



# PFIZER ANTI-BRIBERY AND ANTI-CORRUPTION PRINCIPLES

## **Introduction**

Pfizer Corporate Policy #201 (Lawful and Ethical Behaviour) provides that Pfizer colleagues must conduct all Pfizer business in a lawful and ethical manner, in accordance with applicable laws and regulations, including the US *Foreign Corrupt Practices Act, 1977* (the "FCPA"). The FCPA prohibits making, promising, or authorising the making of a corrupt payment or providing anything of value to a government official to induce that official to make any governmental act or decision to assist a company in obtaining or retaining business. The FCPA also prohibits a company or person from using another company or individual to engage in any of the foregoing activities. As a US company, Pfizer must comply with the FCPA and could be held liable as a result of acts committed anywhere in the world by a Pfizer consultant, agent, or representative, or even by a company acting on behalf of Pfizer ("Business Associates"). Therefore, Pfizer requires all of its Business Associates to conduct their Pfizer-related work in accordance with these principles.

## **Definition of a Government Official**

Under Pfizer's policies, "government official" is broadly interpreted and includes:

- (i) any elected or appointed government official (eg a member of a ministry of health);
- (ii) any employee or person acting for or on behalf of a government official, agency, or enterprise performing a governmental function;
- (iii) any political party, officer, employee, or person acting for or on behalf of a political party or candidate for public office; or
- (iv) an employee or person acting for or on behalf of a public international organisation (eg the United Nations).

"Government" is meant to include all levels and subdivisions of governments (ie local, regional, or national and administrative, legislative, or executive). Because this definition of "government official" is so broad, it is likely that Business Associates will interact with a government official in the ordinary course of their business on behalf of Pfizer. For example, doctors employed by state-owned hospitals could be considered "government officials" under Pfizer's policies.

## **FCPA, Anti-Corruption and Anti-Bribery Principles**

Business Associates may not directly or indirectly make, promise, or authorise the making of a corrupt payment or provide anything of value to any government official to induce that government official to make any governmental act or decision to help Pfizer obtain or retain business. Business Associates may never make a payment to or offer a government official any item or benefit, regardless of value, as an improper inducement for such government official to approve, reimburse, prescribe, or purchase a Pfizer product, to influence the outcome of a clinical trial, or otherwise improperly to benefit Pfizer's business activities.

## **Understand and Follow Local Laws**

Business Associates need to understand whether local laws, regulations, or operating procedures (including requirements imposed by government entities such as state-owned hospitals or research institutions) impose any limits, restrictions, or disclosure requirements on compensation, financial support, donations, or gifts that may be provided to government officials. Business Associates must take into account and comply with any applicable restrictions in conducting their Pfizer-related activities. If a Business Associate is uncertain as to the meaning or applicability of any identified limits, restrictions, or disclosure requirements with respect to interactions with government officials, that Business Associate should consult with his or her primary Pfizer contact before undertaking their activities.