrity and Compliance with Laws	4
Anti-Corruption	5
Business Records and Accounting	6
Fair Competition and Antitrust	6
Trade Controls	6
Debarment	7
Public Sector Procurement	7
Sanctions	8
Intellectual Property and Protection of Information	8
Animal Welfare	8
Fair Marketing and Sales Practices	9
Conflicts of Interest	9
Labor Standards	10
Freely Chosen Employment	11
Lawful Employment and Freedom of Association	11
Non-Discrimination	12
Safe Conditions	12
Global Pandemic Preparedness	12
Human Rights	13
Harassment, Harsh or Inhumane Treatment	14
Conflict Minerals	15
Stewardship	16
Environmental Responsibilities	17
Regulated Substances	17
Community Involvement	17
Raising Concerns	18



Introduction

At Ultragenyx, we work to make a difference in the lives of rare disease patients. In conjunction with our mission and ongoing commitment to sustainability and social impact, this Ultragenyx Standard for Suppliers (“Standard”) describes the expectations of Ultragenyx Pharmaceutical and its Affiliates (“Ultragenyx”) for how our Suppliers act when conducting business with Ultragenyx.



Purpose

Suppliers are independent entities, but their actions could directly impact Ultragenyx; therefore, Ultragenyx expects Suppliers to adhere to this Standard. This Standard ensures all commitments to purchase goods and/or services are conducted in a consistent manner and reinforces Ultragenyx's focus on Integrity and Compliance, Labor Standards, Human Rights and Stewardship.



The term "Suppliers" refers collectively to: suppliers, manufacturers, distributors, vendors, contractors, subcontractors, agents, consultants and providers of goods and services and their employees, or anyone working on behalf of Ultragenyx.

Ultragenyx deals fairly, responsibly and ethically with Suppliers; we expect our Suppliers to demonstrate those same practices and comply with applicable laws, including but not limited to the standards set forth in the California Transparency in Supply Chain Act. Good Manufacturing (GMP), Good Clinical (GCP), and Good Laboratory Practices (GLP) (collectively GxP practices) must be followed where applicable. Our Suppliers must comply with all applicable laws, rules, regulations and ethical standards of the countries in which they operate or do business. We also expect our Suppliers to base their decision on customary

and reasonable commercial and technical considerations.

This Standard for Suppliers is based on recognized international standards, including the International Labor Organization, Universal Declaration of Human Rights, and industry best practices. It defines the standards to which our suppliers should adhere. This Standard is not a substitute for national laws, legal agreements between Ultragenyx and Suppliers, or other laws and agreements of consent. If there is an agreement between Ultragenyx and a Supplier, the existing agreement's terms and requirements govern and control the relationship.



Suppliers will provide reasonable assistance to and will cooperate with any investigation or audit by Ultragenyx, including of an alleged or suspected violation of this Standard or of an alleged or suspected violation by an Ultragenyx employee of Ultragenyx's Code of Conduct.



Integrity & Compliance with Laws

Ultragenyx expects Suppliers to commit to operating in full compliance with all applicable laws and regulations that govern the goods and services being provided to Ultragenyx and to their business operations.



Ultragenyx expects Suppliers to:

- Adhere to the highest standards of moral and ethical conduct
- Comply with applicable laws and regulations
- Refrain from engaging in any form of corrupt practices
- Keep complete and accurate books and records
- Comply with all applicable competition and antitrust laws and regulations
- Comply with all applicable trade laws
- Comply with all laws, rules, procurement regulations and contract clauses that relate to the acquisition of goods and services by Government Customers
- Not be debarred or proposed for debarment, nor at any time use the services of any person debarred or proposed for debarment
- Not be designated on any list of sanctioned parties maintained by the U.S. government
- Respect intellectual property rights, protect confidential information, and comply with privacy rules and regulations
- Strive to ensure animals are treated respectfully

- Anti-Corruption —

Ultragenyx expects Suppliers to adhere to the highest standards of moral and ethical conduct, to respect and comply with local laws, and not engage in any form of corrupt practices, including but not limited to extortion, fraud or bribery.

