

# ENVIRONMENTAL, SOCIAL AND GOVERNANCE REPORT

MARCH 2023



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# FROM OUR CEO

Great leaders throughout history have embraced being the face of change, accepting the challenge and opportunity to make a difference in the world. Yet this also comes with an incredible sense of responsibility. Last year, we took great pride in being one of the first companies of our size and in our industry to publish an ESG report. As we publish our second ESG report, we continue to embrace being the face of change as we have initiated the industry's first potentially pivotal Phase 2 allogeneic CAR T trial and are the first company to demonstrate proof-of-concept for an AlloCAR T™ product in multiple diseases, including the potential for an AlloCAR T™ product in the treatment of solid tumors.

There currently exists a growing access bottleneck in cell therapy, one in which patients are placed on waitlists as their disease progresses and physicians are forced to make difficult decisions about which of their patients should receive treatment. The challenges faced by our nascent industry are just beginning as demand grows for currently approved autologous CAR T therapies. Autologous CAR T requires a bespoke manufacturing process and complex supply chain that limits the number of patients who may potentially benefit from the therapy. The next revolution is a seismic shift, evolving CAR T from a therapy to an off-the-shelf product that can be delivered on-demand, reliably and at scale – democratizing cell therapy, increasing access, and bringing new hope to patients and the physicians who treat them.

Our Allogene community works hard to be the face of change with a bold mission – to lead the field in delivering the first allogeneic CAR T products to patients with blood cancers and solid tumors.

But this must be done in parallel as we prioritize sustainability and hold ourselves to high ethical standards to ensure we are good corporate citizens along the way.

Our Allogene community is critical to our success, and efforts to cultivate a best-in-class workforce are once again at the core of our sustainability activities. In 2022 we appointed a Chief People Officer, demonstrating our commitment to retaining and developing our incredible teams as we work together to bring our products to patients. Our *One Allogene* culture is core to everything we do and striving to save the lives of patients with cancer remains our north star.

While this year begins our 5th year as a company, our work represents what could be a lifetime of hope for many. I am incredibly proud of how our teams are taking steps to limit our impact on the environment, prioritize the people who make our work possible, and govern Allogene to align with key stakeholders.

We are proud to be the face of change and make a positive impact on society as we work to revolutionize cancer therapy and make AlloCAR T™ products a reality for patients.

Sincerely,



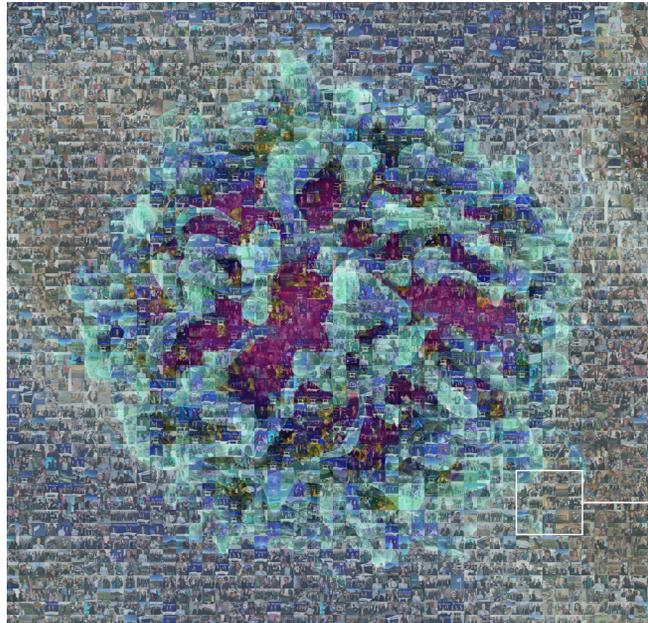
David Chang, M.D., Ph.D.  
President, Chief Executive Officer  
and Co-Founder



# WHO WE ARE

At Allogene, our mission is to create and lead the next revolution in cancer treatment by delivering to patients the first AlloCAR T™ products for blood cancers and solid tumors. As a team, working together, we believe we can revolutionize cancer treatment by making AlloCAR T™ products a reality for patients.

Allogene Therapeutics, with headquarters in South San Francisco, is a clinical-stage biotechnology company pioneering the development of allogeneic chimeric antigen receptor T cell (AlloCAR T™) products for cancer. Led by a management team with significant experience in cell therapy, we are developing a pipeline of “off-the-shelf” CAR T product candidates with the goal of delivering CAR T on-demand, more reliably, and at greater scale to more patients.



This mosaic is hung in the lobby of our headquarters. It is made up of photos submitted by our employees – photos that represent their motivations for working at Allogene to deliver the first AlloCAR T™ products to patients. Through our mosaic and onsite visual media, our team is reminded of the importance of creating a cell therapy that can one day be available to all patients in need.



# AlloCAR T™ PRODUCTS: IMPROVING ACCESS TO CELL THERAPY

Oncology is undergoing a transformation. Innovative new technologies, including cell-based therapies designed to eradicate cancer, are rapidly emerging. But to realize the full potential of this innovation, we must democratize access. This includes making it easier to deliver the therapies that hold the promise of curative potential and savings to the overall health care system.

That's the promise of AlloCAR T™ products.

At Allogene, we are building upon the first wave of innovation in cell therapy: autologous CAR T therapies that arm cells from an individual's own immune system with cancer-killing technology. Autologous CAR T was a major step forward for patients with late-stage blood cancers. However, engineering immune cells from each individual patient is not always possible, and even when it is, the process is complicated and lengthy.

2022 Survey sponsored by Allogene and conducted by an independent third-party research organization of 50 U.S.-based hematologist-oncologists, physician assistants, nurse practitioners, and registered nurses from academic centers with CAR T therapy capabilities

## Recent Survey Unveils Real-World Access Challenges

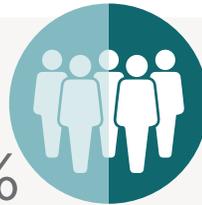
82%



agree that CAR T therapies have changed how they manage aggressive cancers.

