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Thermo Fisher Scientific, Inc.
Summary of Policies On International Trade Laws

Export Controls Compliance Policy

It is the policy of Thermo Fisher Scientific, Inc. (“Thermo Fisher”) that all employees and third parties (including distributors, agents, representatives, and consultants) doing business with Thermo Fisher and its subsidiaries and affiliates (the “Company”) be aware of U.S., E.U., and other applicable export controls and sanctions laws and comply with them and other applicable laws in conducting business on behalf of the Company. The rules summarized below apply to any Thermo Fisher product, no matter where it is sold. This is a rather unusual area of law, in that it can specifically restrict activities conducted entirely outside the outside the U.S. and E.U. territories. As such, Thermo Fisher is obligated to comply with these rules not only for exports of Thermo Fisher products from the U.S. and E.U. to other countries, but also in relation to shipments of Thermo Fisher products between or within countries entirely outside the United States or European Union. For these reasons, any party shipping products for Thermo Fisher will be required to comply with these export rules.

1. Restrictions on Exports to “Embargoed” Countries:

Exports and re-exports of Thermo Fisher products or technology are prohibited to certain countries that are subject to a complete trade embargo and that are prohibited by Thermo Fisher policy. The countries currently on the embargo list and/or subject to exclusion by Thermo Fisher policy are the following: Cuba, Iran, Sudan, Syria, and North Korea. It is Thermo Fisher’s policy that it will not do business in these listed countries and will not permit Thermo Fisher products to be shipped directly or indirectly to these countries or to any person or organization in, or who is considered a part of the government of those countries. Likewise, no third party is authorized to enter into a contract on Thermo Fisher’s behalf to conduct business in any of these countries.

2. Restrictions on Exports to Certain “Denied Parties”:

Thermo Fisher products or technology may not be exported to certain individuals or entities designated by various governments around the world. Lists of these so-called “Prohibited Parties” are issued by these governments and updated frequently. It is Thermo Fisher policy that it will not do business without an approved export license to a Prohibited Party. Likewise, no third party is authorized to enter into a contract on Thermo Fisher’s behalf to conduct business with a Prohibited Party. In order to prevent unlicensed shipments to Prohibited Parties in violation of this rule, Thermo Fisher screens its customers and their addresses against these lists. For your information, there are websites that provide these lists free of charge, such as: Export.gov: http://export.gov/ecr/eg_main_023148.asp and Consolidated List of persons, Groups and entities subject to EU sanctions: http://eeas.europa.eu/cfsp/sanctions/consol-list_en.htm. You can also subscribe to a service that consolidates all of the relevant lists for a nominal price.

3. Restrictions on Exports of Certain Types of Products, or Exports to Certain Types of End Users:

Exports and re-exports of certain types of products may be restricted or require an export license, including certain human, animal and plant pathogens, certain chemicals that could be used to produce toxic chemical agents, and certain chemical/biological manufacturing equipment. Thermo Fisher sells some products that are subject to these restrictions, and has put in place controls in its system to prevent the shipment of these restricted items directly to a prohibited

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destination without an approved export license. If a Thermo Fisher product is prohibited for shipment to a particular country in your region, Thermo Fisher either will decline to ship it to you, or will obtain a license from the relevant government entity permitting the shipment. We require that you work with us to attain all required information in order to secure any export licenses that Thermo Fisher agrees to apply for.

The regulations also restrict exports and re-exports of Thermo Fisher products to entities known or suspected to be involved in any kind of weapons or missile activity or prohibited nuclear end uses. It is Thermo Fisher policy that it will not do business with such entities and will not permit Thermo Fisher products to be shipped to such entities without an approved export license. Thermo Fisher expects its distributors to regularly evaluate information received concerning your customers' uses for Thermo Fisher products. If at any time you receive information indicating a potential weapons-related (or other suspicious) end use for Thermo Fisher products, we expect you to fully investigate the matter before supplying the products to the customer. To ensure compliance with this rule, Thermo Fisher expects its distributors to decline to supply products to a proposed customer if there is a risk of an improper end use.