Suppliers will comply with all applicable anti-bribery and anti-money-laundering laws. All forms of bribery, kickbacks, gratuities and other corruption are prohibited. Suppliers are strictly prohibited from promising, offering, authorizing, giving or accepting anything of value, either directly or indirectly through a third party, in order to obtain or retain business, direct business to any person or entity, or otherwise gain or appear to gain an improper advantage. Suppliers will not improperly influence any act or decision of any government official, employee or political candidate, including, without limitation, through the provision of any improper or unlawful gifts, meals, travel or entertainment. Suppliers will fully comply with any rules regarding tender and bid processes, and may not offer employment to government employees or officials or their family members or close associates if doing so would violate applicable laws or could be considered to be an improper benefit in order to secure official actions.

- Business Records and Accounting —

Ultragenyx expects its Suppliers to keep complete and accurate books and records regarding sales of products to Ultragenyx and any and all transactions or other expenditures with respect to any Ultragenyx-related business, including but not limited to all test results, reports, notebooks, correspondence, memoranda, books, records, and documents and any evidence pertaining to costs, charges, fees and other expenses incurred in connection with the services and work product.

Suppliers are strictly prohibited from engaging in false and/or misleading accounting practices, including but not limited to creating “slush funds,” cash accounts, unaccounted cash funds or similar improper financial practices. Ultragenyx expects its Suppliers will provide reasonable assistance to and will cooperate with any audit and inspection of any facility or part of a facility. Suppliers are expected to exercise best efforts to take all reasonable steps requested by Ultragenyx to cure deficiencies.

- Fair Competition and Antitrust —

Ultragenyx expects its Suppliers will comply with all applicable competition and antitrust laws and regulations.

Suppliers will only use legal means to gather information about Ultragenyx’s competitors. In addition to adherence to applicable laws and regulations, Suppliers must not discuss or agree with any competitors to:

- a) Fix or control prices
- b) Coordinate during a bidding process
- c) Boycott suppliers or customers
- d) Divide or allocate markets, territories, products, customers or suppliers
- e) Limit the production or sale of products or product lines

- Trade Controls —

Ultragenyx expects its Suppliers will strictly comply with all applicable trade laws, including the laws of the United States that control the import, export and re-export of Ultragenyx products and information, and laws that restrict dealings with entities and individuals located in countries subject to trade embargoes or economic sanctions.

Suppliers must disclose to Ultragenyx any activities that it engages in on behalf of Ultragenyx that are subject to export control laws of the United States.



Our Suppliers must comply with all applicable laws, rules, regulations and ethical standards of the countries in which they operate or do business.

- Debarment

Suppliers must not be and must not at any time use, in any capacity, in connection with the supply of its goods and/or performance of its services, the services of any person debarred or proposed for debarment under

- a) Title 21 of the U.S. Code, Subsections 335 (a) or (b)
- b) Subsections 306 (a) or (b) of the U.S. Federal Food, Drug and Cosmetic Act
- c) The Specifically Designated Nationals and Blocked Persons List maintained by the U.S. Treasury
- d) The United Nations Security Sanctions List
- e) The System for Award Management Exclusion Extract List
- f) The U.S. FDA Debarment List
- g) Otherwise disqualified or suspended from performing clinical research study, excluded from participation in any U.S. federal health care program, or otherwise subject to any restrictions or sanctions by the U.S. Food and Drug Administration or any other regulatory authority or professional body with respect to the performance of scientific or clinical investigations

Suppliers must not be and must not use any person in any capacity to perform any services for or on behalf of Ultragenyx, that is listed on any Government Restriction Lists, including the OIG "List of Excluded Individuals/Entities" and the U.S. General Service Administration "Excluded Parties List System."

