



Commitment to a Cure

**2023 Environmental, Social
& Governance Report**

March 2024

[celectis.com](https://www.celectis.com)



Important Legal Information

Statements in this report that are not statements of historical fact are forward-looking statements that involve a number of risks and uncertainties. Such forward-looking statements may be identified by words such as believe, goal, plan, potential, future, may, will, could, expect, seek, commit, and design, and include, among other things, statements about Collectis' mission, plans, goals, assets, and programs.

Actual events or results may differ materially from Collectis' expectations. Factors that could cause actual results to differ materially from the forward-looking statements are disclosed in Collectis' annual report on Form 20-F and the financial report (including the management report) for the year ended December 31, 2023 and subsequent filings Collectis makes with the Securities Exchange Commission from time to time, as well as other known and unknown risks and uncertainties may adversely affect such forward-looking statements and cause our actual results, performance or achievements to be materially different from those expressed or implied by the forward-looking statements. Except as required by law, we assume no obligation to update these forward-looking statements publicly, or to update the reasons why actual results could differ materially from those anticipated in the forward-looking statements, even if new information becomes available in the future.

Collectis and TALEN are registered trademarks owned by Collectis.



Summary

- 4 A Letter from André Choulika
- 5 Who We Are
- 10 Our Commitment to a Cure
- 15 Inclusion Is at the Core of our DNA
- 28 Protecting the Planet
- 37 Corporate Governance & ESG Oversight
- 38 SASB Reporting Progress



A Letter from André Choulika

For more than 24 years, Collectis has been advancing its pioneering, gene-editing platform to develop cell and gene therapies to find a cure for patients with unmet medical needs. We are innovators and gamechangers in our field and revolutionizing medicine by breaking paradigms is at the core of our DNA.

Collectis is made of talented and dedicated people driven by the passion to innovate. Collectively, we are deeply committed and organized to advance our product candidates to patients to improve their health and quality of life. We take this responsibility very seriously and we are committed to continuous improvements in each of our key pillars:

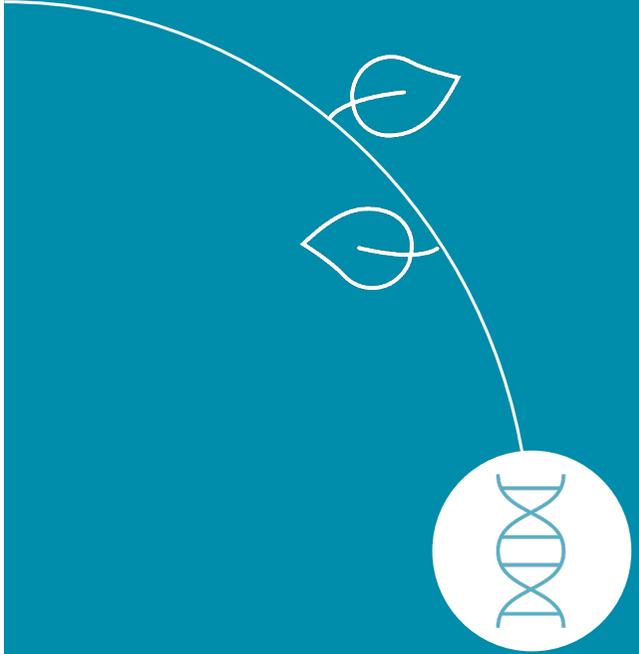
- **Commitment to a Cure:** we are addressing the underlying causes of genetic diseases and curing cancer, providing the best products possible, to save the life of patients with unmet medical needs.

- **Inclusion Is at the Core of our DNA:** Collectis is a global, company with dedicated employees who bring their passion, diverse set of expertise, background and lives. We are building an equitable and inclusive environment where everyone can be themselves to reach their potential and personal accomplishment.
- **Protecting the Planet:** like we do for patients, we believe in improving the health of the world around us is improving the quality of life, this is why we are identifying initiatives to reduce our imprint and prioritize sustainable practices.
- **Corporate Governance:** we are convinced that strong governance is driven by transparency, integrity and humbleness in all our actions. We will continue to advance on strongest ethics, compliance and legal standards.

We are grateful for the many people of Collectis that have made the successes outlined in this report possible.



With gratitude,
André Choulika, Ph.D.
Chief Executive Officer



Who We Are

We Are Collectis and We Edit Lives

For over 24 years, Collectis has been committed to addressing the underlying cause of genetic diseases and curing cancer.

We believe that Collectis' gene-editing technologies, such as **TALEN®**, are amongst the most mature, efficient and precise gene editors for human therapeutic applications.

We are pioneers and a company of many “**firsts**”, translating gene-editing technologies into potentially life-saving therapies and inventing the allogeneic approach to CAR T.

With our in-house manufacturing facilities, we are one of the few companies capable of developing an innovative new therapeutic from idea to GMP manufacturing and clinical trials – all with in-house capabilities.

We are constantly improving our processes and products because we believe in making the best products possible – with zero compromise on safety and quality.

