



CORPORATE SOCIAL RESPONSIBILITY REPORT 2019



Mallinckrodt
Pharmaceuticals

Corporate Social Responsibility (CSR) at Mallinckrodt

Mallinckrodt is a global biopharmaceutical company dedicated to developing innovative therapies and cutting-edge technologies for underserved patients with severe and critical conditions. We believe our success is defined not only by our ability to improve the lives of patients, but also by the positive impact we can make in the world. Every day we strive to be a better corporate citizen and seek opportunities to make a difference. Our commitment to building strong communities; supporting diversity, equality and inclusion; and operating our business in a sustainable, socially responsible way is fueled by our values, which have guided our company for more than 150 years.

Our CSR Priorities

- ▶ **Improve the lives of underserved patients with severe and critical conditions**
- ▶ **Foster a culture of diversity, equality and inclusion**
- ▶ **Strengthen the communities where our employees live and work**
- ▶ **Conduct our business with integrity and transparency**
- ▶ **Responsibly manage our ecological footprint**

Mallinckrodt BY THE NUMBERS



>\$3B

2019 net sales



20+

drug development
programs



\$349.4M

2019 investment in R&D
(11% of net sales)



150+ Years

of patient-driven innovation



4 Core Values

patient-centric, integrity,
innovative, collaborative



3,400+

global employees



8 diverse employee
business resource
groups



Top 10

ERG & Council Honors Awards
3 Consecutive Years

4

Consecutive Years
Human Rights Campaign's
Best Places to Work for
LGBTQ Equality (2017-2020)



2019

LGBTQ Business Equality
Excellence Award
Recipient



\$7.1M

total charitable giving
in 2019



341

charitable organizations supported
through MNK's U.S. matching gifts
program in 2019



2,000+

hours volunteered during
2019 Global Month of Service



100+

patient education
initiatives supported

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I am extremely proud of the work Mallinckrodt's employees have undertaken to support relief efforts and to individually lend a hand in our local communities.

Message From Our CEO

At Mallinckrodt, we are dedicated to improving the lives of underserved patients with severe and critical conditions. We are also dedicated to making our world a better place.

For more than 150 years, Mallinckrodt has advanced the fields of science and medicine to improve patient outcomes and, throughout our history, we have strived to create a socially and environmentally responsible culture built on trust, integrity and collaboration. Today, our commitment to operating and growing our business responsibly is stronger than ever.

As part of this effort, I am pleased to introduce our first annual Corporate Social Responsibility (CSR) report, illustrating our wide-ranging commitment to corporate stewardship. In the pages that follow, we highlight Mallinckrodt's CSR priorities and ongoing initiatives – including our innovative pipeline and commitment to patients, responsible business practices that promote the highest standards of ethics and transparency, and unwavering dedication to being a good employer, neighbor and corporate citizen.

As the world navigates the current COVID-19 pandemic, I'm inspired to see people around the world rising up to help one another during these trying times. And, I am extremely proud of the work Mallinckrodt's employees have undertaken to support relief efforts and to individually lend a hand in our local communities. While this report is focused primarily on 2019 activities, we have highlighted some of the efforts from this year in the pages that follow.

During these uncertain times, one thing is very clear: Corporate responsibility matters more now than ever. Recent events, such as the heartbreaking and senseless killing of George Floyd have shined a light on the injustices and systemic racism that continues to challenge the United States and much of the world. As a global organization, we have an opportunity and responsibility to work toward making our communities a kinder, more just and more equitable place for all people to thrive – regardless of race, ethnicity, gender or sexual orientation – and we are committed to doing our part. We have been listening to our employees, members of our communities, patient group partners, policymakers and other stakeholders as we seek a path forward to meaningful change. You can read more about our commitment on [our company blog](#), and we will share additional plans around specific initiatives we intend to undertake in the coming weeks.

At Mallinckrodt, corporate social responsibility is more than just a priority, it is a fundamental and inseparable part of our culture and purpose as an organization. This report is another step in our ongoing efforts to be more transparent and to continue a conversation with our stakeholders about how we can be an even better corporate citizen. On behalf of Mallinckrodt's employees around the globe, thank you for your interest and feedback.

Sincerely,

Mark Trudeau
President and Chief Executive Officer

July 2020





Responding to COVID-19 Together

We are doing our part to help combat the coronavirus, while also supporting the needs and safety of our employees, customers and communities. Here are some of the ways we are making a difference during this challenging time.

Ensuring employee safety and supporting community efforts across the globe



12,000+

gallons of hand sanitizer donated to emergency operation centers and opioid treatment programs in the U.S.



2

clinical studies supported to evaluate the role of nitric oxide as a treatment for patients infected with COVID-19



54,000+

pieces of PPE and 3 ventilators distributed worldwide



\$400K+

donated to support community response to COVID-19



Instituted a volunteer leave program to give medically trained employees paid time off to treat or care for patients with COVID-19



Zero interruptions to manufacturing operations of critical medicines for patients



Remote working for the majority of employees

Our Employees Taking Action and Making a Difference

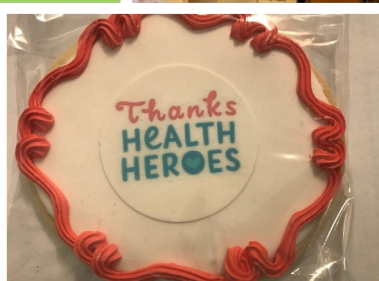


Jesper Nilsson, RN, a Clinical Specialist in Sweden, and Erica Ruppert, MSN, CNS, ANP-BC, a Rheumatology Specialist in New York, volunteered at their local hospitals to help those in need.

Eoin Cannon and Michael Walsh in Dublin, Ireland, made over 7,000 self-assembly face visors, supplying 40 hospitals and health care centers at the peak of the crisis.

Meg Geisewite, a Rheumatology Senior Sales Specialist, started a campaign to help feed emergency department health care workers. She raised \$4,700 to feed 1,200 workers in six Delaware hospitals.

Steven Spencer, Director of Commercial Excellence, raised \$6,790 to feed the day and night staff at St. Peter's Hospital in New Brunswick, New Jersey. He prepared 300 BBQ meals – the largest food donation to date for the hospital.





Putting Patients First

Making a difference is what drives us every day as we work to develop innovative therapies and technologies for patients with severe and critical conditions. We see challenges as opportunities to change lives.