Extensive wait times and manufacturing limitations keep many eligible patients from receiving treatment - *even in high-volume centers.*

50%



of eligible patients who can wait for manufacturing receive an autologous CAR T therapy

Of eligible CAR T patients,



12%

receive treatment within one month;



~40%

wait 3-6+ months to receive treatment

For eligible patients,

disease progression

manufacturing capacity

and comorbidities

were the top reasons for not receiving CAR T.

## AlloCAR T™ PRODUCTS: IMPROVING ACCESS TO CELL THERAPY

Allogene CAR T products have the potential to treat dramatically more patients across more cancer types, faster and with fewer limitations than autologous CAR T therapies.

Rather than using a patient's own cells as starting material, allogeneic CAR T involves using donor cells from healthy volunteers that can be engineered at scale for use in a broad population of unrelated patients. The process includes modifying the cells to reduce the risk of graft-versus-host disease as well as to create a window of persistence that may enable allogeneic CAR T cells to expand and eradicate cancer cells in patients. Benefits include:

- Reduced complexity for patients and physicians due to the “off-the-shelf” nature of treatment.
- Scalable manufacturing yielding the opportunity to treat many more patients.
- Faster time to treatment given the potential for on-demand treatment.
- Potential to engineer novel functionality into cells, providing the ability to possibly enhance efficacy, including in difficult to treat solid tumors.
- One-time dosing with greatly reduced inconvenience and cost relative to continuous treatments.

As a leader in the field, we have faced and expect to face many challenges associated with bringing allogeneic CAR T products to patients. We take pride in taking the lead, expanding boundaries, building partnerships and revolutionizing the future of cancer immunotherapy in order to bring new hope to millions of patients suffering from cancer around the world.



## AlloCAR T™ PRODUCTS: IMPROVING ACCESS TO CELL THERAPY



# 175+

patients treated in Phase 1  
clinical trials with AlloCAR T  
product candidates



Advancing

# 2

potentially Phase 2  
pivotal trials

Autologous CAR T therapies face great hurdles to adoption in other parts of the world, which is why Allogene formed a joint venture with Overland Pharmaceuticals - Allogene Overland Biopharm - in China, where the population is large, diverse and geographically disperse. The joint venture is dedicated to accelerating the global development of AlloCAR T™ products, increasing access to CAR T, for patients with hematologic malignancies and solid tumors in China and other Asian Pacific territories.



# 2-5

days:  
Median time to  
initiate treatment



# 100%

of patients received  
AlloCAR T products  
manufactured and  
released per product  
specifications

# 100+

patients may be  
treated from

a single  
manufacturing run  
at scale



# 6

foundational  
platform  
technologies



# 13

pre-clinical  
targets

# VALUING OUR PEOPLE



## VALUING OUR PEOPLE

### Our Allogene Community

**Total employees**  
 >99% full-time

**361**

**77%** are engaged in research, development and technical operations

**52%**

self-reported as women

**DIRECTOR-LEVEL AND ABOVE**

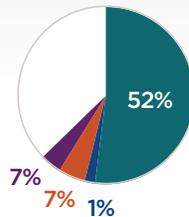
**45%**

self-reported as women

#### Ethnic or racial minorities as defined in the United States

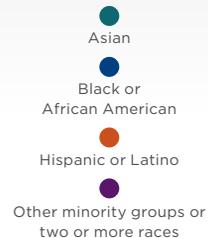
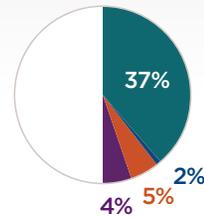
ALL COMPANY

**67%**



DIRECTOR-LEVEL AND ABOVE

**48%**



#### EDUCATION BACKGROUND

**81**

employees hold Ph.D. and/or M.D. degrees

## VALUING OUR PEOPLE

### Our One Allogene Culture

At Allogene, we have an experienced team of people singularly focused on transforming the treatment of cancer. We come together with the shared goal of making a life-changing difference for patients, and we embrace diversity of experience, backgrounds and thought because we are confident that these differences support our mission to create and lead the next revolution in cancer therapy.

In 2022, Allogene was recognized as a Best Place to Work by both the *San Francisco Business Times* and *BioSpace*. We attribute these awards to the significant effort we've put into fostering our *One Allogene* culture, which we formally established in 2021.

Since formally defining our culture, *One Allogene* has permeated through Allogene in many ways, including our diversity, equity and inclusion (DEI) initiatives, recruitment, new hire onboarding, manager and interview training, performance management, peer recognition, and wellness programs. To promote cultural alignment, a group of cross-functional “employee ambassadors” find ways to connect teams to our culture, advance team building activities, and provide recognition opportunities. Our culture continues to evolve based on company growth, business need, industry changes and employee feedback. We encourage candid employee feedback to ambassadors, anonymous submissions to our *One Allogene* suggestion box, and participation in employee surveys.

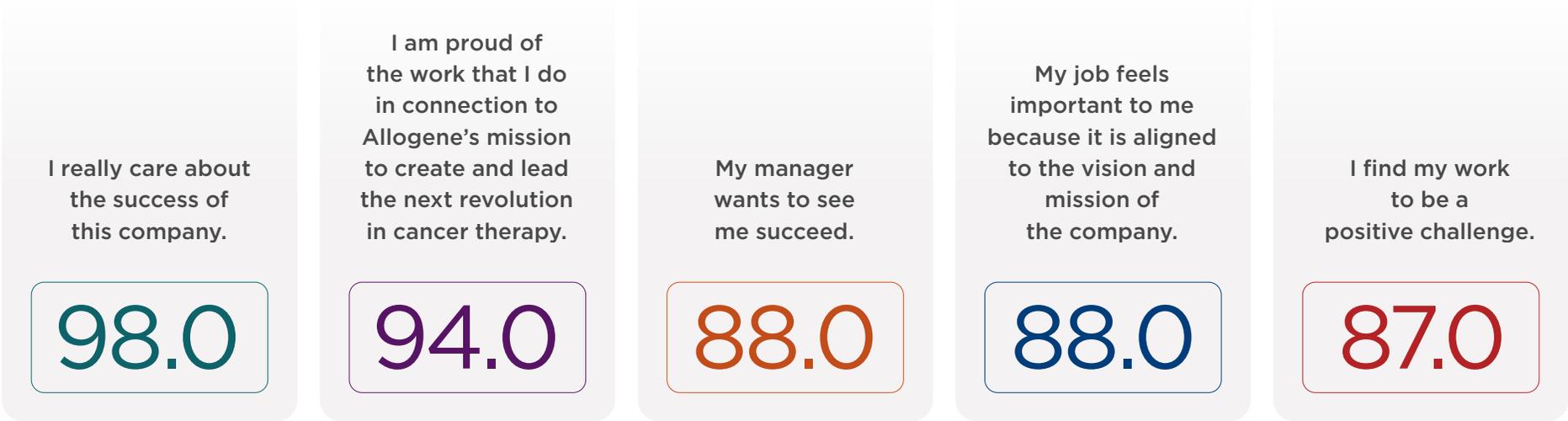
In November 2022, with the assistance of a third-party service provider, we conducted a company-wide employee engagement survey. 92% of employees participated, surpassing the service provider's standard benchmark of 80% participation rate. Survey results demonstrated that employees are extremely committed to the success of the company and are driven by Allogene's mission.