**At Collectis, we are committed to a cure and we believe
that no patient should wait to be treated**



Collectis Is a Leading End-to-End Cell and Gene Therapy Company



Allogeneic CAR T

Heme-Onc
8 Products in Clinical
Development*

Solid Tumors
3 Preclinical Assets with *in vivo*
Proof-of-Concept



Gene Therapy

**Hematopoietic Stem Cell Gene
Surgery**
Sickle Cell Disease
Lysosomal Storage Disorders

***In vivo* Gene Editing**
Liver Disorders



Gene Editing Platform

**Best-In-Class Gene Editing
Platform**
Safe, Precise & Efficient

.HEAL
by collectis



* Includes 5 clinical trials sponsored by Collectis' licensed partners

Collectis at a Glance



3 Clinical Trials

70+ patients dosed in
Collectis-sponsored trials



**Global GMP
Facilities**

End-to-end manufacturing
autonomy



**Near-Term Clinical
Catalysts**

UCART clinical data updates



\$[X]M

*as of **December 31, 2023**

Cash Runway into 2026

Diversified Partnerships with Industry Leaders



~220 patients dosed to date

- Revenues > **\$6B** in milestones + royalties
- **5 clinical trials** sponsored by Collectis' licensed partners

AstraZeneca



Allogene[®]
THERAPEUTICS

IOVANCE



* Cash position includes cash, cash equivalents and restricted cash. Restricted cash was \$5 million as of September 30, 2023.

TALEN[®] Is the Most Precise Tool Existing in the Gene Editing Field



Collectis' UCART platform can be used with any gene editing tool

We have chosen TALEN[®] as we believe it's the best existing gene editing tool available, that can make very precise edits, with limited to no off-target effects

Collectis has a rich, diversified intellectual property portfolio comprised of **more than 100 patent families, 307 granted patents and 245 patent applications***

The continued development of these assets and the protection of the Company's scientific capital are guaranteed by the quality of our science



* As of July, 2023

Our Commitment to a Cure



Our Robust Allogeneic CAR T Pipeline

Our UCARTs are developed to address critical unmet medical needs in hard-to-treat blood cancers: relapsed/refractory B-cell acute lymphoblastic leukemia (r/r B-ALL), B-cell non-Hodgkin lymphoma (r/r B-NHL) & acute myeloid leukemia (r/r AML)

70+ patients dosed in Cellectis' sponsored trials

BALLI-01

- Phase 1/2a, evaluating UCART22
- Patients – r/r B-ALL
- Enrolled in the US & Europe
- Follow-up – data update with Recommended Phase 2 Dose (RP2D)

NATHALI-01

- Phase 1/2a, evaluating UCART20x22
- Patients – r/r B-NHL
- Enrolled in the US & Europe
- Follow-up - data update with Recommended Phase 2 Dose (RP2D)

AMELI-01

- Phase 1, evaluating UCART123
- Patients – r/r AML
- Enrolled in the US
- Follow-up – data update with 2-dose regimen



Our Clinical Trials Principles

Collectis' Ethics in Clinical Studies

We are committed to addressing the underlying causes of genetic diseases and curing cancer.

We are conducting clinical trials in accordance with the highest scientific, ethical and safety standards to ensure we are protecting the rights and wellbeing of the individuals enrolled in our clinical trials.

Patients are provided an approved Informed Consent Form that explains the details of the trial, including its possible risks and benefits. Participation in a clinical trial is always voluntary and participants may withdraw at any time and for any reason.



> ~220

**patients have been administered with
Collectis' product candidates***

**Today, we have the largest safety data
set of patients infused with allogeneic
CAR T-cell therapies**



(*) In wholly owned and partnered clinical trials, as of July 2023

Our Clinical Trials Principles

Diversity, Equity & Inclusion (DEI) in Clinical Trials

Our aim is to sponsor inclusive clinical trials that represent the diversity of the people living with the disease who may benefit from the treatment being developed. We recognize diverse populations may be impacted differently by the same disease or may have varying responses to the same treatment.

We build trusting relationships and collaborate with partners to improve access to our clinical research and investigational treatments.

Publishing our Results

Collectis' sponsored clinical trials are registered on clinicaltrials.gov, a database maintained by the U.S. National Institute of Health.

Collectis has published **75+ peer-reviewed papers, since the founding of the Company***, in many of the world's top scientific journals, including *Nature*, *Frontiers in Immunology & Cancer Immunology Research*.

Collectis is committed to make results of its research and development available on the Collectis' website under [Scientific Publications & Scientific Presentations](#), to help the scientific community and researchers benefit from our findings.



(*) As of August 2023

Our Product Quality & Supply-Chain

Our Product Quality

With our in-house manufacturing, Collectis is one of only end-to-end gene editing, allogeneic CAR T-cell companies that controls its gene and cell therapy process from start to finish. All the starting materials of our UCART product candidates are produced in our manufacturing facility in Paris. Our GMP manufacturing in Raleigh includes our clinical and future commercial UCART manufacturing operations.

We adhere to strict regulatory requirements to ensure our product candidates meet high quality standards, such as Good Manufacturing Practices for Advanced Therapies, Genetically Modified Organisms Regulations, 21CFR part 1271 on the requirements for Human Cells, Tissues and Cellular and Tissue-based Products, European Tissues and Cells Directives when applicable.

Collectis' Supply-Chain

We rely on a **network of business partners** to help accomplish our mission to successfully treat patients. We trust our partners, service providers, suppliers, and contractors **to exercise responsible and ethical practices** and to maintain compliance with all legal and regulatory requirements in their country.