4. Antiboycott Restrictions:

These restrictions prohibit U.S. companies and their affiliates/agents from participating in an unsanctioned foreign boycott, for example, by (1) entering into an agreement requiring a company to refuse to do business with Israel or an Israeli national, (2) providing information to third parties regarding a company's relationship with Israel or Israeli nationals, and (3) issuing a certification that company products are not of Israeli origin. Although these provisions cover any type of boycott activity around the world, they were designed to prevent U.S. companies and their affiliates/agents from participating in the Middle East boycott of Israel. Thermo Fisher expects its distributors to decline to participate in any prohibited boycotting activities in the process of distributing Thermo Fisher products.

The following are red flags that might indicate an export violation:

- The customer or its address is similar to one of the parties found on the Commerce Department's [BIS'] list of denied persons.
- The customer or purchasing agent is reluctant to offer information about the end-use of the item.
- The product's capabilities do not fit the buyer's line of business, such as an order for sophisticated computers for a small bakery.
- The item ordered is incompatible with the technical level of the country to which it is being shipped, such as semiconductor manufacturing equipment being shipped to a country that has no electronics industry.
- The customer is willing to pay cash for a very expensive item when the terms of sale would normally call for financing.
- The customer has little or no business background.
- The customer is unfamiliar with the product's performance characteristics but still wants the product.
- Routine installation, training, or maintenance services are declined by the customer.
- Delivery dates are vague, or deliveries are planned for out of the way destinations.

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- A freight forwarding firm is listed as the product's final destination.
- The shipping route is abnormal for the product and destination.
- Packaging is inconsistent with the stated method of shipment or destination.
- When questioned, the buyer is evasive and especially unclear about whether the purchased product is for domestic use, for export, or for reexport.

Anticorruption/Antibribery Compliance

It is the policy of Thermo Fisher that all employees and third parties (including agents, representatives, consultants and distributors) doing business with Thermo Fisher and its subsidiaries and affiliates (the "Company") comply with all applicable anticorruption laws, including but not limited to the U.S. Foreign Corrupt Practices Act 1977 ("FCPA"), the U.K. Bribery Act 2010 ("UK Bribery Act"), and other applicable anticorruption laws in conducting business on behalf of Thermo Fisher.

The FCPA, U.K. Bribery Act, and other anticorruption laws prohibit companies or their employees, agents, or representatives from giving, paying, promising, offering, or authorizing the payment of anything of value or any advantage to any individual or entity to persuade or influence that individual or entity to help the company, or any other person, obtain or keep business or for any other improper purpose. This rule prohibits such improper payments both to foreign government officials and private persons acting in a business capacity and includes payments direct to the individual concerned or to a third party nominated by them. The anticorruption laws also require companies to keep accurate books and records of payments made to foreign officials. The prohibitions cover direct bribes to secure contracts, payments to obtain discretionary permits or clearances (e.g., passing customs inspections or paying taxes), and indirect payments made by agents or others acting on Thermo Fisher's behalf.

Please note that the UK Bribery Act goes beyond the U.S. FCPA, in that it prohibits improper payments to private persons as well as government officials. The U.K. Bribery Act prohibits improper payments, gifts or other advantages to all individuals regardless of where in the world they are located. The U.K. Bribery Act prohibits direct or indirect improper payments to individuals in respect of public and/or **private** functions or activities if connected with a business.

A payment to a private person or entity would be deemed illegal under the U.K. Bribery Act if it intended to induce the person to improperly perform his/her function or activity which is connected to business or employment; specifically, it will be illegal to make a payment or to provide an advantage where it is intended that the recipient (a) acts in breach of a position of trust; or (b) fails to perform such a function or activity in good faith or; (c) fails to perform that function or activity impartially. It is illegal to make a payment or provide another advantage to a public official in order to influence them acting in that capacity to award business as a result of the payment or advantage. It is also illegal to make a payment or give an advantage where such a payment or advantage is in itself a breach of the recipient's duties.

