

## **LONZA'S SAFE HARBOR PRIVACY STATEMENT**

Lonza Group Ltd and its wholly owned U.S. subsidiaries, including Lonza America Inc. (referred to collectively herein as "Lonza"), are strongly committed to protecting the privacy of those who entrust Lonza with their personal information. Our employees, and all those who do business with us, trust and expect that we will protect their personal information in accordance with the promises we make. Lonza complies with the U.S.-EU Safe Harbor Framework and the U.S.-Swiss Safe Harbor Framework as set forth by the U.S. Department of Commerce regarding the collection, use, and retention of personal information from European Union member countries and Switzerland. Lonza has certified that it adheres to the Safe Harbor Privacy Principles of notice, choice, data integrity, transfer to third parties, access and correction, security, and enforcement: <http://safeharbor.export.gov/list.aspx>.

### **Scope**

This Safe Harbor Privacy Statement sets forth how Lonza handles information transferred from countries in the European Union ("EU"), European Economic Area ("EEA") and Switzerland to the United States of America ("US") on behalf of Lonza. This can include Personal Information (as defined below) collected from employees, customers, suppliers, business partners, investors and shareholders, and transferred via on-line, off-line, written or oral methods.

"Personal Information" means information that can directly or indirectly lead to the identification of a living person, such as an individual's name, address, e-mail, telephone number, license number, medical identification number, photograph, or other identifying characteristic. The identification can occur by reference to one or more factors specific to the individual's physical, physiological, mental, economic, cultural or social identity. Personal information does not include information that has been made anonymous, encoded or otherwise stripped of its identifiers, or information that is publicly available, unless combined with other non-public personal information.

### **About the Safe Harbor**

The Safe Harbor program was jointly established in June 2000 by the US Department of Commerce and the European Commission, as a method for transferring personal information from the EU, to companies in the US. The program is a voluntary self-certification process for companies operating in the US. Companies that certify represent that they are upholding privacy standards for personal information received from the EU that have been jointly accepted by the European Commission and the US Department of Commerce. A similar program was established with Switzerland in 2009. The standards of these programs exceed current US privacy standards.

### **Notice**

Lonza will inform individuals about the purposes for which we collect and use Personal Information about them, how to contact us, the types of third parties with whom we may share Personal Information (if applicable), and ways to limit the use and disclosure of such information. This notice will be provided when individuals are first asked to provide Personal Information or as soon thereafter as is practicable.

### **Choice**

As required by law, Lonza will offer an individual the opportunity to choose (opt-out) whether Personal Information about them is processed for purposes other than those for which the information was originally collected or subsequently authorized by the individual.

For most sensitive Personal Information, Lonza will give an individual an affirmative or explicit (opt-in) choice if the information is to be used for a purpose other than those for which it was originally collected or subsequently authorized by the individual.

## **Data Integrity**

Lonza will only use and share Personal Information about individuals in a way that is consistent with the purposes for which the information was collected or subsequently authorized by those individuals. To the extent necessary for those purposes, Lonza will take reasonable steps to ensure that the information is accurate, complete, and current.

## **Transfer to third parties**

Lonza will only transfer Personal Information from the EU and Switzerland to third-parties where the third-party (a) has provided satisfactory assurances to Lonza that it will protect the information consistently with this Statement; or (b) is located in the EU, Switzerland or a country considered "adequate" for privacy by the EU Commission and the Swiss Federal Data Protection Commissioner, and therefore is required to comply with the EU and Swiss data protection laws or substantially equivalent privacy laws; or (c) the third-party has also certified to the Safe Harbor Framework, and is accordingly independently responsible for complying with it.

## **Access and correction**

Lonza will provide individuals with reasonable access to Personal Information about them and they may request the correction or amendment of Personal Information that they demonstrate to be incorrect or incomplete.

## **Security**

Lonza will take reasonable precautions to protect Personal Information from loss, misuse and unauthorized access, disclosure, alteration and destruction.

## **Enforcement**

Lonza has put in place mechanisms to verify our ongoing adherence to these privacy principles. We encourage individuals covered by this statement to raise any concerns that they have about the way we process their Personal Information by contacting us at address below, and we will do our best to resolve them. Lonza has also agreed to participate in the dispute resolution program provided by the European Data Protection Authorities and the Swiss Federal Data Protection Commissioner.

## **Contact information**

Initial questions, comments or complaints regarding collection and processing of your information should be directed to Lonza's Privacy Officer:

Mr. Walter Fux  
Lonza AG  
Münchensteinerstrasse 38  
CH - 4002 Basel  
Tel. : +41 61 316 8282  
Fax : +41 61 316 9282  
Email: [privacyofficer@lonza.com](mailto:privacyofficer@lonza.com)  
<http://www.lonza.com>

Questions, comments or complaints regarding Lonza's Safe Harbor Statement or program can be submitted to:

Lonza America Inc. and its subsidiaries  
90 Boroline Road  
Allendale, New Jersey- 07401  
Phone: 201-316-9481  
Fax: 201-696-3562

Contact Office: Director, N.A. Employee Services  
Name: Ms. Lorraine Mercede  
Phone: 201-683-2919  
Email : [lorraine.mercede@lonza.com](mailto:lorraine.mercede@lonza.com)

**Changes to this Statement and limitation**

This Statement may be amended from time to time, consistent with the requirements of the Safe Harbor.

Adherence to these privacy principles contained herein may be limited to the extent required to meet a legal, governmental, national security or public interest obligation.

Basel, March 10, 2015