Inclusion Is at the Core of our DNA



Celebrating our Strength – It Starts with Collectis' Employees

Collectis is a **global, fully-integrated, clinical stage biopharmaceutical company** with a dedicated workforce who bring their passion and diverse set of expertise and experiences to work everyday to develop life-saving drugs and transform the lives of the **patients**

LOCATIONS



Paris (HQ)
New York
Raleigh

EMPLOYEES



230* Employees
Globally

ENGAGED COLLEAGUES



82% of Our Colleagues
Consider Collectis a Great
Place to Work

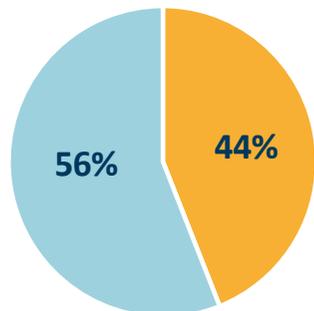


*All demographic data is as of 12/31/2023

Celebrating our Strength – our Collective Diversity (1/2)

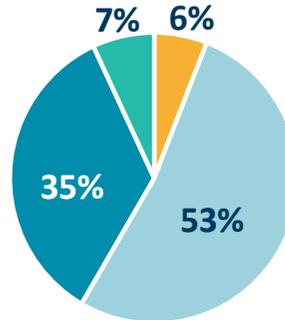
At Collectis, our strength as a global organization lies within the **collective diversity** of the backgrounds, experiences, cultures and perspectives of our colleagues and teams

Global Gender Diversity



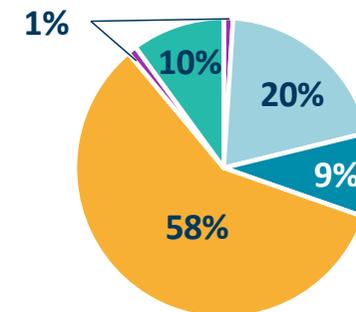
■ Male ■ Female

Global Workforce by Generation



■ Generation Z (under 27 years old)
 ■ Millennials (28-42 years old)
 ■ Generation X (43-58 years old)
 ■ Baby Boomers (59+ years old)

Ethnic Diversity of US Workforce*



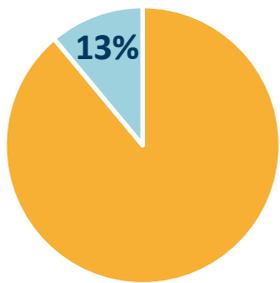
■ American Indian
 ■ Asian
 ■ Black or African American
 ■ White
 ■ Two or more races
 ■ Hispanic or Latino



*Defined as those who self-reported
 All demographic data is as of 12/31/2023

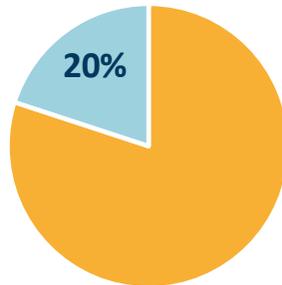
Celebrating our Strength – our Collective Diversity (2/2)

Collectis' Board of Directors



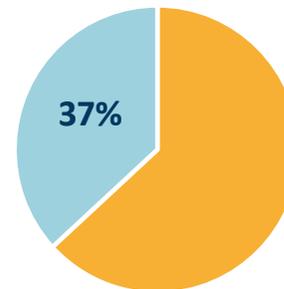
- Male BoD Members
- Female BoD Members

Collectis' Executive Committee (Excom)



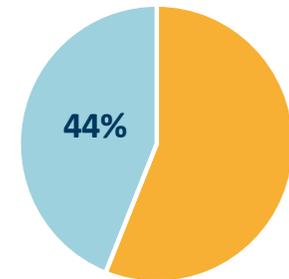
- Male Excom Members
- Female Excom Members

Collectis' Executive Leadership Team (ELT)



- Male ELT Members
- Female ELT Members

Collectis' People Managers



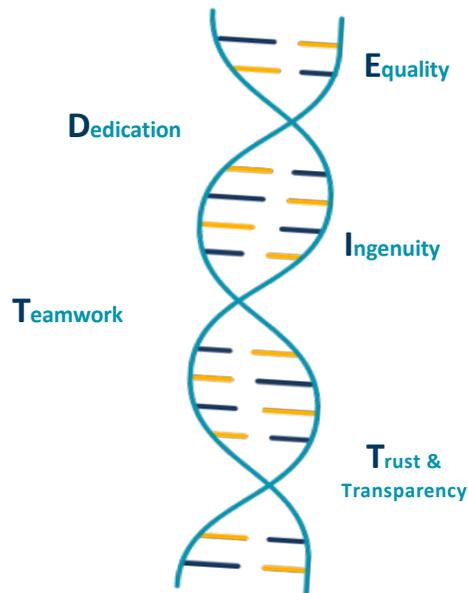
- Male People Managers
- Female People Managers



All demographic data is as of 12/31/2023

Our Culture Is Grounded in our EDIT² Values

We live our **EDIT² Values** and ensure our colleagues treat each other with mutual respect, seek to understand different perspectives and provide a safe environment to achieve our collective mission.



- **Equality:** We are committed to creating a work environment where everyone's ideas and opinions are heard. Everyone counts at Collectis – we all have an important seat and voice at our table.
- **Dedication:** Our mission inspires us to go above and beyond the call of duty, and our job descriptions each day.
- **Ingenuity:** We address problems with fresh and creative solutions – this is what sets us apart from others in our industry.
- **Teamwork:** We work towards one unified goal – inventing and developing cures for patients with unmet medical needs.
- **Trust & Transparency:** We work within our teams and across the organization based on the company's best interest.



Equity and Inclusion Is at the Core of our DNA

We are committed to an **equitable** and **inclusive** environment where everyone can be themselves to reach their potential

We are gamechangers and we “Edit” lives

The **diversity of backgrounds, experiences, cultures and perspectives** of our global colleagues creates the rich tapestry that drives our innovation and success. We harness our organization’s diversity and ingenuity to lead the way in moving new ideas from R&D to clinical trials to manufacturing and to our ultimate goal of delivering therapies to the **patient**.