Advancing Our Pipeline

Advancing our pipeline is crucial to our mission. We are committed to developing new, innovative medicines that address the unmet medical needs of patients, as well as generating clinical and health economics and outcomes research data to support our current product portfolio. We currently have over two dozen programs in various stages of development across our key areas of focus: Critical Care, Immunology and Specialty Generics. **In 2019, we invested nearly \$350 million, or 11% of net sales, in research and development (R&D) to advance our innovative pipeline and inline portfolio data generation.**

Highlights include:

- ▶ Submission of a Biologics License Application to the U.S. Food and Drug Administration (FDA) for StrataGraft®, a regenerative skin tissue therapy in development for the treatment of adult patients with deep partial-thickness thermal burns, as well as the completion of an expanded operations and manufacturing facility in Madison, Wis. The investment marks Mallinckrodt's continued commitment to bring a paradigm-changing treatment to patients with severe burns, if approved.
- ▶ Submission of a New Drug Application for terlipressin, an investigational agent being evaluated for the treatment of hepatorenal syndrome type 1 (HRS-1) based, in part, on results from the Phase 3 CONFIRM trial and the culmination of a sustained, 17-year development effort. HRS-1 is an acute and life-threatening syndrome involving acute kidney failure in people with cirrhosis.¹ If approved, terlipressin would be the first FDA-approved treatment option in the U.S. for adult patients.

¹ National Organization for Rare Disorders. Hepatorenal Syndrome. Available at: <https://rarediseases.org/rare-diseases/hepatorenal-syndrome/>. Accessed June 29, 2020.

- ▶ New data for Acthar® Gel (repository corticotrophin injection) for multiple sclerosis relapse and rheumatoid arthritis, as well as other rare disease indications, suggesting that Acthar Gel may be associated with improvements in exacerbations and symptoms for these conditions. Since acquiring Acthar Gel in 2014, we have invested more than \$500 million to fund clinical trials and investigator-initiated research, modernize manufacturing processes and build state-of-the-art facilities.
- ▶ Continued development of our next-generation INOmax EVOLVE™ nitric oxide delivery device and Acthar Gel self-injector expected to improve current product offerings.
- ▶ Acquisition of two Abbreviated New Drug Applications for Methadone Hydrochloride Oral Solution, USP, from Pharmaceutical Associates, Inc. to expand the Specialty Generics business' addiction treatment product offerings.

Specialty Brands Development Pipeline

PRODUCTS						
PRECLINICAL	PHASE I	PHASE 2	PHASE 3	REGISTRATION	INDICATION UNDER STUDY	DISEASES/THERAPEUTIC AREAS
TERLIPRESSIN (vasopressin analog)					HRS ¹ Type-1	Critical Care
UVADEX® (methoxsalen) sterile solution (Therakos)					Chronic GVHD ² (Japan)	Immune-mediated
STRATAGRAFT® regenerative skin tissue					Severe Burns, DPT ³	Critical Care
ADRABETADEX (2-hydroxypropyl-β-cyclodextrin) (HPβCD mix)					Niemann-Pick Disease Type C	Rare Disease & Neurology
MNK-6105 (OCR-002) (ornithine phenylacetate) intravenous					Hepatic Encephalopathy	Critical Care
STRATAGRAFT regenerative skin tissue					Severe Burns, FT ⁴	Critical Care
MNK-6106 (OCR-002) (ornithine phenylacetate) oral					Hepatic Encephalopathy	Critical Care
EXPRESSGRAFT™ anti-infective (cathelicidin)					DFU ⁵	Complex Skin Injury
EXPRESSGRAFT pro-angiogenic (VEGF ⁶)					Chronic Non-healing wounds	Complex Skin Injury
EXPRESSGRAFT anti-tumor (IL-12 ⁷)					TBD-Skin Cancer Recurrence	Complex Skin Injury
SLN500 (RNAi ⁸)*					Complement-mediated Diseases	Immune-mediated

DEVICES						
CONCEPT	PLANNING	DEVELOPMENT	QUALIFICATION	REGISTRATION	DETAILS	DISEASES/THERAPEUTIC AREAS
INOMAX® (EVOLVE™) (Nitric Oxide) gas					Next Generation Device	Critical Care
ACTHAR® GEL (repository corticotropin injection)					Alternative Delivery Device	Immune-mediated
Therakos (Cellex Mod)					Next Generation Device	Immune-mediated

*Collaboration with Silence Therapeutics

1. Hepatorenal Syndrome

3. Deep Partial Thickness

5. Diabetic Foot Ulcers

7. Interleukin

2. Graft vs Host Disease

4. Full Thickness

6. Vascular Endothelial Growth Factor

8. RNA Interference

The safety and efficacy of these products for the indication under study have not yet been established by the relevant regulatory authorities.

Chart does not include Specialty Generics pipeline assets.



Partnering for the Future

We are committed to advancing scientific knowledge and innovation through partnerships with research institutions, academia and professional societies. We fund research programs that align with our strategic focus and mission to find novel therapies for patients with complex clinical needs. These partnerships are critical as we seek to expand our development portfolio and further establish ourselves as a premier, innovation-driven scientific organization.

We announced a **collaboration with Silence Therapeutics** in July 2019 to develop and commercialize RNAi drug targets designed to inhibit or “silence” the complement cascade, a group of proteins that contribute to the pathogenesis of many diseases, including autoimmune diseases. This exciting partnership will harness Silence Therapeutics’ world-class R&D capabilities and Mallinckrodt’s expertise and resources as a global biopharmaceutical company to potentially bring new therapies to market for patients.

We formed a collaborative research partnership with **Washington University School of Medicine**, a top-rated medical school and leader in medical research located in St. Louis, Mo. As part of this endeavor, Mallinckrodt will fund up to \$10 million in grants over a five-year period to support clinical research for rare diseases. The first grant was awarded to identify new drugs targeting the underlying cause of chronic itch for patients with conditions like liver disease and kidney failure.

Mallinckrodt supports an annual **Advancing Extracorporeal Photopheresis (ECP) Immunomodulation Investigator Award** that recognizes scientists and institutions whose research contributes to the advancement of knowledge in this area of medicine. The 2019 winning entry was submitted by co-investigator Dr. Rachel Crossland of Newcastle University in the United Kingdom (UK). Their study will investigate how ECP impacts immune responses in patients with graft-versus-host disease. Along with the investigator award, Dr. Crossland’s team will receive an educational grant of €50,000 to support their research.



Dr. Aisling Flinn of Newcastle Hospitals NHS Foundation Trust receiving the Mallinckrodt 2019 Advancing ECP Immunomodulation Investigator Award on behalf of Dr. Rachel Crossland.

Mallinckrodt launched a **Scientific Advisory Council** to seek guidance related to our strategy, R&D and medical programs. Chaired by our Chief Scientific Officer, Dr. Steven Romano, the council includes leading external experts in fields spanning regenerative medicine, neonatal critical care, hepatology and liver therapies, and autoimmune and rare diseases – areas directly related to our current development portfolio.

We established the **Mallinckrodt Uveitis Research Fellowship** in 2019 through a partnership with the Association for Research in Vision and Ophthalmology (ARVO) Foundation. The fellowship provides one \$45,000 research award to support an early-career scientist investigating the causes and components of uveitis, a rare and devastating inflammatory eye disorder that accounts for 20% of legal blindness in the U.S.² Available treatments are not suitable or accessible to all patients, and vision loss can occur quickly, making further discovery critical for this underserved patient population.