Suppliers shall screen all personnel that work with Ultragenyx or on Ultragenyx-related work on any matters to ensure compliance with the above requirements. Confirmation of these processes and reasonable demonstration of compliance should be made available in a timely manner upon request by Ultragenyx.

- Public Sector Procurement

Activities that may be appropriate when dealing with non-public sector or non-government customers may be improper and even illegal when dealing with government entities, government-owned entities, government-controlled entities, or entities subject to government procurement rules ("Government Customers").

Ultragenyx expects Suppliers doing business with Government Customers will comply with all laws, rules, procurement regulations and contract clauses that relate to the direct or indirect acquisition of goods and services by such Government Customers, including marketing or recommendations of Ultragenyx products and/or services.



Ultragenyx deals fairly, responsibly and ethically with Suppliers.

- Sanctions

Suppliers must not be designated on any list of sanctioned parties maintained by the U.S. government, including, without limitation, the Specially Designated Nationals and Blocked Persons List (SDN) and the Foreign Sanctions Evaders List (FSE), maintained by the U.S. Department of the Treasury. Suppliers must also not own, directly or indirectly, a 50% or greater interest, individually or collectively, in a company impacted by these lists.

- Intellectual Property and Protection of Information

Ultragenyx expects Suppliers will respect intellectual property rights, protect confidential information, and comply with privacy rules and regulations.

Suppliers will only use information technology and software that has been legitimately acquired and licensed and that it has express rights to use. Suppliers will comply with all applicable privacy and data protection laws and regulations, including but not limited to national, federal, state, local and industry- or sector-specific laws or regulations. Suppliers will only process personal data as necessary to perform its services. Suppliers will maintain the confidentiality of any confidential information and any other proprietary information that is received during the course of the business relationship with Ultragenyx.

- Animal Welfare

Applicable Suppliers shall strive to ensure animals are treated respectfully, while minimizing pain and stress. Animal testing should be performed after consideration to replace animals, reduce the number of animals used or refine procedures to minimize distress. Alternatives should be used wherever scientifically valid and acceptable to regulators. Additionally, Suppliers will comply with all applicable regulations and guidelines regarding the care and use of animals in the performance of the services, including the requirements of the U.S. Department of Agriculture's Animal Plant and Health Inspection Service ("APHIS") and APHIS's registration and license requirements pertaining to the use of animals in research, and/or European Union Directive 2010/63/EU pertaining to the use of animals for scientific research.



Suppliers will maintain the confidentiality of any confidential information and any other proprietary information that is received during the course of the business relationship with Ultragenyx.

- Fair Marketing and Sales Practices —

Ultragenyx expects Suppliers' marketing and sales practices to reflect a commitment to honest and fair dealings with their current and potential customers.

Suppliers are not to:

- a) Engage in any misleading or deceptive practices
- b) Misrepresent products, services and prices
- c) Make unfair, misleading, inaccurate or false claims about, or comparisons with, competitor offerings

If a Supplier is, with Ultragenyx's prior written approval, engaged in any advertising, marketing or promotional activities that reference or implicate Ultragenyx or its name, logo or services in any manner, the advertising, marketing or promotional activities will comply with all laws, rules and regulations, and must be truthful and accurate.



- Conflicts of Interest —

Ultragenyx expects Suppliers will be transparent about any interests, activities or relationships that might conflict (or appear to conflict) with the best interest of Ultragenyx, and will not engage in any activity that would interfere with or may reasonably be perceived to interfere with Suppliers' contractual responsibilities to Ultragenyx.

Conflicts that must be promptly disclosed to Ultragenyx may include (but are not limited to) Ultragenyx personnel being the Supplier's officer, director, shareholder or other close personal relationships between Supplier and Ultragenyx personnel, or payment of incentives to Ultragenyx personnel. Suppliers must disclose both personal and organizational conflicts of interests.



Suppliers must disclose both personal and organizational conflicts of interests.