We are a place where you can be yourself and succeed to your potential

We are building an environment where **colleagues can be themselves**, able to learn, grow and contribute to their full ability to make a difference.



Commitment to a Cure



Engagement and an Inclusive Culture

We believe **how work** is achieved is as important as **what is delivered** and an **inclusive workplace** allows colleagues to bring their authentic selves to work, enabling them to perform at their best

Everyone Counts and Everyone Has a Voice

Our annual **Colleague Voix Survey*** gives colleagues an opportunity to share their thoughts on how to be the best company that they would like to be part of.



- 94%** know how their work impacts company goals
- 93%** believe they are treated fairly at Collectis regardless of race or ethnicity
- 93%** believe Collectis is a friendly place to work
- 90%** feel they are empowered to make decisions to accomplish work
- 90%** feel they can be themselves at Collectis

We Stay Connected – Communicate, Communicate, Communicate

We **connect, engage and keep our colleagues informed** about key elements of our business and strategy to help them effectively prioritize their work, recognize major milestone for the company, teams, and individual colleagues, and to have fun.



Creating Opportunities for Leadership at All Levels

We believe **leadership occurs at all levels**. We create opportunities for our colleagues to use their diverse skills and experiences to innovate and be leaders in any position in the organization

Talent Builders – Developing Leaders at All Levels

At Collectis, we build leaders, regardless of level. Everyone has an opportunity to develop their leadership capabilities through learning programs such as **Succeeding at Collectis** and **Owning Your Development**. We are a talent destination where colleagues build depth and breadth of functional skills and knowledge that help them succeed in Collectis and beyond.

Diverse Backgrounds and Perspectives Drive Innovation

We seek candidates with **diverse background and experiences** who bring the right capabilities, skills and experiences to advance our shared mission. We welcome different perspectives that look at problems in new ways to develop the best treatments for our patients.

Creating Opportunities for our Talent to Grow

We are unique in our willingness and agility at **creating growth opportunities** to meet business and colleagues' needs. We develop and grow colleagues by providing them with the chance to **demonstrate their functional and personal leadership** and take on additional or new responsibilities within functions and across functions.

Ownership Culture & Continuous Learning

We are One Collectis – our ownership culture enables all of us to contribute in meaningful ways in service of our mission. **Colleagues own their performance, careers and development**. We foster an environment of continuous learning at all levels of the organization, which is guided by colleagues' interests, motivation and aspirations.



Great People Leaders Matter

Great people leaders have the key ability to **align, direct and inspire** colleagues and teams to successfully deliver company goals and key priorities. Our **Great People Leadership Program** and **New Manager Bootcamp** were designed to provide the training and resources that managers need to be the best people leaders and to build an inclusive environment with their colleagues and teams.

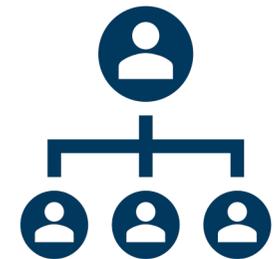
Cellectis people managers understand that they manage our most important assets, **our people**. They are aware that leadership requires motivation, influence, and empowerment to achieve high performance. They **provide an environment** where colleagues feel valued, are able to grow and to succeed:

94% are approachable

94% keep team informed

93% seek suggestions and ideas

93% give straight answers



*results from 2023 Colleague Voix Survey

Committed to Colleague Well-being – Recognition, Reward, and Fair and Equitable Benefits

Collectis is committed to the well-being of our colleagues' **Whole self**

Everybody Counts

Everyone plays their role – our leaders, managers, scientists, manufacturing and professional colleagues bring their hard-earned **experience and expertise** and contribute towards achieving our mission. We celebrate service awards, promotions, and significant achievements to recognize their value and their important contributions at Collectis.

EDIT² Awards – Real-time Thanks at Any Time

We accomplish amazing things everyday. We foster the ability for colleagues to recognize each other through the use of **EDIT² Awards** to celebrate our values and the behaviors that are important for us to succeed.

Pay Equity, Fair and Equitable Benefits

We have a pay-for-performance culture that uses all available compensation levers to attract, recognize, reward, and retain colleagues. We are committed to **equitable benefits** and **compensation** for everyone. As part of our compensation practices, we externally benchmark our compensation to ensure our compensation program is fair and equitable.

Our workplace policies are designed to address the **needs of our diverse workforce**.



Competitive range of health and wellness benefits



Work-life Balance – generous paid time off and remote work



Committed to Colleague Well-being – We Build Community, Inside and Out



Connecting the Colleague with the Mission

Collectis and our Mission are more than just a job and words to our colleagues - it is about a deep commitment to patients. We support colleagues' dedication with our sponsorship of patient advocacy group events such as the **Leukemia and Lymphoma Society Light the Night Walk** and the **Odyssea Walk** in support of Breast Cancer.

Collectis Colleagues Make the Time to Have Fun Together

Engagement Committee events to connect and engage at the site (BBQs, book clubs, baking & cooking competitions, etc.).

Global Wellness Month offering learning sessions on work-life balance, healthy eating, stress-management, and getting active as well as site-based exercise classes, smoothie bars, and chair massages.

CLLS52K Challenge – our colleagues worked on **increasing their daily activity** and had some friendly competition by walking, hiking, biking, and other sports to travel 30, 60, 90 miles during a one-month challenge.

30-Days of Gratitude facilitated a “**habit of gratitude**” that strengthened interpersonal relationships, supported our values and reinforced a positive Collectis environment and culture.