Supporting and Empowering Patients

Improving the lives of our patients takes more than medication. It takes a commitment to understanding the challenges and needs of patients and their care partners – and the patient advocacy community helps bring that to light. Mallinckrodt fosters collaborative and sustaining relationships with these organizations to help improve the quality of life for patients by supporting their education, awareness and advocacy efforts.

In 2019, we gave over \$6.4 million in charitable grants to patient advocacy organizations to support disease education, health screenings, research, advocacy and other important awareness initiatives at the national and regional levels.

60+ PATIENT ORGANIZATIONS

Mallinckrodt collaborates with more than 60 patient and caregiver organizations to advance care for patients.



ELEVATE PATIENT VOICES

Patient-centricity is core to what we do. We help patients and caregivers find and share their voice.



PROMOTE ACCESS AND AWARENESS

We support development of education tools to help patients and caregivers navigate their illnesses and care for their loved ones.

100+ PATIENT EDUCATION INITIATIVES

We support over 100 patient education initiatives to increase awareness of diseases and available resources.

20+ PROFESSIONAL ASSOCIATIONS

We work with more than 20 professional associations and societies to advance scientific knowledge to improve health outcomes.



UNDERSTANDING PATIENTS

We engage with advocacy groups to understand the patient journey as we develop our pipeline and treatment options.

² Miserocchi E, Fogliato G, Modorati G, et al. Review on the worldwide epidemiology of uveitis. Eur J Ophthalmol. 2013;23(5):705-717. doi:10.5301/ejo.5000278.

Mallinckrodt Advocacy Advisory Board

To enhance our collaboration with the patient and caregiver advocacy community, we established an advocacy advisory board in 2019. This exceptional group of more than 15 patient group representatives convenes multiple times per year to share with us their unique perspectives on a range of topics – from the patient journey, to access challenges and educational resources – to help Mallinckrodt bring the best information, services and treatments possible to patients and their care partners.

Building Patient Trust

Every interaction we have with the advocacy community is an opportunity to gain perspective and build trust. As such, we strive to ensure every encounter is:

- ▶ **Ethical**, maintaining the highest standards of integrity
- ▶ **Transparent**, remaining open and honest in all interactions
- ▶ **Non-promotional**, confirming relationships are in no way based on support for specific Mallinckrodt products
- ▶ **Independent**, safeguarding the autonomy of patient and organizational beliefs
- ▶ **Compliant**, adhering to Mallinckrodt policies and government rules, regulations and guidelines

Advocacy Highlights

Engaging and Inspiring Employees

Behind every patient we serve is a story of courage and strength. In an effort to bring the patient voice into Mallinckrodt, we frequently ask patients to share their stories directly with our employees, in person at company town halls, board meetings and conferences. Connecting our staff in this way engages and inspires employees, giving a deeper meaning and urgency to the work they do every day.

Our employees are also actively involved in advocacy initiatives to help raise awareness and support the patient community – such as during Rare Disease Week, Burn Awareness Week and World Sarcoidosis Day.



Mallinckrodt employees celebrating World Sarcoidosis Day.

EveryLife's National Burden of Rare Disease Study

Thirty million Americans are affected by a rare disease, but the true cost for patients and their families has never been adequately examined. To gather this insight, Mallinckrodt supported the **EveryLife Foundation's National Burden of Rare Disease study** to assess the real costs associated with living with a rare disease, including those never reflected in medical bills, such as loss in productivity, home modifications and personal caregivers. This evidence-based research will play a pivotal role in enhancing public awareness and influencing policy decisions to drive positive change for the rare disease community.



Mallinckrodt and TMA
at Rare Disease Week on
Capitol Hill 2020.

Women of Color and Myositis Campaign

Myositis is an inflammatory disease of the muscles that can cause severe disability, and in adults, certain forms of myositis disproportionately affect women of color. Mallinckrodt partnered with The Myositis Association (TMA) to launch the **Women of Color and Myositis Campaign** to raise awareness among those at risk and the medical providers likely to treat them, including dermatologists, rheumatologists and primary care providers. The campaign reached more than five million people in the U.S., through 11 published articles, social media messaging, community outreach and a variety of educational resources.

Patient-Focused Drug Development Meeting on NPC

Mallinckrodt provided support to the Ara Parseghian Medical Research Fund at the University of Notre Dame to host a **Patient-Focused Drug Development meeting** on Niemann-Pick Type C (NPC) - a disease that currently has no approved therapy in the U.S. The meeting provided an avenue for NPC patients and their families to share their unique perspectives and experiences with representatives from the FDA, pharmaceutical industry, and medical and patient communities to inform and improve the drug development and approval process. Findings from the meeting were used to produce a Voice of the Patient report that was shared with the FDA and NPC community.

Bridging the Gaps

The National Alliance for Caregiving, with support from Mallinckrodt, launched a new, major initiative to recognize and support the needs of family caregivers of people living with rare disease, terminal illness or medical complexity. **Bridging the Gaps - A Multi-Stakeholder Project to Address the Unmet Needs of Family Caregivers** outlines a framework for educating caregivers and conducting advocacy on their behalf. Bridging the Gaps has resulted in greater national and federal recognition of caregiver needs, which has led to a new caregiver-focused research collaborative, as well as increased funding and advocacy in support of caregivers.

Patient Assistance and Support

Serving patients is at the heart of everything we do. Our patient support and reimbursement programs make our treatments more affordable and accessible to those who need them most.

Acthar Patient Support

Acthar® Gel (repository corticotropin injection) is approved by the FDA for the treatment of 19 indications. Mallinckrodt's Acthar Patient Support team is dedicated to helping patients, caregivers and health care providers work through the approval process for Acthar Gel, review their insurance options and provide needed support along their treatment journey. Site of Care Nurse Educators provide one-on-one injection training in the home, online or by phone at no cost to the patient. If patients have commercial or private insurance, they may be eligible for the Acthar Commercial Co-Pay Program that provides co-pay assistance for eligible patients who meet the program criteria. If patients do not have insurance coverage or limited coverage, they may be able to receive assistance through the Acthar Patient Assistance Program. Mallinckrodt provides Acthar Gel at no cost to eligible patients with a valid, on-label prescription who have no insurance, are underinsured or are rendered uninsured. Information on Acthar Patient Support is available at www.actharpatientsupport.com.

Mallinckrodt Patient Support Services



INOmax Total Care®

The INOmax Total Care team has been dedicated to supporting neonatal intensive care units nationwide for 20 years and counting. Available around the clock to help hospitals with drug and device needs, and to help ensure uninterrupted delivery of INOmax® (nitric oxide), gas for inhalation, the Total Care team provides seamless care delivery to some of Mallinckrodt's tiniest patients. INOmax Total Care includes around-the-clock customer and technical support, physician and clinician device training, clinical nurse educators, critical care business managers and rapid product response in an emergency.