Labor Standards

Ultragenyx is committed to maintaining a work environment that values inclusion, equity, diversity, respect and integrity. We expect Suppliers to share the Ultragenyx commitment to fair treatment and equal opportunity in the workplace, in accordance with all applicable labor and employment laws and regulations.

- Freely Chosen Employment

Employment with Suppliers must be an expression of free choice and there should be no forced, bonded or involuntary labor, or slavery or trafficking of persons.

Suppliers must allow workers to discontinue employment upon reasonable notice. Suppliers must not hold or otherwise destroy, conceal, confiscate or deny access by employees to their identity or immigration documents, such as passports, work permits or government-issued identification. Suppliers must also abide by local minimum wage and maximum working hours requirements.

Suppliers are strictly forbidden from employing child labor.



Child Labor includes:

- a) Children under the minimum age of employment permitted by the law of the country or countries where the performance, in whole or in part, of a contract takes place, or the age of the end of compulsory schooling in that country or countries, whichever is higher
- b) Persons under the age of 18 for work that, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of such persons

- Lawful Employment and Freedom of Association

Ultragenyx expects Suppliers, prior to employing any worker, to validate and review all relevant documentation to ensure that such worker has the legal right to work in that jurisdiction.

Suppliers are expected to respect the legal rights of employees to join or to refrain from joining worker organizations, including trade unions.



- Non-Discrimination

Suppliers will not unlawfully discriminate in any employment decisions, including hiring, compensation, promotion, discipline or termination, based on age, ancestry, color, gender (including pregnancy, childbirth or related medical conditions), gender identity or expression, genetic information, marital status, medical condition, mental or physical disability, national origin, protected family care or medical leave status, race, religion (including beliefs and practices or the absence thereof), sexual orientation, military or veteran status, or any other considerations protected by applicable law where the performance, in whole or in part, of a contract takes place.

- Safe Conditions

Ultragenyx expects Suppliers to ensure, so far as is reasonably practicable and in accordance with applicable law, that:

- a) The workplaces, machinery, equipment and processes under their control are safe and without health risk
- b) The chemical, physical and biological substances and agents under their control are without risk to health when the appropriate measures of protection are taken
- c) Adequate protective clothing and protective equipment are provided where necessary to reduce and prevent risk of accidents or adverse effects to health

- Global Pandemic Preparedness

In the event of a global pandemic, Ultragenyx develops a specific emergency response plan. Ultragenyx urges all its Suppliers to also develop a response plan.

A sound business continuity plan and preparedness plan is prudent management and helps minimize disruption to our supply chain.





Human Rights

Ultragenyx expects Suppliers to support and respect the protection of internationally proclaimed human rights and ensure they are not complicit in human rights abuses.



Human Rights include, but are not limited to:

- Everyone has the right to life, liberty and security of person
- No one shall be subjected to torture or cruel, inhuman or degrading treatment or punishment
- Everyone has the right to recognition everywhere as a person before the law
- Everyone has the right to freedom of opinion and expression
- Everyone has the right to freedom of peaceful assembly and association
- Everyone has the right to work, to free choice of employment, to just and favorable conditions of work
- Everyone, without any discrimination, has the right to equal pay for equal work
- Everyone has the right to form and to join trade unions
- everyone has the right to education

For more on human rights, please see the Universal Declaration of Human Rights, which was proclaimed by the United Nations General Assembly in Paris in 1948 as a common standard of achievements for all peoples and all nations. It sets out fundamental human rights to be universally protected and has been translated into over 500 languages.

- Harassment, Harsh or Inhumane Treatment

Ultragenyx expects Suppliers to create and maintain an environment that treats all employees with dignity and respect.