Committed to Colleague Well-being – Safety-First Workplace

Collectis is committed to ensuring the **health and safety of all workers** and the **protection of the environment** in which we operate.

All activity, including those of contractors, are completed in a **safe and efficient manner** to minimize environmental, health and safety events at our facilities and to surrounding communities.

All **employees are empowered** to report environmental, health, and safety concerns by identifying, communicating, and mitigating unsafe acts and conditions before they lead to injuries and negative environmental impacts.



People & Culture Focus Areas

Collectis' collective **DEI, EDIT² Values**, and **Talent Practices** are the foundation for our inclusive culture and we will use our **People & Culture Focus Areas** to measure our progress

1

Talent and Development Practices

We will continue to operate to maintain or increase our diverse workforce representation

2

Recognition and Reward

We will continue our fair and equitable compensation and benefits practices that support our pay for performance culture

3

Engagement and Inclusive Culture

We will continue to build an inclusive culture and increase overall colleague engagement with aim to have all colleagues believe that Collectis is a great place to work!



Protecting the Planet



Protecting the Planet

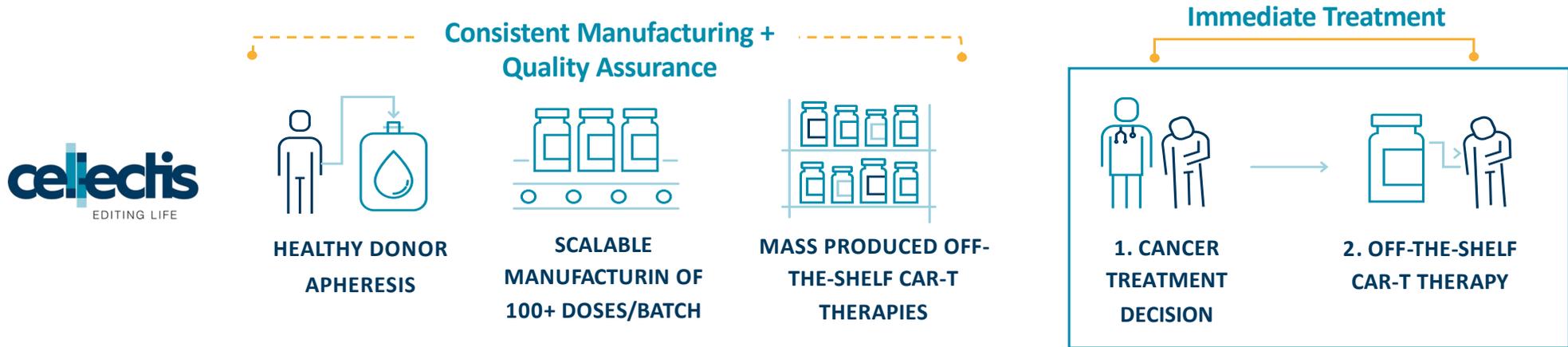
In 2023, we committed to protecting the planet by reducing the environmental impact of our operations. We have identified opportunities that decarbonate and reduce the environmental impact of the way we work, partner and make our products candidates.

We strongly believe we can make a difference in protecting the environment **by investing in key materials, developing an action plan for the future and continuing to promote green initiatives internally.**



Allogeneic CAR T: a More Sustainable Approach that Could Reach More Patients in Need

Allogeneic Process:



Allogeneic CAR T

- Created from healthy donor – ability to make multiple vials from a single product
- Industrialized & scaled up manufacturing process
- Immediate availability of cryopreserved batches
- Broader patient eligibility

Autologous CAR T

- Delay in treatment availability
- Complex supply chain
- Manufacturing failure directly impact patients
- Limited patient eligibility



Our Worldwide Manufacturing Facilities



New York, New York

Innovation, Clinical Development

25,000 sq ft. facility

- ✓ Gene Editing platform – TALEN®
- ✓ I/O discovery platform
- ✓ Gene therapy discovery platform
- ✓ Clinical development



Paris, France

HQ, PD/AD, GMP Starting Materials

55,000 sq ft. facility

- ✓ Process & analytical development
- ✓ GMP starting materials manufacturing
- ✓ QC labs
- ✓ Warehouse
- ✓ Cryogenic Storage rooms



Raleigh, North Carolina

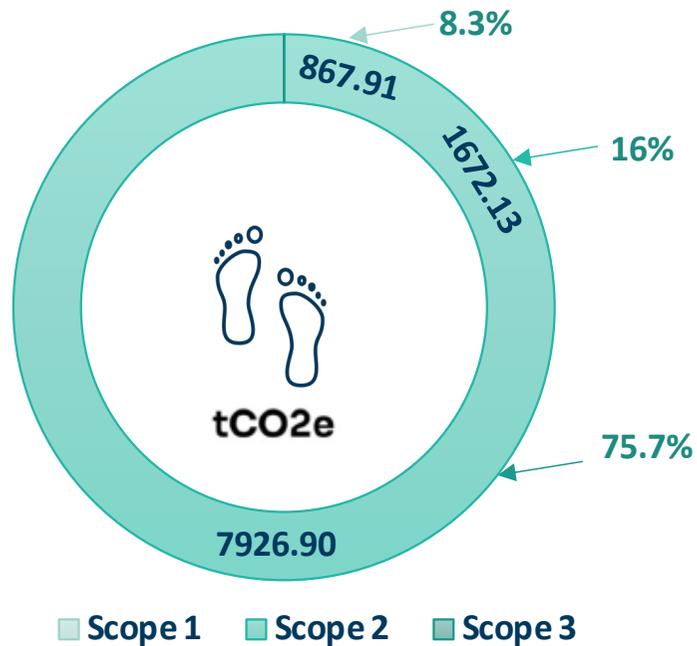
UCART – Clinical & potential for Commercial