INOmax Total Care Support: 2014 - 2018



300,000

interactions, or about
165 conversations a day



7,300+

in-service training hours for nearly
38,000 respiratory therapists



13,900

emergency device
and cylinder deliveries



80+

mechanical and noninvasive gas delivery
systems – a 7-step, 170-day process

Expanded Access Program for Investigational Products

Sometimes, improving outcomes for underserved patients means providing expanded access to investigational products outside of a clinical study. Mallinckrodt provides patients appropriate and ethical access to these products prior to marketing authorization in exceptional circumstances. We call these Expanded Access Programs (EAPs), or "Compassionate Use" programs.

Mallinckrodt conducts its EAPs in agreement with applicable country-specific legal and regulatory expanded access requirements. All requests are reviewed on a case-by-case basis against the following criteria:

- ▶ The patient has a serious, life-threatening or chronically debilitating disease.
- ▶ There is sufficient evidence of efficacy that the investigational product may have a clinically meaningful benefit.
- ▶ There is sufficient safety evidence that the investigational product would not expose the patient to unreasonable risk.
- ▶ There is no comparable or satisfactory alternative therapy to diagnose, monitor or treat the condition.
- ▶ The patient is ineligible for, or otherwise unable to participate in, a clinical trial for the product.
- ▶ There is adequate supply of the investigational product to meet the needs of patients enrolled in ongoing clinical studies, and expanded access will not compromise supply or postpone providing the new treatment, once approved, to the broader patient population.
- ▶ Expanded access will not negatively jeopardize the initiation, conduct, completion or registration of the product.



Our Culture and Employees

Our values unite us as an organization and guide not only our culture, but our mission to improve lives. We are committed to being good citizens, breaking down barriers and creating life-changing solutions that impact not just patients, but the world around us. This is what makes Mallinckrodt special.

Fostering Diversity, Equality and Inclusion

Every employee plays an important role in making Mallinckrodt a more rewarding place to work. Our workforce is built on the foundation of equal opportunity and fair treatment. As a global company, we celebrate the diversity of our workforce and strongly condemn racism and discrimination of any kind. We believe our unique identities and diverse perspectives enable us to better understand and respond to our customers' needs. That's why we foster a safe and welcoming work environment where every employee can be their full self, deserving of respect and dignity.

Our values are
the foundation
of our company



Patient-Centric



Integrity



Innovative



Collaborative

In March 2019, we launched a thoughtful and intentional recruitment and retention strategy focused on diversity. In less than a year, we improved racial diversity in the organization by nearly 6%, with the greatest impact in senior roles. While this is good progress, we recognize that more work is needed. We are actively taking steps to refine our talent management strategy to not only find new ways to reach and attract people of color, but retain and grow our existing talent by ensuring opportunities for advancement and promotion.

Our award-winning Inclusion and Diversity (I&D) Council cultivates a collaborative environment through various employee-led, volunteer business resource groups designed to engage and inspire our diverse global workforce. These groups provide resources for professional development, personal growth, community engagement, wellness, camaraderie and networking, all the while fostering connectivity and enhancing our unique culture.

Business Resource Groups

- » African American
- » Emerging Leaders
- » Hispanic Heritage
- » Lesbian, Gay, Bisexual, Transgender, Queer and Allies (LGBTQA)
- » Namaste Asia
- » Veterans
- » Wellness
- » Women in Business

Mallinckrodt's I&D Council has been named one of the top in the nation for the third year in a row by PRISM International, which recognizes the outstanding achievements of business resource groups and diversity councils in creating more diverse and inclusive organizations.

Global Workforce At-a-Glance

Total Employees

as of March 2020

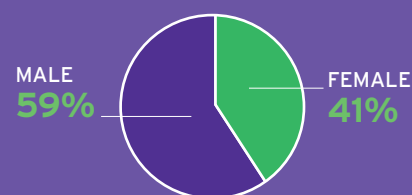
3,417 

 **CORPORATE 343**

 **SPECIALTY BRANDS 1,476**

 **SPECIALTY GENERICS 1,598**

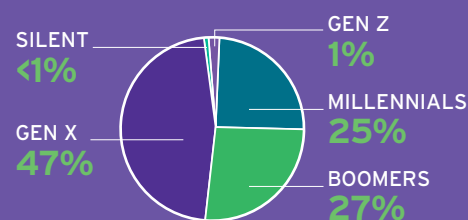
By Gender



By Age



5 Generations



Advancing Inclusive Policies, Practices and Benefits

We continue to support the right of every employee to work in a safe and welcoming environment that promotes individual dignity and respect, as evidenced by our inclusive policies, practices and benefits.

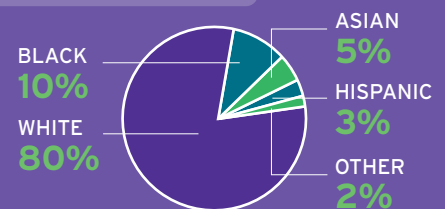
For the past four consecutive years, Mallinckrodt was named one of the “Best Places to Work for LGBTQ Equality,” by receiving a perfect score on the Human Rights Campaign Foundation’s Corporate Equality Index, a national benchmarking survey that evaluates LGBTQ-related policies and practices, including non-discrimination workplace protections, domestic partner benefits, transgender-inclusive health care benefits, competency programs and public engagement with the LGBTQ community.

Over the years, we have enhanced our employee benefits program by adding transgender-inclusive coverage to medical and pharmacy plans. Our campuses have been retrofitted with gender-neutral bathrooms, and we have established a gender transition policy and guidelines supporting employees. We also have been a vocal opponent of LGBTQ discriminatory state legislation and actively sponsor national and local organizations that advocate for LGBTQ equality.



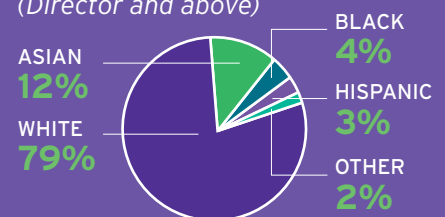
Diversity in the Workforce

U.S. Workforce



U.S. Leadership

(Director and above)



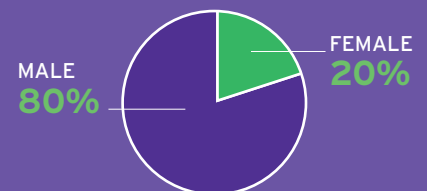
Women in Leadership

(Director and above)



Board of Directors

(Based on gender and race)



Diverse Members on Board 30%



A tangible example of our commitment to diversity and inclusion is the pride we take in supporting Pride Month events in communities where we are based. For many years, Mallinckrodt's President and CEO Mark Trudeau and other members of our leadership team have joined together with employees and their family and friends to show support for the LGBTQ community.

Mallinckrodt Shows Its Pride

Finding new ways to break down barriers, create conversations and challenge each other's viewpoints is core to our innovation. Having a progressive and forward-thinking culture is critical to retaining and attracting the passionate and talented employees who drive our mission forward.”

—Ian Watkins
Chief Human Resources Officer



Mallinckrodt Ireland was named a 2019 recipient of the prestigious KeepWell Mark™, an evidence-based accreditation that recognizes employers for putting employee well-being at the forefront of company policy.