# VALUING OUR PEOPLE

## 2022 Employee Engagement Survey Company Scorecard

True to our *One Allogene* behavior, “Be transparent,” survey results were shared with all employees at a Town Hall meeting, and the 2023 employee engagement plan will be influenced by our findings.



Company score is the average of positive responses and negative responses.

## VALUING OUR PEOPLE

### Cancer Doesn't Discriminate, and Neither Do We

Since our inception, we have embraced DEI and we strive every day to create an inclusive environment.

Our DEI initiatives are applicable to our practices and policies, such as those on recruitment, compensation, and professional development.

**We are focused on continuing to augment the diversity of our workforce and increase opportunities to underrepresented minorities by:**

- Participating in diversity-focused career fairs that promote the inclusion of multi-ethnic or diverse communities of professionals.
- Offering added incentives for employees to refer candidates from underrepresented groups.
- Providing guidance and training on DEI best practices for interviewers and utilizing diverse interview panels to encourage consideration of candidates from underrepresented groups. We also now require that all Allogene recruiters be trained as Certified Diversity and Inclusion Recruiters.

### DEI COMMITTEE MISSION STATEMENT

Cancer doesn't care about your culture, race, ethnicity, gender or identity. Neither should its treatment. We are committed to defeating cancer by leveraging the power of diversity to unlock the best in each of us.

We foster an inclusive environment through respect, collaboration, and open communication with the goal of effecting change. Employee recruitment, internships and mentorships are designed to create a stronger and better Allogene that delivers life-changing products for patients.



**We continue to progress an inclusive work environment that encourages:**

- Respectful communication and cooperation between all employees.
- Valuing and soliciting input, feedback and opinions.
- Teamwork and employee participation, permitting a full representation of perspectives.
- Employer and employee contributions to the communities we serve to promote a greater understanding and respect for diversity.

## VALUING OUR PEOPLE

To champion our efforts in this area, in 2020 we formed a DEI Committee, which is comprised of employees of various levels, departments and backgrounds and is sponsored by our Chief Communications Officer. The DEI Committee formalized a mission statement and advanced a DEI policy to establish Allogene’s commitment to diversity, equity, and inclusion and to ensure our employees are aware of their obligations to adhere to our policy. Pursuant to our DEI policy, all employees are encouraged to attend and complete annual diversity awareness training and new employees are required to take a training on managing unconscious bias.

The DEI Committee continually works to identify gaps, respond to employee feedback, and present suggestions on our practices and policies. These actions are designed to encourage and provide for an environment in which all employees feel included and empowered to achieve their best.

**The DEI Committee aims to increase employee awareness of different cultures, behaviors, experiences and backgrounds by:**

- Inviting expert external speakers to educate our team on topics such as “The I in DEI” and “How to Become an Effective Ally.”
- Expanding to new diversity topics, such as neurodiversity based upon emerging new research and employee requests.
- Hosting our “Let’s Talk” series of small group discussions about prominent topics such as “How to Foster an Inclusive Environment” and “Creating Psychological Safety at Work.”
- Bringing awareness to the diverse backgrounds of our team members by spotlighting their stories and hosting ad hoc events such as lunches that celebrate different heritages.

# VALUING OUR PEOPLE

## Staying Connected and Informed

In early 2019, we launched Allogene’s internal communications application that we call “The CarT.” This platform enables two-way communication and interaction across all employees at all locations. Regular content on this platform includes messages from our CEO; “SLT Top 3” posts by our senior leaders, in which they share their top three priorities for the quarter; employee recognition; event announcements; Human Resources (HR) updates; photos from the Allogene community; and safety, legal, compliance, and cybersecurity updates and reminders.



In 2022, we revamped our employee intranet, “AlloNet,” to ensure employees can quickly access current information regarding benefits and wellness, learning and development, company culture, policies, and initiatives with a modern interface for a user-friendly experience.

We host regular Town Hall meetings, offering the latest Allogene updates and taking questions through an anonymous online Q&A tool.

Our Senior Leadership Team (SLT) also host “Ask Us Anything” events, which are informal Q&A sessions to give employees the opportunity to ask any question they may have about Allogene, the industry, or whatever is on their minds.

It is our strong belief that bringing employees together regularly will foster our *One Allogene* culture - especially the trust, candor, thoughtful decision making and efficient collaboration that are strengthened by team camaraderie and in-person interaction - and is inherent to Allogene’s success. In 2022 Allogene implemented a new hybrid work policy, in which most employees are expected to work onsite at least three days per week. We also host frequent in-person and virtual social and wellness events, including Trivia Nights, March Madness and holiday parties, yoga classes and meditation sessions, to maintain our culture.