82,000 sq ft. facility

- ✓ Cell based Gene therapy GMP manufacturing
- ✓ QC labs
- ✓ Warehouse
- ✓ Cryogenic Storage rooms

Collectis' Current Carbon Footprint

Collectis' Carbon Footprint by Scope



Audit and Data collection on Main Energy Consumption Machinery

- Scope 1** Direct emission; Our production units are brand new and state of the art with latest technology in fuel and energy consumption.
- Scope 2** Energy (Electricity) Data derived from our 3 sites. We have started extensive data logging to identify the high consumption equipment's and study how to lower their consumption or replace them by newer low consumption equipment.
- Scope 3** Most polluting scope. Study on lowering its impact is under study.

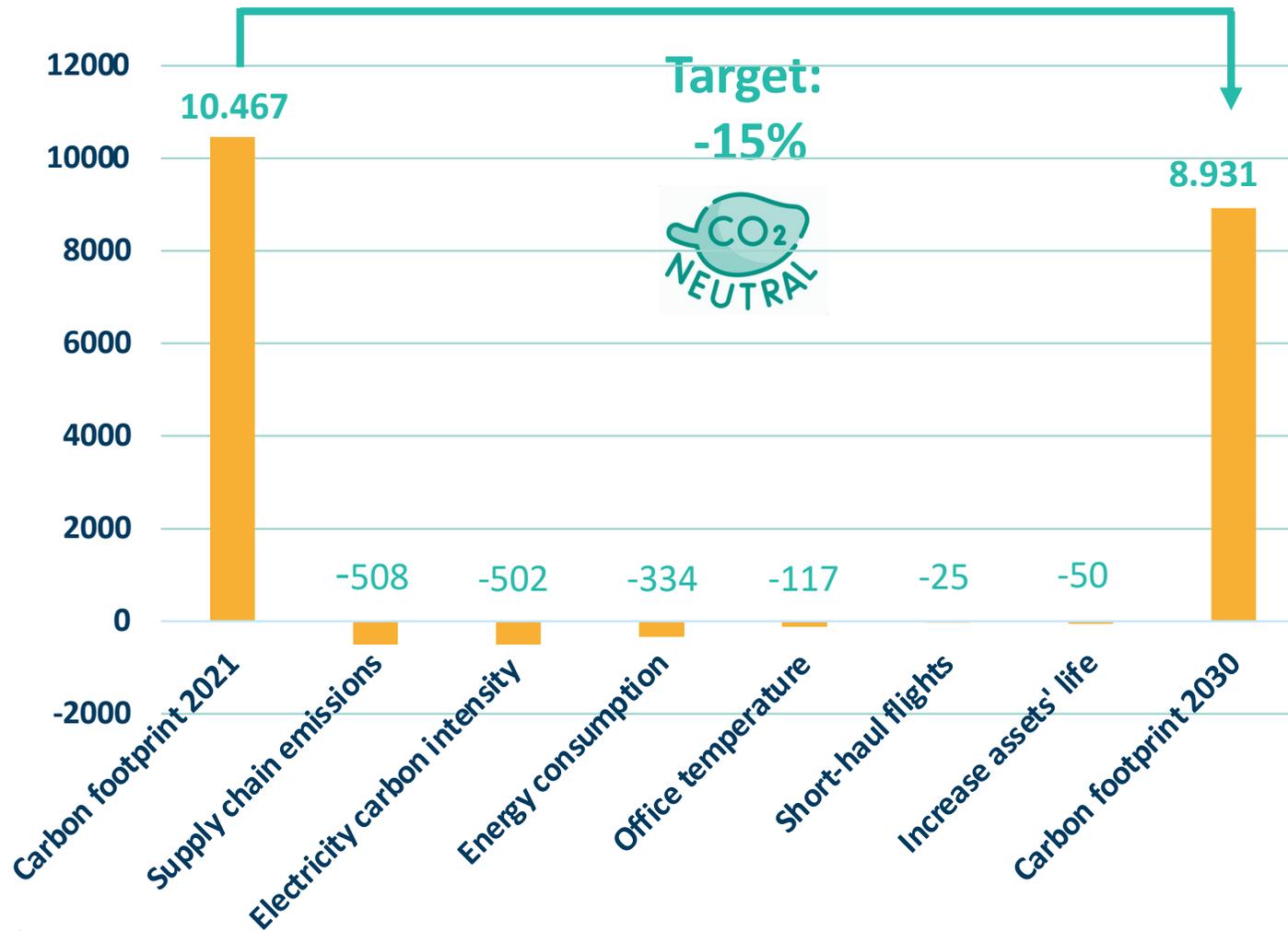


Scope 1 – direct emissions controlled by a company (equipment like boilers, chemical & refrigerant leaks and spills, etc.)

Scope 2 – indirect emissions from purchased electricity, steam, heat and cooling

Scope 3 – indirect emissions associated with company's upstream and downstream operations (business travel, employee commuting, transportation & distribution tied to suppliers, waste disposal, etc.)