Honoring Employees With Exceptional Benefits

Our employees are the future of Mallinckrodt, and we believe in providing exceptional benefits to honor their important contributions. In addition to competitive pay, paid time off and robust health care and retirement packages, we offer added benefits, such as paid parental leave, fertility and adoption assistance, a comprehensive wellness program, transgender-inclusive medical and pharmacy coverage, tuition reimbursement and an employee assistance program with professional resources available to resolve a wide range of work/life concerns.

In 2019, we announced further improvements to our Total Rewards program that include paid caregiver leave for employees who need time away to care for a new baby or an elderly parent; a best-in-class total well-being program that focuses on the physical, social, emotional and financial needs of our employees; discounted fitness programs; and enhanced retirement benefits. The new programs and enhancements were carefully selected to support our employees' unique needs and the benefits they value.

Our Total Rewards program has earned trust from our employees and recognition from our industry. Mallinckrodt Ireland was named a 2019 recipient of the prestigious KeepWell Mark™, an evidence-based accreditation that recognizes employers for putting employee well-being at the forefront of company policy.

We also have a robust global employee recognition and reward program, called iImpact, that provides employees an opportunity to give and receive recognition. iImpact is a place where peers and leaders can honor successes, share congratulations and access well-earned rewards for going above and beyond. Since its inception in 2017, more than 37,000 awards have been issued.



Building Stronger Communities

A Culture of Giving Back

Community is what binds us. For more than 150 years, Mallinckrodt has been giving back to the communities where we live and work - and this long-standing tradition of philanthropy continues today.

Our community giving program supports nonprofit organizations driving positive change and sharing our passion for:

- ▶ **Health and Wellness** - Increasing access to quality, affordable health care; directly benefitting people suffering from a specific disease for which treatment options are not readily available; and providing training, education and tools to address specific health needs in the community.
- ▶ **Science and Education** - Supporting STEM (science, technology, engineering and mathematics) initiatives in K-12 schools, community colleges, universities and other nonprofit educational organizations, including programs working to create a diverse pipeline of science professionals.
- ▶ **Life Sciences** - Supporting organizations dedicated to innovative research and development projects that stimulate job creation and economic growth within the geographic regions where Mallinckrodt operates.

A complete list of our 2019 Philanthropic Grants and Contributions can be found in [Appendix B](#).



Through our Community Giving Program,
we donated over

\$550K

in 2019 to nonprofit organizations supporting programs ranging from STEM education to soup kitchens and homeless shelters.

Advancing STEM Education for Students and Teachers

We support a variety of programs that encourage students to pursue STEM careers. In 2019, Mallinckrodt donated \$50,000 to the Princeton University Preparatory Program, a rigorous academic and cultural enrichment program that supports high-achieving, low-income high school students from local districts. We also supported STEM education and scholar programs in partnership with organizations, such as the United Negro College Fund, Girls Inc. and the Academy of Science of St. Louis.

Visitors from the Family and Workforce Centers of America and the Metropolitan Education and Training Center.



As a biopharmaceutical company, Mallinckrodt is uniquely positioned to expose young minds to the power of science by providing opportunities for job sharing, shadowing and hands-on engagement in the pharmaceutical sector. We recently partnered with North and South Technical High Schools in St. Louis, to provide 26 students the opportunity to visit a manufacturing facility and explore the process of bringing a pharmaceutical product from concept to commercial scale production. We also worked with the Family and Workforce Centers of America and the Metropolitan Education and Training Center in St. Louis to provide a laboratory training and mentoring session for young adults interested in STEM careers. Students participated in a variety of experiments and spent one-on-one time with employees talking about their backgrounds and career aspirations.



Richard Broadus, Mallinckrodt Senior Molecular Biologist, instructing students on data collection and analysis on a spectrophotometer.

In addition to student education and career preparedness, we support education and training for teachers to give them the tools to effectively engage students in STEM learning. Mallinckrodt provided grants to the National Science Teachers Association to support an educational training program for PK-12 teachers, as well as to STEMpack through the Washington University Institute for School Partnership, which has reached over 27,000 students, more than 800 area teachers and over 30 districts in the St. Louis region.

Supporting Our Employees' Philanthropic Passions

At Mallinckrodt, giving back is part of our DNA – and our employees are the cornerstone of our corporate citizenship efforts. Through Mallinckrodt's matching gifts and volunteer programs, we support and empower our colleagues who dedicate their time and resources to the causes they care about most.

U.S. Matching Gifts Program

Our U.S. matching gifts program encourages employees to contribute to charitable organizations in their individual communities by matching their donations with a corporate gift. The program matches up to \$2,500 per employee, per calendar year to eligible nonprofits. In 2019, 341 organizations in the U.S. benefited from our matching gifts program.

Employee Volunteering

We offer employees eight hours of paid time off to volunteer in their community each year. Additionally, we designated every October as our **Global Month of Service, a companywide initiative designed to encourage employees to give back to their local community through volunteer and fundraising events.**

Since its inception in 2017, Mallinckrodt employees have volunteered more than 8,000 hours to help those in need, including building homes for families, volunteering at food banks, providing disaster relief, organizing local clothes drives and participating in many other meaningful ways.



Mallinckrodt employees volunteering at the Greater Baton Rouge Food Bank.

Becoming Stewards of Nature

Mallinckrodt employees from Bedminster, N.J., helped breathe new life into the Scherman-Hoffman Wildlife Sanctuary, part of the New Jersey Audubon Society, by rebuilding trails and preserving the natural habitat.



Meal Packing on September 11

A team of employees joined more than 1,000 volunteers from around the St. Louis region to pack 290,000 meals for local individuals and families at the 9/11 Day Meal Pack. This event was part of the 9/11 National Day of Service and Remembrance.





Operating Our Business Responsibly

Operating a responsible, ethical business is central to our mission. Our Board of Directors is responsible for ensuring we maintain a broad culture of corporate responsibility across our entire enterprise. Beginning with our board and extending to every employee, Mallinckrodt has an unwavering expectation that team members act with the highest standards of honesty and integrity. These values and responsibilities are laid out in Mallinckrodt's **Guide to Business Conduct**, which employees and key stakeholders review and commit to annually.

Maintaining Global Compliance

Our Compliance Program is a major part of our commitment to maintaining the highest standards of corporate conduct around the world. As a global biopharmaceutical company operating amongst a myriad of highly complex regulatory and legal requirements, we feel it is critical that compliance functions are managed independently of manufacturing and commercial operations.

As part of this effort, we hold regular compliance training programs and encourage frequent and consistent dialogue between management and employees to ensure meaningful channels exist for employees to ask questions and raise concerns. We also maintain a confidential 24-hour ethics and compliance reporting hotline with a strict, company-wide policy of non-retaliation. In addition, all aspects of our Compliance Program, including compliance policies and procedures, are reviewed and updated regularly to keep pace with the ever-evolving global compliance and regulatory environment, and we strive to be on the forefront of our industry in terms of compliance standards.

Interacting With Health Care Providers

We are committed to ensuring health care professionals have the latest, most accurate information regarding prescription medicines and patient care.