**IT IS OUR STRONG BELIEF THAT BRINGING  
EMPLOYEES TOGETHER REGULARLY WILL FOSTER  
OUR ONE ALLOGENE CULTURE...**

# VALUING OUR PEOPLE

## Safety in the Workplace

One key aspect of our *One Allogene* culture is the principle that “We Aim for Excellence and Give it Our All,” and that includes prioritizing safety. Ingrained in that behavior is the tenet to follow all health and safety policies and procedures and prioritize the safety of our team.

To maintain a safe and healthy workplace, we have a comprehensive Environment, Health and Safety (EHS) program that focuses on key risk mitigation programs that identify, assess, and correct hazards. In addition, we have emergency response teams at each location that are responsible for sweeping the Allogene buildings during an emergency evacuation to account for all employees and providing first-aid care for fellow colleagues in the event of injury, exposure, or medical emergency. An external third party conducts an audit every three years to ensure the program is adhering to safety and environmental regulations. In 2022, this audit was completed without any significant findings.



**IN 2022, ALLOGENE HAD A RECORDABLE INCIDENT RATE OF 1.28, INCLUDING AN INJURY RATE OF ZERO...**

**We also have a task-based safety training program that ensures staff are assigned the appropriate training to understand how to safely perform their duties. At minimum, all workers are required to complete New Hire Orientation which includes training on:**

- Injury and Illness Prevention Program
- Fire Prevention
- Hazard Communication
- Emergency Action Plan
- Security Program

Furthermore, access to controlled areas is dependent on a worker’s role, training, and business need, a policy that protects both employee safety and laboratory integrity. Additional trainings are assigned to employees based on their job duties and may include topics such as bloodborne pathogens, hazardous waste management, electrical safety, and control of hazardous energy.

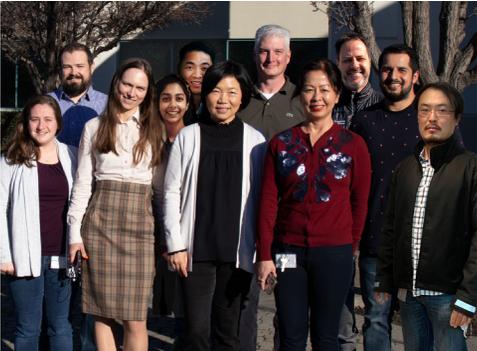
In 2022, Allogene had a recordable incident rate of 1.28, including an injury rate of zero, and no Occupational Health & Safety (OH&S) related deaths.

# VALUING OUR PEOPLE

## *EHS Governance and Engaging Employees*

In collaboration with Allogene's EHS team, each site has a cross-functional EHS committee that is comprised of members across different functions and different levels in the organization.

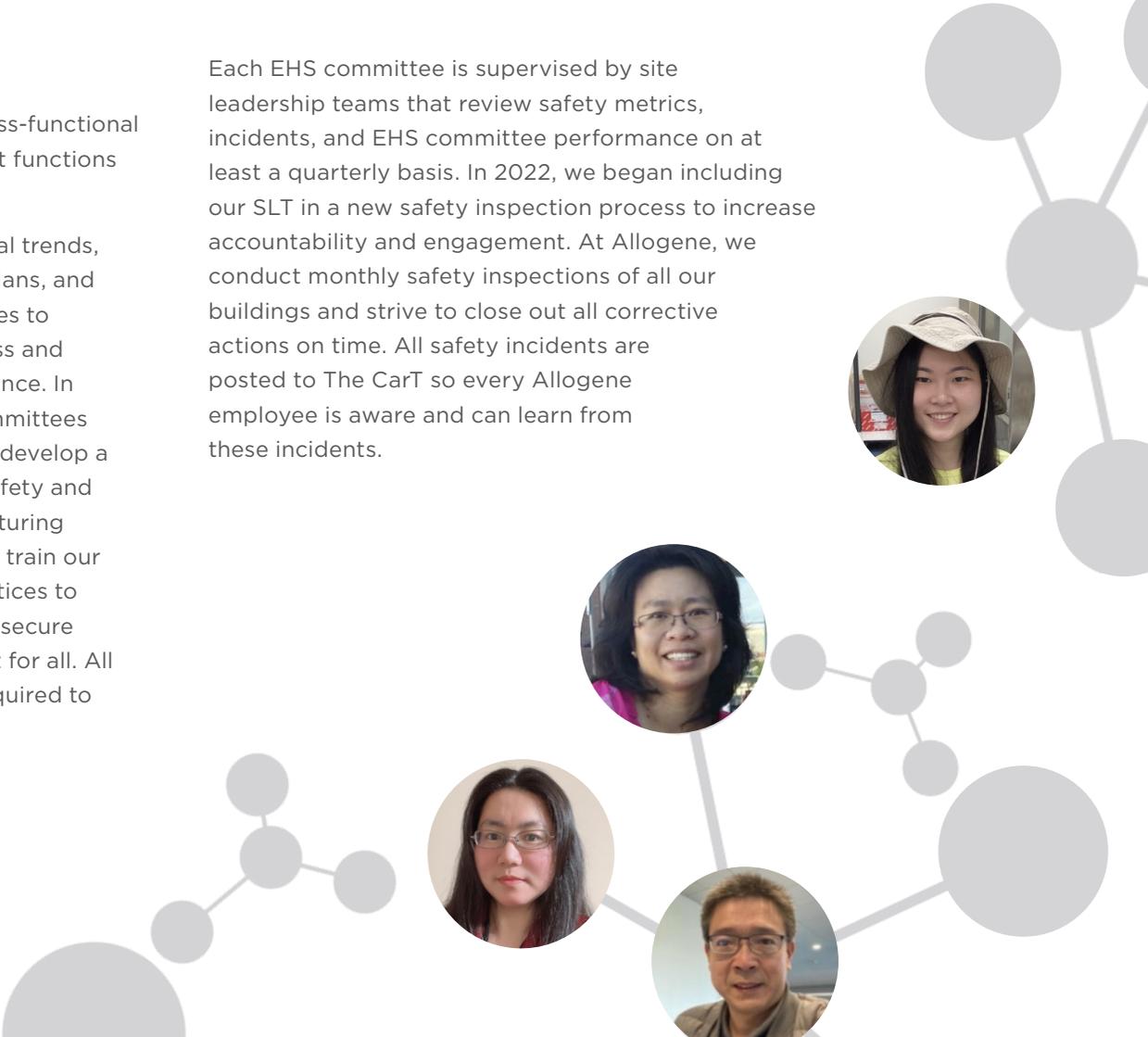
The EHS committees review safety metrics to identify potential trends, review and analyze incidents to provide feedback on action plans, and



South San Francisco EHS Committee

drive EHS initiatives to increase awareness and improve performance. In 2022, the site committees came together to develop a comprehensive safety and security video featuring our employees, to train our staff on best practices to ensure a safe and secure work environment for all. All employees are required to take this training.