Co2 Impact by Action for the Period 2021-2030



Source: Magelan.eco

Current Initiatives: Environmental Sustainability at Celectis



Reduction efforts with installation of reusable crockery

Celectis' reusable water bottles & lunch box, water fountains

Large containers for tea & sugar



Recycled paper for all printers

LED bulbs in meeting rooms & light sensors detection in walkways

**We selected a greener energy mix provider for our Paris facility
waste reduction**



Access to electric vehicle & bike charging stations

50% reimbursement for employees taking public transit in France

Pre-tax commuting benefits (New York)

Life at the Office

The focus of the **Collectis Garden** was to develop an employee organic garden to encourage healthy eating and the opportunity to grow fresh herbs and vegetables for everyone.

The project was led by the **Green Committee** and was a learning experience for everyone involved – learning how to plant and what to plant together, and how to take care of the garden through the growing season.

2021 was the first year we celebrated **Earth Day** across the Company.

Our goals were to educate employees on our sustainability priorities, engage them in the cause with reduction challenges, and inspire change in the everyday lives.



Protecting our Planet Commitments

Our commitment to environmental sustainability is ongoing. In 2023, we focused our efforts on reducing our climate footprint and optimizing our production process:

FOCUS	ENERGY EFFICIENCY	MOBILITY FOOTPRINT	OPTIMIZE PRODUCTION	REDUCE EMISSIONS	RAISE AWARENESS
EXAMPLES OF ACTIONS	<i>Select best electrical mix supplier for lower carbon intensity electricity</i>	<i>Encourage employees to commute by public transit & cycling</i>	<i>Optimize production processes & assets</i>	<i>Reduce our supply chain impact Lower overall energy consumption</i>	<i>Educate employees to raise awareness around climate urgency</i>
TARGET	<i>Reduce electricity carbon intensity by 30% 502 tCO₂e</i>	<i>Reduce transport footprint by 20%</i>	<i>Increase lifespan of manufacturing & IT equipments by 50% – 50.2t CO₂e</i>	<i>Reduce supply chain emissions – 10% Reduce lab and office temp by 1°C - & energy by 20% -117t CO₂e</i>	<i>Appoint Climate Manager and referees, encourage alternative to short haul flights</i>



Corporate Governance & ESG Oversight



Governance: Leading with Integrity & Transparency for our Shareholders

Our **Board of Directors** operates with **strong governance and high integrity**. Led by Board Chair Jean-Pierre Garnier, our Board brings a diversity of experiences and external perspectives. Collectis' CEO Andre Choulika, Ph.D., serves on the Board and manages our Executive Committee (Excom), made of Collectis' most senior executives.

The Board and Excom manages Collectis' performance and have an open relationship with investors and other key stakeholders, communicating regularly on governance and other critical topics. Collectis hosts frequent investor meetings and shares these communications on our website. We also publish our **Code of Business Conduct and Ethics** on our [website](#).

Board committees include:

- **Audit, Finance and ESG Committee**
- **Compensation Committee**

Our Board committees are designed to guide and support Collectis' growth and development. **The Environment and Social Committee is responsible for oversight on Collectis' ESG efforts at the Board level.**

Each year, the Board committees assess the company's strategic priorities to determine where to prioritize focus to support the company's business and goals in their work.



2023 Board of Directors

Chairman of the Board of Directors

Jean-Pierre Garnier

Audit and Finance Committee

Axel-Sven Malkomes (Chair)

Pierre Bastid

Donald A. Bergstrom

Compensation Committee

Rainer Boehm (Chair)

Cécile Chartier

Environment and Social Committee

Axel-Sven Malkomes (Chair)

Pierre Bastid

Donald A. Bergstrom

ESG Governance



Our **ESG Working Group** aligns Functions and the **People and Culture Advisory Council** to our ESG topic areas – patients, innovation, people, environment, and governance. Each area has a working group led by a Functional Leader whose responsibility aligns to the topic area. These working groups oversee, develop strategy for, manage delivery of, and review reporting and key performance metrics that Collectis tracks and reports progress.

The **People and Culture Advisory Council** integrates our business strategies into people strategies and initiative to drive an inclusive culture and environment where our colleagues bring their best selves in service of our patients and mission.



Leading with Integrity: Ethics & Compliance



Collectis outlines our expectations of high standards for how employees should handle interactions, transactions and business opportunities, other policies or procedures, or any applicable law, rule, or regulation in our [Code of Business Conduct and Ethics](#). Every colleague at Collectis is expected to act proactively to report suspected violations of the Code and other Company policies and procedures, as well as any violation that arises while conducting Company business.

CONFIDENTIALITY POLICY

We are on the cutting edge of **innovation and generating confidential information and our assets need to be secured and protected**. Our employees are committed to operate with the **highest level of confidentiality, not disclosing or distributing the company's confidential information**, except where required by law and authorized by the company

FAIR DEALING POLICY

We endeavor to deal **ethically, fairly and lawfully** with our customers, suppliers, competitors and employees in all business dealings on the company's behalf

COMPLIANCE TRAINING

Collectis provides **compliance training** to all employees on an annual basis. Training includes **Business Code of Conduct, Insider Trading Policy, and in the US, Harassment training**

INSIDER TRADING POLICY

Our colleagues are **well-informed of Collectis' insider trading policy**



Managing Cybersecurity Risk

Collectis is committed to maintaining a **secure information technology environment by prioritizing cybersecurity and related data security and privacy**. We drive continuous improvement in our cybersecurity processes by monitoring threats and taking preventive actions to keep our business, employees, and partners safe. Our measures and controls help to protect our intellectual property, advance continual operations at our innovation, research and development, corporate, and manufacturing sites, and safeguard our data from potential internal and external threats.