Mallinckrodt complies with international, national and local requirements that apply to our business, as well as with codes of conduct that govern our industry, including (but not limited to) MedTech and European Federation of Pharmaceutical Industries and Associations (EFPIA) in Europe, Pharmaceutical Research and Manufacturers of America (PhRMA) and AdvaMed in the United States, Medicines Australia, and Innovative Medicines and Medtech in Canada. Regarding drug products, Mallinckrodt abides by the PhRMA Code on Interactions with Healthcare Professionals – an ongoing effort to ensure that biopharmaceutical marketing practices and informational activities comply with the highest ethical and professional standards. Collectively, these rules and regulations address not only how we research, develop and manufacture our products, but also how we promote, market and distribute them.

U.S. Pledge on Drug Pricing and Innovation (Released 2017)

We believe that pricing for an innovative (or branded³) drug or therapy should reflect its value to patients, providers and the health care system as a whole. Our goal is to create the best possible health care at the lowest possible cost for the greatest number of people.

We believe there are three core principles to responsible pricing, and we pledge to stand by them as part of our social contract with patients, providers and other stakeholders in the American health care system.

1. We Will Price Our Innovative Products Responsibly While Ensuring Patient Access

We will price our innovative products responsibly and in a way that reflects the value they offer patients, providers and the U.S. health care system as a whole. If we do increase the list price on any of our innovative drugs or therapies, the total change in a calendar year will not exceed single-digit percentage points.

2. We Will Continue to Invest in Innovation that is Valuable to Patients, Physicians and the U.S. Health Care System

As part of our commitment to this continued investment in innovation, we expect to increase our R&D spending in absolute dollars at least 50% by 2021, and we expect to more than double our R&D spending in absolute dollars over the next decade, with the vast majority of our spending taking place in the United States.

3. We Will Support Patient Education and Disease Awareness Programs

We will continue to support patient education and awareness programs by working with patient groups and advocacy organizations, managing our work with them transparently and ethically.

► For more information and to read the full Pledge on Drug Pricing and Innovation, visit our website [here](#).

³ Our pricing pledge applies to currently promoted brands, consisting of Acthar® Gel (repository corticotropin injection), INOMAX® (nitric oxide) gas, for inhalation; OFIRMEV® (acetaminophen) injection, Uvadex, as well as Mallinckrodt's innovative, branded development portfolio.

Anti-Bribery and Anti-Corruption

Our responsibility to our many stakeholders, including our financial stakeholders, is built on the integrity of our business operations and engagements. The Guide to Business Conduct is an expression of our expected standards of behavior for everyone who conducts business on our behalf, and it includes our commitment to applicable anti-corruption laws. Mallinckrodt's anti-bribery and anti-corruption policy is to ensure that all our businesses and employees are aware of their responsibilities in terms of complying with applicable global anti-corruption laws, including the U.S. FCPA and the U.K. Bribery Act of 2010. We provide anti-corruption compliance training on the key provisions of the policy and share copies of the policy annually.

Respect for Human Rights

We outline our unwavering commitment to human rights in two core policy documents: our Supplier Code of Conduct and Guide to Business Conduct. Both put forth expectations for good global citizenship and worldwide social responsibility, which entail paying fair wages and providing safe working environments free of human rights violations for Mallinckrodt and supplier employees. We forbid forced child labor, human trafficking and unsafe working conditions, and we condemn associated behaviors that do not support human dignity and respect, even if those behaviors are permissible under local law.

Balancing Effective Pain Treatment With Responsible Use

Providing safe and effective medications for people with pain, while mitigating the risks of opioid abuse and addiction, is a responsibility we take very seriously. Mallinckrodt is committed to being a principled partner in the fight against the opioid epidemic and has been at the forefront of the industry in developing a comprehensive and multifaceted approach that supports the safe use, storage and disposal of prescription drugs. We continue to work collaboratively with policymakers, law enforcement and other stakeholders on numerous initiatives that address the complex issues of opioid abuse and addiction.

Anti-Diversion and Law Enforcement Collaboration

Mallinckrodt operates an industry-leading anti-diversion program to detect suspicious orders of controlled substances and provides direct assistance to law enforcement to help prevent and prosecute opioid-related criminal activity. Since 2012, more than 7,000 GPS tracking pill bottles have been placed in pharmacies to help apprehend robbery suspects and nearly 500,000 placebo tablets have been donated for use in police sting operations. We also helped found the Anti-Diversion Industry Working Group, a consortium of pharmaceutical manufacturers and distributors collaborating and sharing best practices with the hope of educating health care providers and improving the effectiveness of anti-diversion programs nationwide.

Since 2012, more than 7,000 GPS tracking pill bottles have been placed in pharmacies to help apprehend robbery suspects and nearly 500,000 placebo tablets have been donated for use in police sting operations.

Safe Storage and Disposal

Preventing unused prescription medications from falling into the wrong hands is a critical step in the fight against opioid abuse. Through our nationwide drug disposal awareness initiative, we have purchased **more than two million drug deactivation pouches for donation** to community groups, law enforcement, schools, patients and families across the U.S. We have also supported drug take-back days and made charitable donations of drug disposal drop boxes to local law enforcement agencies.



Photo courtesy of Roseman University of Health Sciences

To learn more about our efforts to prevent prescription drug abuse, misuse and diversion, please visit Mallinckrodt.com/Solutions.

Our Role in Public Policy

The decisions made by federal and state elected officials can have a dramatic impact on how health care is delivered, resourced and regulated. Mallinckrodt plays an active role in the political process by supporting candidates and helping shape public policy at the federal and state levels.

We advocate for policies and positions that:

- ▶ Protect and expand patient access to innovative therapies;
- ▶ Support a competitive marketplace and a regulatory environment in which innovation to benefit patients can thrive; and
- ▶ Advance principles of good corporate citizenship, such as equality, diversity and inclusion, and community health and development.

Mallinckrodt is committed to responsible and ethical engagements with all external stakeholders. We disclose our political contributions, costs associated with lobbying in the United States, as well as the trade, policy and political organizations of which we are members. Our Board of Directors monitors our political and policy activities through its Governance and Compliance Committee, which receives regular reports from the Senior Vice President of Government Affairs. Additionally, these activities are guided by outside legal experts in political and lobbying law to help us ensure compliance with federal, state and local campaign finance and lobbying rules.

MNKPAC - Mallinckrodt LLC Political Action Committee

An important part of Mallinckrodt's civic engagement is participation in the U.S. political process. MNKPAC gives eligible employees the opportunity to contribute funds for use in supporting political candidates who share our commitment to medical innovation and patient access, as well as other corporate goals, such as equality, diversity and inclusion. **In 2019, MNKPAC received \$151,028 in voluntary employee contributions and dispersed \$126,000⁴ to 36 federal and state candidates and committees.** A complete list of contributions can be found in [Appendix C](#).