The U.K. Bribery Act applies to individuals with a close connection to the UK, and all companies who do business or part of their business in the U.K. together with the company's affiliates. The U.S. FCPA applies to all companies and individuals operating in the US, together with their

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affiliates. This means that both the FCPA and the UK Bribery Act will apply to your work on behalf of Thermo Fisher.

Given these rules, under no circumstances shall an officer, employee, agent, consultant, or representative of Thermo Fisher:

- a. give, pay, or offer or promise to pay, or authorize the giving or payment of anything of value or any advantage to any individual or entity acting in a business capacity in order to obtain or retain business or for other improper purposes; or
- b. give, pay, or offer or promise to pay, or authorize the giving or payment of anything of value or any advantage to any person (such as a joint venture partner, agent, representative or intermediary) while knowing or suspecting that the payment or promise to pay will be passed on to another individual or entity in order to obtain or retain business or for other improper purposes.
- c. solicit, request, accept or agree to accept any payment, anything of value and/or any other advantage which is or could be seen to seek to influence them to act improperly in respect of their duties to Thermo Fisher.
- c. Fail to follow the antibribery policies and procedures as proscribed by Thermo Fisher (and as amended from time to time).

The following are red flags that might indicate an improper payment:

- A commission above the usual level expected in the particular jurisdiction or industry (consideration must be given to the amount and also the percentage of the commission).
- A request for increased or special commission for a particular transaction - outside the level agreed in the contract documentation.
- representative or agent is related to or has a close personal relationship with a customer or potential customer, or a foreign official or a member of a local royal family
- a payment being proposed is illegal under local law
- suggestions that a payment is needed to "make the necessary arrangements", "to facilitate business", or because it is "customary" or "cultural" in a particular jurisdiction
- requests for false or backdated documents
- aspects of the transaction are being hidden
- agent lacks qualifications other than influence with a customer or potential customer, or government official, but the deal progresses smoothly
- requests for payments to third parties, or a different bank account, particularly where these are located in third party countries unrelated to the transaction.
- agent has a reputation for unethical dealing
- "under the table" payments to government officials or private business contacts are common in local country
- Goods or materials always progressing smoothly through customs, despite the country in question having a reputation for delays

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- you personally think or have feeling that a situation is not transparent and might include improper payments, e.g. where certain parties are involved in the deal whose role is unclear, or where decision making appears illogical or un-commercial.

You should report any noted red flags to your Thermo Fisher representative immediately, and put any related pending business on hold.

Further, all transactions involving Company funds or assets, or transactions conducted on behalf of the Company by agents, consultants, or representatives, must be recorded in reasonable detail and accurately and completely reflect the transactions.

You should also be aware and comply with all local laws concerning imports, exports, and anticorruption/antibribery that apply in your jurisdiction. Thermo Fisher expects all agents and distributors operating on Thermo Fisher's behalf to conduct themselves applying the highest ethical standards at all times.

Participation in any "improper transaction" or deviation from established Company accounting practices is strictly prohibited and may result in disciplinary action, dismissal, termination of a contract or agreement with the Company, or civil or criminal prosecution.

Conclusion

Please note that Thermo Fisher is providing this summary to you in an effort to educate you about certain U.S. and E.U. legal restrictions applicable to our company's products. This document does not constitute legal advice and should not be interpreted as such. Questions about U.S. and E.U. export-related laws should be directed to your own legal counsel.

Please see the following websites for further information:

1. U.S. Export Controls: <http://www.bis.doc.gov/> and www.pmdtc.state.gov
2. U.S. Economic Sanctions: <http://www.treas.gov/offices/enforcement/ofac/>
3. U.S. FCPA: <http://www.usdoj.gov/criminal/fraud/fcpa/>
4. OECD Antibribery Convention: http://www.oecd.org/departement/0,3355,en_2649_34855_1_1_1_1_1,00.html
5. U.K. Bribery Act 2010: <http://www.justice.gov.uk/publications/bribery-bill.htm>