We follow the guidance of the **National Institute of Standards and Technology (NIST)** and rely on the five functions of the NIST framework: **Identity, Protect, Detect, and Respond**. We believe cybersecurity starts with a trained and educated workforce. Each year, employees are required to complete a mandatory security training course. Collectis' IT Security team shares regular awareness communications and provides periodic reminders regarding security and potential threats. Lastly, we run a continuous simulated phishing campaign to increase recognition of potential security threats and reporting.



We took a series of actions to improve our cybersecurity maturity score, including:

- Modernizing customer and employee multi-factor authentication systems;
- Deploying third party security questionnaires and assessments;
- Implementing data loss prevention tools to safeguard confidential information;
- Strengthening monitoring tools and response procedures to identify and quickly address threats; and
- Applying a risk-based approach to improve effectiveness of cybersecurity governance and compliance systems.

In 2023, Collectis had no material cybersecurity breaches to our knowledge



SASB Reporting Progress



SASB Accounting Metric

SASB Topic/Code	Accounting Metric	Disclosure
HC-BP-210a.1	Discussion by world region of management process for ensuring quality and patient safety during clinical trials	Refer to pages 11 and 12
HC-BP-210a.2	Number of FDA Sponsor Inspections related to clinical trial management and pharmacovigilance that resulted in: (1) Voluntary Action Indicated (VA1) and (2) Official Action Indicated (OAI)	None
HC-BP-210a.3	Total amount of monetary losses as a result of legal proceedings associated with clinical trials in developing countries	None
HC-BP-240a.1	Description of actions and initiatives to promote access to health care products for priority diseases and in priority countries as defined by the Access to Medicine Index	Not Applicable - Cellectis is a pre-commercial company
HC-BP-240a.1	List of products on the WHO List of Prequalified Medicinal Products as part of its Prequalification of Medicines Programme (PQP)	Not Applicable - Cellectis is a pre-commercial company



SASB Accounting Metric

SASB Topic/Code	Accounting Metric	Disclosure
HC-BP-240b.1	Number of settlements of Abbreviated New Drug Application (ANDA) litigation that involved payments and/or provisions to delay bringing an authorized generic product to market for a defined period	None
HC-BP-240b.2	Percentage change in: (1) average list price and (2) average net price across US product portfolio compared to previous year	Not Applicable - Collectis is a pre-commercial company
HC-BP-240b.3	Percentage change in: (1) list price and (2) net price of product with largest increase in previous year	Not Applicable - Collectis is a pre-commercial company
HC-BP-250a.1	List of products listed in the Food and Drug Administration's (FDA) MedWatch Safety Alerts for Human Medical Products database	Not Applicable - Collectis is a pre-commercial company
HC-BP-250a.2	Number of fatalities associated with products as reported in the FDA Adverse Event Reporting System	Not Applicable - Collectis is a pre-commercial company
HC-BP-250a.3	Number of reclass issued, total unites recalled	Not Applicable - Collectis is a pre-commercial company
HC-BP-250a.4	Total amount of product accepted for takeback, reuse or disposal	Not Applicable - Collectis is a pre-commercial company
HC-BP-250a.5	Number of FDA enforcement actions taken in response to violations of current Good Manufacturing Practices (cGMP), by type	None
HC-BP-260a.1	Description of methods and technologies used to maintain traceability of products throughout the supply chain and prevent counterfeiting	Not Applicable - Collectis is a pre-commercial company
HC-BP-260a.2	Discussion of process for alerting customers and business partners of potential or known risks associated with counterfeit products	Not Applicable - Collectis is a pre-commercial company
HC-BP-260a.3	Number of actions that led to raids, seizures, arrests and/or filings of criminal charges related to counterfeit products	Not Applicable - Collectis is a pre-commercial company



SASB Accounting Metric

SASB Topic/Code	Accounting Metric	Disclosure
HC-BP-270a.1	Total amount of monetary losses as a results of legal proceedings associated with false marketing claims	Not Applicable: Any material legal proceedings are disclosed in??
HC-BP-270a.2	Description of code ethics governing promotion of off-label use of products	Not Applicable - Collectis is a pre-commercial company
HC-BP-330a.1	Discussion of talent recruitment and retention efforts for scientists and research and development personnel	See comments for our employees
HC-BP-330a.2	(1) Voluntary and (2) involuntary turnover rate for: (a) executives/senior managers, (b) midlevel managers, (c) professionals, and (d) all others	Within the biotech industry standard
HC-BP-430a.1	Percentage of (1) entry facilities and (2) Tier 1 suppliers' facilities participating in the Rx-360 International Pharmaceutical Supply Chain Consortium audit program or equivalent third-party audit programs for integrity of supply chain and ingredients	Not Applicable
HC-BP-510a.1	Total amount of monetary losses as a results of legal proceedings associated with corruption and bribery	Marie to validate
HC-BP-510a.2	Description of code of ethics governing interactions with health care professionals	Collectis places value on leading with integrity. Our interactions with health care professionals are guided by these principles and incorporated into our daily practice.
HC-BP-000a.A	Number of patients treated	72 patients treated as of 12/31/2023
HC-BP-000a.B	Number of drugs (1) in portfolio and (2) in research and development (Phases 1-3)	See our pipeline



Thank You

Reach us at:

investors@collectis.com ; media@collectis.com ; clinicaltrials@collectis.com

Collectis Paris

8, rue de la Croix Jarry 75013
Paris – France



Collectis New York

430 East 29th Street
New York, NY, 10016 – USA



Collectis Raleigh

2500 Sumner Boulevard
Raleigh, NC, 27616 – USA