2019 MNKPAC Receipts

\$151,028

TOTAL
RECEIPTS

245

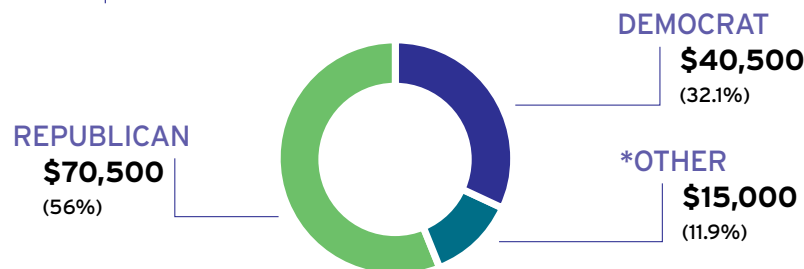
DONORS

\$616

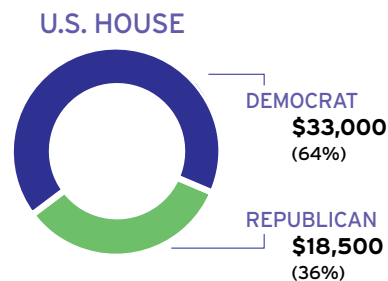
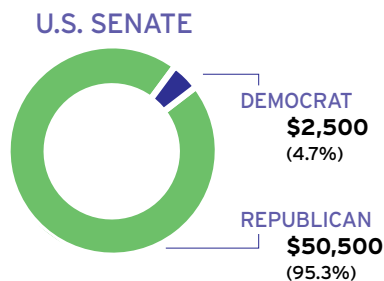
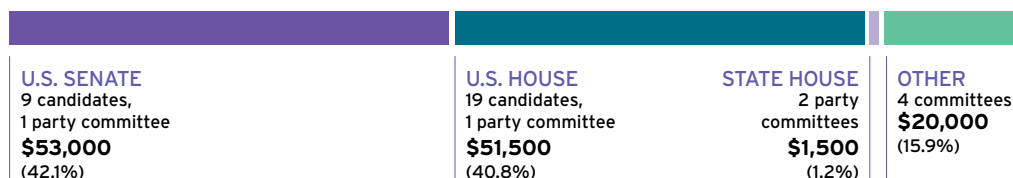
AVERAGE
CONTRIBUTION

2019 MNKPAC Disbursements

TOTAL | \$126,000



DISBURSEMENTS BY OFFICE



⁴ The total amount shown here and in the detailed contribution breakouts on pages 40-41 may not include subsequently voided or refunded contributions and bank fees and, therefore, may vary from Federal Election Commission (FEC) reporting in 2019.

*Other category consists of contributions made to BIO PAC, Equality PAC and the LGBTQ Victory Fund, which support U.S. House and Senate candidates from both major parties.

Note: 2019 MNKPAC disbursements leaned Republican due to increasing trend of certain Democratic candidates rejecting corporate PAC money.

MNKPAC is bipartisan, and all contributions are made without regard to the personal political preferences of company management. Before making any contribution, a number of factors are carefully and strategically considered, as described in the table below.

Guidelines for Candidate Support



The candidate's positions on issues that impact patients, employees and our business, including diversity and inclusion initiatives



The presence of Mallinckrodt facilities and employees in the candidate's district or state



The candidate's position and overall support of the biopharmaceutical industry and medical innovation



The candidate's membership on key committees of jurisdiction



The candidate's character, integrity and likelihood of election success

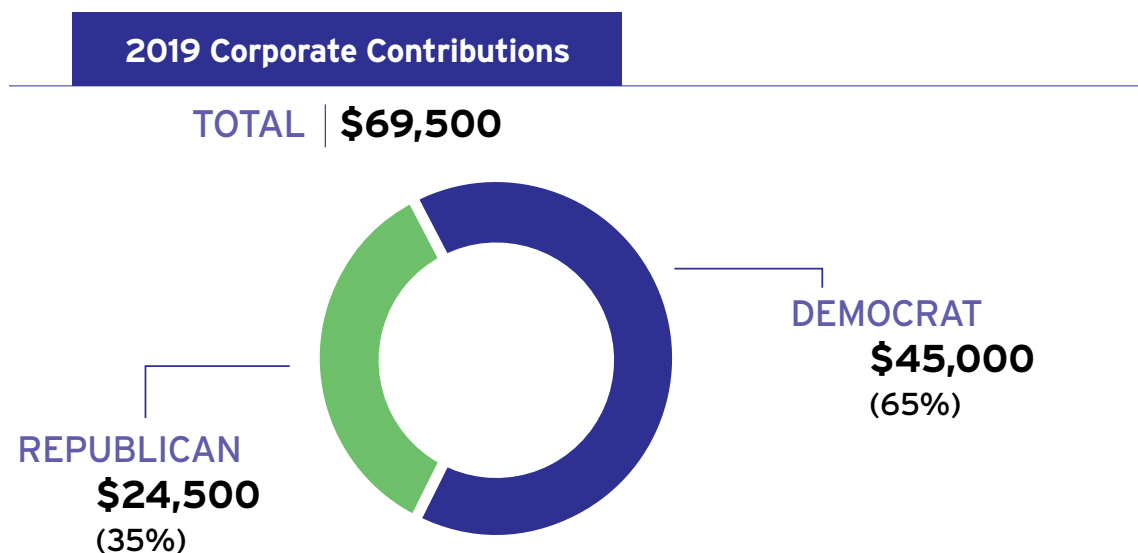
In accordance with U.S. federal law, participation in MNKPAC is restricted to managerial or professional level employees who are U.S. citizens or permanent residents. Because contributions are voluntary, an employee's decision to participate or not participate in MNKPAC in no way affects their standing in the company. MNKPAC membership can be canceled at any time, without penalty. All of MNKPAC's eligible administrative expenses are paid by Mallinckrodt as permitted by law.

MNKPAC is overseen by the PAC Executive Committee (Chair, Treasurer and Assistant Treasurer/Manager) and is advised by a board of directors comprised of employees from across the company, as well as external political advisors. Board members are appointed by the PAC Executive Committee and serve a two-year term. All officers and board members are U.S. citizens or permanent residents, in accordance with federal law. MNKPAC is a separate fund that is registered with the Federal Election Commission (FEC) as a multi-candidate political action committee affiliated with Mallinckrodt LLC. MNKPAC filings are publicly available and can be viewed on the [FEC website](#).

Corporate Contributions

Where permitted by law, Mallinckrodt may contribute corporate funds to state and local candidates. The Government Affairs department utilizes the same internal guidelines that are applied to MNKPAC when determining whether a candidate or committee should receive funds. All contributions are made in compliance with relevant state and local election reporting laws.

In 2019, Mallinckrodt made corporate contributions in seven states, totaling \$69,500. A complete list of contributions can be found in [Appendix C](#).