Each EHS committee is supervised by site leadership teams that review safety metrics, incidents, and EHS committee performance on at least a quarterly basis. In 2022, we began including our SLT in a new safety inspection process to increase accountability and engagement. At Allogene, we conduct monthly safety inspections of all our buildings and strive to close out all corrective actions on time. All safety incidents are posted to The CarT so every Allogene employee is aware and can learn from these incidents.



# RECRUITING, DEVELOPING AND RETAINING TALENT

Successful execution of our recruitment strategy is dependent on attracting, developing and retaining our employees. Our leadership in the field of allogeneic cell therapy and our bold culture have allowed us to recruit a talented workforce.

Recognizing the value of our best-in-class workforce, in 2022 we hired Allogene's first Chief People Officer, a role aimed at attracting new talent and retaining and cultivating our existing team as Allogene scales operations for the next stage of growth. We also implemented a corporate goal around attrition - to decrease our attrition rate by 15% - which we well exceeded by decreasing our attrition rate by over 50% year over year.



During the interview process, we encourage consistent questions to mitigate unconscious bias and utilize behavioral interviewing techniques to assess experience, skills, knowledge and behaviors. We also make concerted efforts to compile a diverse panel of interviewers when assessing each candidate to further reinforce the importance of gaining perspectives from people with different backgrounds, thoughts and experience. Our focus is on hiring candidates that are a “culture add” rather than a “culture fit.” We believe it to be critical that this is viewed both ways, meaning that the candidate is also interviewing Allogene.

Our recruitment efforts are designed to diversify our workforce, increase opportunities to underrepresented minorities and benefit the local community.

We are in a highly competitive field and geographic region for life science talent and historically have faced proportionally higher attrition among our research, development and technical operations teams than our general and administrative teams. While our voluntary attrition rate declined to 12% in 2022, we believe we will continue to face significant competition for life science talent.

## RECRUITING, DEVELOPING AND RETAINING TALENT

### Compensation & Benefits

Along with our *One Allogene* culture, we offer an attractive total compensation package, which helps recruit and retain our talent. Our compensation package includes market-competitive pay, broad-based stock grants and a 401(k) plan with company-matching benefits. Other highlights and benefits include:

- Office closures at year-end and the week of July 4th.
- “No Meeting” Friday afternoons.
- Lunch program subsidized by Allogene.
- Reimbursements for reasonable and necessary business expenses.
- Mental health and wellness support, such as through our Employee Assistance Program that includes a 24-hour, 7-day free emotional-support help line, guided meditations and exercise, company-wide wellness competitions, and reimbursements for gym memberships.
- Paid leave programs, including for medical leave, dependent care and new parents.

Recognizing the importance of employee wellness, in 2022 we:

- Implemented new vacation and sick time policies, granting employees 10 sick days to be used to promote physical and mental wellbeing.
- Enhanced our benefits offerings and health savings subsidies, incorporating COBRA care for any employee who transitions from Allogene.
- Launched a new wellness platform, which supports employees’ physical and mental wellbeing.
- Held four company-wide workout challenges.
- Hosted onsite flu shot clinics.
- Hosted a biometrics wellness screening, in which employees had the opportunity to be privately screened for total cholesterol, triglycerides and glucose levels and other biometrics such as blood pressure and body mass index (BMI).

## RECRUITING, DEVELOPING AND RETAINING TALENT

We base components and ranges of compensation on market and benchmark data, striving to pay all employees equitably within a reasonable range, taking into consideration factors such as role; internal equity; job location; relevant experience; and individual, department and company performance.

In 2022, given market conditions for the biotech industry and with approval of our shareholders, we were a standout in our industry by offering employees a voluntary stock option exchange program, in which eligible employees who held stock options with an exercise price over \$18.00 and granted prior to December 31, 2021 were given the ability to exchange these options for lower-priced options. We offered a 1:1 exchange and options were reset to a three-year vesting term. Certain senior executives, directors, and consultants were excluded from participating in this program. 96% of eligible employees participated.



**IN 2022 ... WE WERE A STANDOUT IN OUR INDUSTRY  
BY OFFERING EMPLOYEES A VOLUNTARY STOCK  
OPTION EXCHANGE PROGRAM ...**

We believe that the option exchange furthers long-term stockholder value by increasing our ability to retain experienced and talented employees, aligning the interests of these individuals more fully with the interests of our stockholders, improving morale among our employees, and reinvigorating a culture where equity compensation is a key component of our overall compensation package.

We conduct an annual third-party benchmark analysis of our compensation practices and structures and in 2022, again confirmed that our compensation program is equitable. It is our policy to review and take action if we identify employees with unjustified pay gaps. We conduct and report on our pay equity analysis to our Compensation Committee on an annual basis.

Our employees are eligible for annual bonuses that are tied to both individual and company performance to foster a merit and performance-based culture. Employees are also eligible for annual equity grants.

We offer an attractive Employee Stock Purchase Program, which allows all employees to purchase Allogene shares twice a year at a 15% discount with a two-year offering period and lookback provision. This means that for each 6-month purchase, the plan will default to the lower of the price at the purchase date or the price at the beginning of the offering period. The 15% discount is then applied to the lower price.