Ultragenyx further expects Suppliers, their parent, subsidiary and affiliated entities as well as any subcontractors, will neither use nor engage in, nor allow their employees or other persons engaged by them to use or engage in, any:

- a) Threats of violence
- b) Verbal or psychological harassment or abuse
- c) Sexual exploitation and abuse

Sexual exploitation and abuse violate universally recognized international legal norms and standards and have always been unacceptable behavior and prohibited conduct for Ultragenyx.



- Conflict Minerals —

Suppliers shall determine whether the products they sell to Ultragenyx contain any tantalum, tin, tungsten and/or gold, and if so, whether these minerals directly or indirectly financed or benefited armed groups that are perpetrators of human rights abuses in certain conflict regions, such as the Democratic Republic of Congo ("DRC").

Suppliers shall perform due diligence on the source and chain of custody of these minerals and make their due diligence available to Ultragenyx upon request. Suppliers shall also assist Ultragenyx with its due diligence efforts regarding these minerals upon request
Suppliers



Disclosing the Use of Conflict Minerals to the U.S. Securities and Exchange Commission

In 2010, the U.S. Congress passed the Dodd-Frank Act ("Act"), which directs the Securities and Exchange Commission to issue rules requiring certain companies to disclose their use of conflict minerals if those minerals are "necessary to the functionality or production of a product" manufactured by those companies. Under the Act, those minerals include tantalum, tin, gold or tungsten.

Congress enacted Section 1502 of the Act because of concerns that the exploitation and trade of conflict minerals by armed groups is helping to finance conflict in the DRC region and is contributing to an emergency humanitarian crisis. Section 1502 of the Act amends the Securities and Exchange Act of 1934 to add Section 13(p).



Stewardship

Ultragenyx is committed to being a good steward of our environment, a good neighbor to our communities and a partner with our suppliers.



- Environmental Responsibility —

Ultragenyx is committed to protecting and respecting our environment. We expect our Suppliers to follow all applicable environmental laws, regulations and standards.

This includes, where applicable, requirements for chemical and waste management and disposal, recycling, industrial wastewater treatment and discharge, air emissions controls, environmental permits and environmental reporting. Suppliers should have their own environmental management system, as feasible, including quantifiable goals to reduce environmental impact and greenhouse gas (GHG) emissions, and minimize waste, energy consumption and the use of materials of concern as well as adopt measures and controls, including audits, reporting and training. Suppliers should, wherever possible, support a precautionary approach to environmental matters, undertake initiatives to promote greater environmental responsibility, and encourage the diffusion of environmentally preferable technologies implementing sound life-cycle practices.



Suppliers should, wherever possible, support a precautionary approach to environmental matters.

- Regulated Substances —

Suppliers shall comply with Ultragenyx's specifications for regulated substances applicable to goods provided to Ultragenyx.

Suppliers shall also have adequate systems designed to identify and disclose to Ultragenyx all chemicals in their products and product sub-components that are regulated by the governments and/or competent authorities in the regions where they are being used.

- Supplier Diversity —

Suppliers shall endeavor to include small and socio-economically diverse suppliers, such as

- a) Minority-owned (MBE)
- b) Women-owned (WBE)
- c) Disability-owned (DBE),
- d) Veteran-owned (VBE),
- e) Disabled veteran-owned (DVBE)
- f) Service disabled veteran-owned
- g) Lesbian/gay/bisexual/transgender-owned (LGBTQ)
- h) Other small businesses (SBA)

in sourcing subcontracting activities where possible.

- Community Involvement —

Ultragenyx seeks to work with Suppliers who share our commitment to social and economic development and the sustainability of the communities we serve. Therefore, **we encourage Suppliers to engage proactively and positively with their communities.**

-Raising Concerns—

Suppliers are encouraged to contact their primary Ultragenyx team member to resolve business or compliance concerns. In addition, Ultragenyx Suppliers and other stakeholders may report suspected violations anonymously and/or confidentially to the Compliance Hotline, accessible at:



www.openboard.info/RARE



RARE@openboard.info



866-862-3064

ultragenyx

© 2022