## RECRUITING, DEVELOPING AND RETAINING TALENT

### Career Development

We are creating a culture of continuous improvement and one that fosters career development. Some highlights:

- Employees create annual Individual Goals that are intended to tie into department or corporate goals, as well as Individual Development Plans to outline their own career goals and to provide a basis for development conversations between employees and their managers.
- Career Ladders clarify the criteria and expectations of each job level at Allogene. This resource, developed by more than 100 employees at Allogene, supports managers in their career development discussions with direct reports and provides transparency to employees around promotion criteria.
- Mid-year and year-end performance reviews include discussions about goals and how employees demonstrate and model core *One Allogene* behaviors.

To further their own professional development, employees can use a variety of learning and development resources, including a catalog of over 1,000 offerings provided by a leading HR solutions provider, as well as live trainings offered throughout the year.

### Spot Recognition through Allogene's Gratitude Lab

At Allogene, we celebrate big and small achievements through an internal channel called The Gratitude Lab. Through The Gratitude Lab, employees can nominate colleagues for spot recognition awards for exhibiting our *One Allogene* core behaviors and for going above and beyond expected job responsibilities. The Gratitude Lab nominations are shared with all employees on The CarT to bring awareness to the great work being done by our teams.

**265** Gratitude Lab spot bonuses were awarded in 2022

### Taking a Stand

In 2022, Allogene employees recognized the crisis in Ukraine and raised money to donate to children with cancer in the war-stricken country. In what represents *One Allogene* at its core and central to our mission of being leaders in every aspect, these donations were personally matched by our CEO and Executive Chairman.

# PRIORITIZING ENVIRONMENTAL SUSTAINABILITY



## PRIORITIZING ENVIRONMENTAL SUSTAINABILITY

The well-being of our communities is enriched by a safe, clean and healthy environment. We aim to reduce our environmental footprint and impact through corporate initiatives and in compliance with applicable laws and regulations.

**The objectives of our approach to minimize environmental impact are to:**

- Be an environmentally responsible corporate citizen
- Monitor consumption of resources used by Allogene in our operations
- Educate our employees and provide channels for employees to create environmental awareness and contribute to our efforts
- Monitor and continually improve our measures to use resources more efficiently and minimize adverse environmental effects.



## PRIORITIZING ENVIRONMENTAL SUSTAINABILITY

### The Facility of the Future: Cell Forge 1



Cell Forge 1 (CF1) is Allogene's state-of-the-art cell manufacturing facility in Newark, California and the home of the next revolution in CAR T cell products. Our 136,000 square foot facility was designed and constructed from the ground-up to optimize energy performance and efficiency.

This includes the use of low-emitting materials, segregation and recycling of construction waste, and selection of energy-efficient utility equipment. With construction completed in 2020, it is a high-profile example of our commitment to environmental sustainability.

In 2022, the facility earned LEED Gold certification for its environmentally friendly design and construction.

CF1 is a fully-electric facility with power that is supplied by 2,400 solar panels installed on the roof, batteries charged by the solar panels, and power supplied by our utility company, which comes from 100% renewable solar and wind power.

#### The building's energy efficient design and construction includes:

- Heat Pump technology for heating and cooling
- Dedicated outdoor air system
- Hot Aisle Containment (HAC)
- Natural light or LED lighting throughout
- Energy metering and performance monitoring, allowing for continued energy reduction efforts



## PRIORITIZING ENVIRONMENTAL SUSTAINABILITY

### Current Initiatives to Reduce Environmental Impact

We have several ongoing efforts to protect the environment. These include sustainability initiatives to reduce greenhouse gas emissions by utilizing renewable energy and reducing energy demand by reviewing our systems for energy efficiency. CF1 uses 100% carbon-free, renewable energy, and our sites in South San Francisco, California utilize electric power from sources that are 50% renewable.

In 2022, we celebrated Earth Week at Allogene and ran a comprehensive campaign to encourage employees to prioritize sustainability. Aside from spotlighting Allogene's sustainability initiatives, our EHS team and our employees shared sustainable habits on our internal communications platform, and employees were eligible for sustainable prizes, like a composter, for their participation.

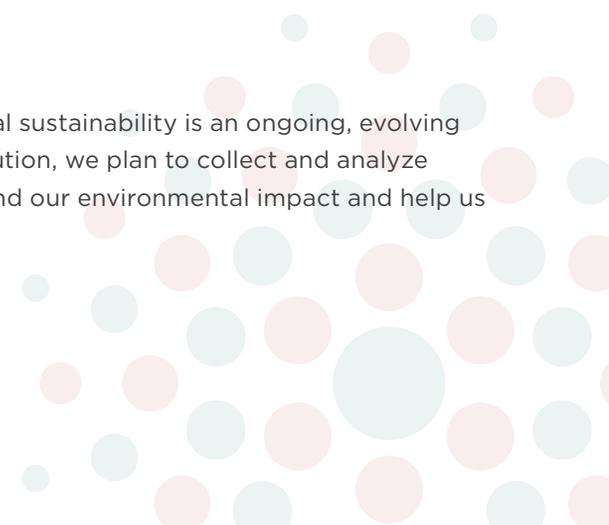
#### Other sustainability initiatives include:

- Electric vehicle charging stations
- A \$50-per-month reimbursement for employees taking public transit
- Subsidized passes for employees who take commute.org shuttles in the Bay Area
- Recycling/composting, including signage at waste containers to help employees understand what can be composted and what can be recycled to divert waste from landfill
- Water-use reduction devices on all bathroom faucets and toilets
- Dispensers for snacks and compostable utensils that reduce packaging and container waste
- Compostable materials used for all crockery at Allogene sites and events
- Removal of plastic bottle drinking options
- Reusable cups and mugs provided to all new employees
- Recycling disposable face masks at all sites
- Implementing a new program to sanitize our safety glasses to enable reuse as part of our standard laboratory operation practices for the labs located in our headquarter facility

Our CF1 facility had one environmental notice of violation in 2022 but is completing infrastructure remedial upgrades to the facility.

### Our Focus for the Future

Our commitment to environmental sustainability is an ongoing, evolving development. To assist in its evolution, we plan to collect and analyze relevant data to help us understand our environmental impact and help us improve going forward.



# PURSUING THE HIGHEST ETHICAL STANDARDS

## Allogene's Board and Corporate Governance

ESG oversight starts with Allogene's Board of Directors. In December 2021, our Board and Nominating and Corporate Governance Committee approved an amendment to the Committee's charter for explicit oversight of ESG matters at Allogene. The Committee also has responsibility for reporting to the Board periodically on ESG matters.

### *Board Diversity*

At Allogene, we strive to achieve Board diversity in the broadest sense by including persons diverse in gender, ethnicity, age, experience and geographic location. Our Board is comprised of healthcare investors, academics, pharma industry veterans and biotech entrepreneurs, many of whom have extensive experience in cell therapy. In 2022, the Board appointed an additional director from an underrepresented community. Two other directors joined our Board in 2021, and the remainder joined our Board in 2018. The eleven directors range in age from 46 to 80. Three directors self-identify as female, two self-identify as Asian and one self-identifies as African American.

Our Nominating & Corporate Governance Committee (NCGC), which oversees Allogene's ESG initiatives at the Board level, reviewed ESG practices at multiple NCGC meetings in 2022.

Our cross-functional ESG Working Group assists the NCGC in fulfilling its oversight responsibilities with respect to ESG. The Group is comprised of colleagues from the following departments:

- Clinical Operations
- Environmental, Health and Safety (EHS)
- Human Resources
- Investor Relations
- Legal
- Quality
- Supply Chain



## PURSUING THE HIGHEST ETHICAL STANDARDS

### Business Ethics and Human Rights

We have a set of policies that reinforce our commitment to ethical and responsible conduct. At the center is our [Code of Business Conduct and Ethics](#). Other key policies include our [Diversity, Equity and Inclusion Policy](#); [Workplace Harassment, Discrimination and Retaliation Prevention and Complaint Procedures Policy](#); and [Open Door Policy](#).

We have also implemented a [Human Rights Policy](#), which is discussed in more detail below. All of these policies are available on our internal and external websites.

We recognize our responsibility to develop a company culture that advocates respect for all human rights and avoids complicity in human rights abuses. Our Human Rights Policy supports the principles outlined in the UN Guiding Principles on Business and Human Rights and addresses human rights matters relating to the workplace, environment, clinical trials and its supply chain. In 2022, we distributed our Human Rights Policy to our Partners, and it is now incorporated into all new contracts through our Purchase Order Terms and Conditions.

#### Topics covered in the Allogene Code include

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- Honest and Ethical Conduct
- Legal and Regulatory Compliance
- Diversity, Equity, Inclusion and Anti-Harassment
- Insider Trading
- International Business Laws
- Antitrust
- Environmental Compliance
- Conflicts of Interest
- Corporate Opportunities
- Financial Integrity and Public Reporting
- Fair Dealing
- Gifts and Entertainment
- Protection and Proper Use of Corporate Assets
- Confidentiality

## PURSUING THE HIGHEST ETHICAL STANDARDS

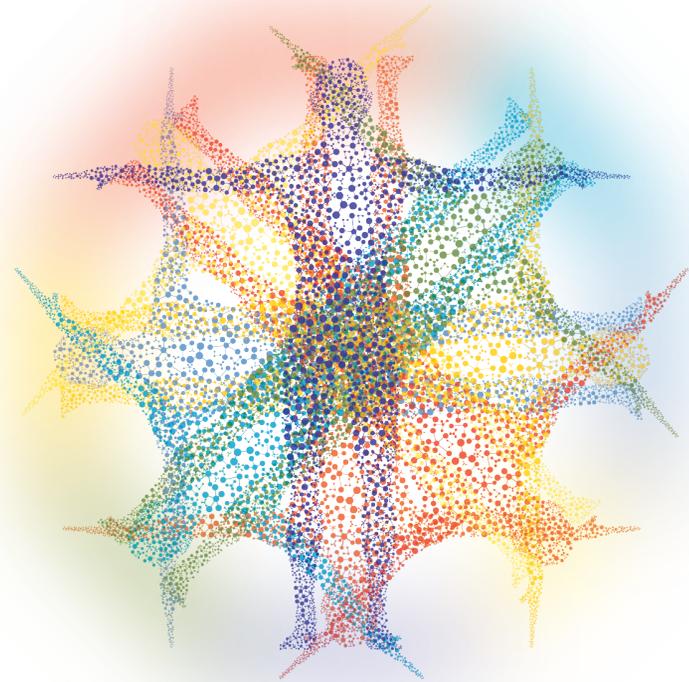
### *Training*

Our employees receive mandatory quarterly compliance training, periodic written notices on compliance matters and are offered a variety of other resources and trainings to encourage diversity, equity and inclusion, anti-harassment and compliance with laws. In addition, the SLT undergoes annual training by external counsel on compliance matters.

### *Reporting Resources and Non-Retaliation*

If someone at Allogene has a good faith complaint regarding a possible violation of law or policy, we expect them to report that complaint promptly. We offer a 24/7 whistleblower hotline managed by a third party to allow for anonymous reporting. Third parties, including consultants and vendors, may also make a good faith complaint. Employees are encouraged to report non-compliance without fear of any form of retaliation. We will take prompt disciplinary action against any employee who retaliates, up to and including termination of employment.

Our Board has designated our General Counsel as our Compliance Officer, who is required to follow certain procedures upon the receipt of any report alleging violation of company policies. Employees who do not feel comfortable speaking with our Compliance Officer can contact our Chief Financial Officer, Chief Executive Officer or the chair of the Board of Directors' Audit Committee.



## PURSUING THE HIGHEST ETHICAL STANDARDS

### Clinical Trials

Allogene is a clinical-stage company and we do not currently commercialize or market any prescription biopharmaceutical products. We design and conduct our clinical trials with high standards per International Conference on Harmonization of technical requirements for registration of pharmaceuticals for human use and Good Clinical Practice (ICH-GCP). We follow the ICH-GCP standards, which are consistent with global ethical standards that have their origin in the World Medical Association's Declaration of Helsinki, to ensure that ethical and scientific qualities are maintained throughout our trials to generate results that are reliable and valid.

Prior to commencing any clinical trial, we must meet strict rules set forth by the U.S. Food and Drug Administration (FDA), including submitting an Investigational New Drug (IND) application for clearance by the FDA. In addition, an independent Institutional Review Board (IRB) for each clinical trial site must review and approve the plan for any clinical trial before it commences at that site. Upon trial initiation, we take responsibility for ensuring that the clinical trial is conducted in accordance with an investigational plan and protocol that is in conformity with all regulatory requirements and approvals.

Allogene recognizes the importance of publishing the results of clinical trials. At a high level, publication encourages innovation and the development of new medicines, enables avoidance of duplicative trials, and builds public trust by fulfilling our obligations to participants and allowing others to analyze the data. More importantly, Allogene believes that the goal of conducting a clinical trial is to benefit patients and making the results of our trials available for patients and their physicians to determine appropriate treatments is a significant step to serving patients. Allogene is committed to publishing the results of our clinical trials after completion of the trial in accordance with regulatory requirements.

Allogene publishes results of its research and development at various timepoints, as appropriate. These are available on the Allogene website, under [Scientific Publications](#).

### *Intellectual Property*

Allogene sponsors research at several academic research centers to help advance innovations from the academic laboratory into translatable products/services that can provide greater social benefit. In addition to funding, Allogene may share its proprietary materials and know-how to collaborate with these non-profit institutions to further their research initiatives.

Separately, Allogene patent applications are published on the USPTO and WIPO websites in accordance with applicable publication requirements.

# PURSUING THE HIGHEST ETHICAL STANDARDS

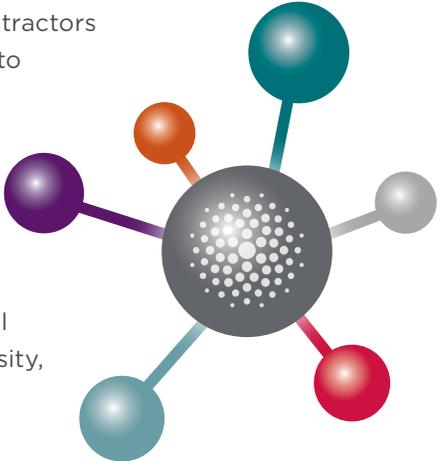
## Product Quality and Patient Safety

Our product candidates are subject to extensive regulations focused on quality and safety. All product candidates must be manufactured pursuant to current good manufacturing practices (cGMP) requirements, using qualified equipment and materials. Allogene’s Operations Technology Department has implemented a number of procedures and processes to assure appropriate cGMP manufacturing and product release.

We have an internal Safety Review Board that manages the safety of Allogene’s product candidates and communication of safety matters with key stakeholders such as regulators, investigators and clinical sites, including the sites’ IRB. We may also engage an independent group of qualified experts organized by Allogene, known as a data safety monitoring board (DSMB), to provide an independent review of clinical trial data at designated checkpoints and advise us regarding the continuing safety of clinical trial subjects. Through its regular review of data, the DSMB may recommend changes to the trial design based on emerging safety concerns, including termination of the trial if it identifies an unacceptable safety risk for subjects. In 2022, a DSMB was established for our Phase 2 allogeneic CAR T trials.

## Supply Chain and Partners

We rely on a network of business partners to help accomplish our goal to successfully treat cancer patients. This network includes upstream and downstream supply chain through our partners, service providers, suppliers and contractors (Partners). We expect our Partners to exercise responsible and ethical practices and to maintain compliance with all legal and regulatory requirements. We distribute our Human Rights Policy to our Partners to ensure our intentions around environmental responsibility, labor practices, diversity, equity and inclusion are clear.



[ALLOGENE HAS] AN INTERNAL SAFETY REVIEW BOARD THAT MANAGES THE SAFETY OF ALLOGENE’S PRODUCT CANDIDATES AND COMMUNICATION OF SAFETY MATTERS WITH KEY STAKEHOLDERS...

# PURSUING THE HIGHEST ETHICAL STANDARDS

## Managing Cybersecurity Risk

At Allogene, we are committed to maintaining a secure information technology environment. We have amended our Audit Committee charter to include oversight of cybersecurity. We follow the guidance of the National Institute of Standards and Technology (NIST) and rely on the five functions of the NIST framework, as illustrated below.

At Allogene, we believe cybersecurity starts with a trained and educated workforce. Each year, employees are required to complete a mandatory

online cybersecurity training course. Allogene’s IT Security team shares monthly awareness communications and provides periodic reminders regarding cybersecurity. Lastly, we run a simulated phishing campaign with prizes to incentivize team members to increase recognition of potential security threats and reporting.

In 2022, Allogene had no material cybersecurity breaches to our knowledge.



### Identify

We identify threats through various means, including through employee training, establishing new cyber policies and standards, and performing ongoing assessments of our programs.



### Protect

We work to protect all of our confidential data with secure firewalling for lab and manufacturing systems to mitigate risk, an advanced email security solution, restriction of USB usage on laptops to reduce data loss and strict permissions to protect network shares.



### Detect

We are continuously monitoring and detecting threats with 24-hour rapid monitoring, quarantine of any compromised device and frequent operational review of cyber risks and trends.



### Respond

We have established a robust incident response plan for our IT team to utilize and have partnered with a reputable cybersecurity partner for response.



### Recover

We have a recovery system in place to ensure critical lab and manufacturing systems are backed up and recoverable where possible.

## 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, may, will, intend, expect, strive, seek, and design*, and include, among other things, statements about Allogene's mission, plans, goals, assets, and programs. For such statements, Allogene claims the protection of the Private Securities Litigation Reform Act of 1995. Actual events or results may differ materially from Allogene's expectations. Factors that could cause actual results to differ materially from the forward-looking statements are disclosed in Allogene's filings with the Securities and Exchange Commission (SEC), including under the Risk Factors heading of Allogene's most recently filed Annual Report on Form 10-K or Quarterly Report on Form 10-Q. These forward-looking statements represent Allogene's judgment as of the time this report was first published. Allogene disclaims any intent or obligation to update these forward-looking statements, other than as may be required under applicable law.