Direct and Contracted Lobbying Activities and Registrations

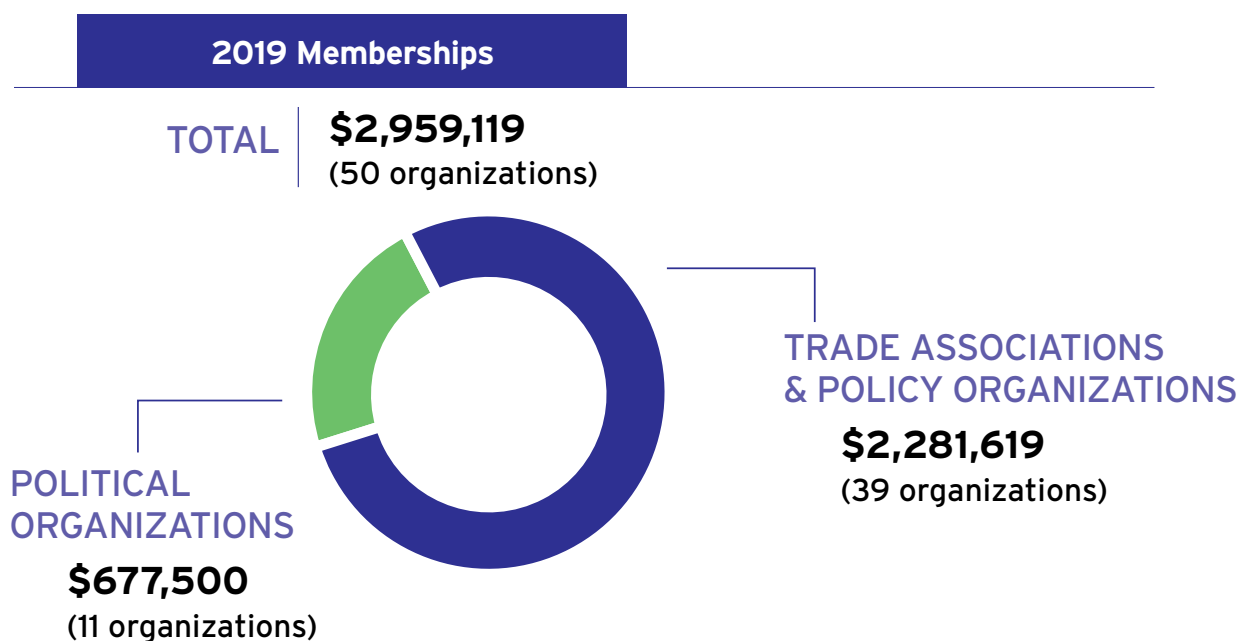
Mallinckrodt is required to report the sum of our federal lobbying activities on a quarterly basis to the Clerk of the U.S. House of Representatives and to the Secretary of the U.S. Senate. Included in the amounts disclosed is the value of labor hours spent on lobbying activities by all relevant company representatives. Registered state lobbyists working on behalf of Mallinckrodt are required to fulfill all reporting requirements as defined by each state. In a majority of states and a number of localities, certain sales activities with government entities are regulated as lobbying and require registration and periodic reporting. Where so required, the company discloses its governmental procurement activities in accordance with applicable law.

In 2019, Mallinckrodt spent a total of \$1,572,980 on U.S. federal lobbying activities, including certain trade association dues, and \$1,064,878 on U.S. state lobbying activities.⁵

⁵ Excludes certain miscellaneous expenses that are negligible to the total spend.

Trade Association, Policy and Political Organization Memberships

Mallinckrodt is a member of policy organizations and trade associations that represent the biopharmaceutical sector and the broader business community. These organizations serve as advocates for our industry on policy issues, provide opportunities to collaborate on educational initiatives and enhance our understanding of the evolving regulatory environments. Mallinckrodt representatives serve on various boards and committees within these organizations to ensure our voice is heard on important policy issues concerning our business, employees and patients. A complete list can be found in [Appendix D](#).



International Activities

Mallinckrodt's global corporate headquarters is located in Staines-upon-Thames, UK. Additionally, the company has a major research and manufacturing center outside of Dublin, Ireland, and significant business operations in other parts of Europe and the Asia-Pacific region, as well as Canada. As such, we may engage with political and policy advisors on a periodic basis to help us navigate regional or national policy environments with respect to issues that may affect the company's corporate or business activities. Recent examples of these activities involve monitoring and analysis of the potential effects of the UK's expected departure from the European Union (commonly referred to as BREXIT) and impacts of the COVID-19 pandemic on various regions. Mallinckrodt complies with all applicable rules and laws in the countries in which we undertake political or policy activities.



Investing in a Sustainable Future

As a major manufacturer in the United States, we are committed to continually elevating our sustainability standards to ensure we operate responsibly. We demonstrate this commitment by upholding numerous sustainable practices throughout the organization that promote the highest standards of safety and quality, conserve natural resources and enhance the efficiency of our operations.

Creating and Maintaining a Safe Workplace

Our enterprise Environment, Health and Safety (EHS) management system is designed to safeguard employees, contractors, vendors and customers by designing processes that minimize our human impact and maintain the highest level of compliance and safety in our operations.

Every employee plays an important role in EHS and our shared responsibility to protect and promote the health of our people and our communities. This culture drives us to continuously recognize, evaluate and control risks, and improve our high standards as we grow. Enterprise EHS management software makes this growth possible by tracking specific metrics, including lagging and leading indicators, and providing internal and external auditing to ensure compliance.

Mallinckrodt fosters a safety culture based on prevention, accountability and continuous improvement. We aggressively manage and investigate every human injury case to ensure we implement the right solutions to prevent future injuries. **In 2019, our Total Recordable Injury Rate of 1.1 cases per 100 full-time employees and Lost Time Injury Rate of 0.36 were below industry average.**

Managing Our Ecological Footprint

Minimizing our environmental footprint is a major consideration in business strategy and management practices for our company. From the extraction of raw materials to final disposition, we are dedicated to understanding the impact of every product life cycle and, in the process, improving efficiencies while reducing consumption and waste. We have invested in heating and cooling upgrades that, along with innovative controls and heat recovery systems, have reduced energy usage at our U.S. corporate shared services site in Hazelwood, Mo. Likewise, we eliminated a coal-fired burner at another major facility, improving energy efficiency and reducing greenhouse gas emissions.

We also have a strict policy outlining our parameters for purchasing and managing energy. This reflects our commitment to ensuring energy usage is efficient, cost effective and environmentally conscious for all facilities and business units under Scope 1 and 2 emissions as defined under Greenhouse Gas Protocol.

MNK 2019	
GhG Scope 1 + 2 (tCo2e)	191,020
GhG Scope 1 + 2 per sales (tCo2e per Million USD)	60.4
GhG Scope 1 + 2 per employee (tCo2e)	67.5

Our commitment for 2020

- ▶ Continue to gather data and analyze enterprise energy usage and waste emissions
- ▶ Incorporate select Scope 3 GhG emissions data capture to allow future consideration for Corporate Value Chain and Product Life Cycle emission methods
- ▶ Extend environmental sustainability expectations into our supplier networks, including contract manufacturing and/or material suppliers
- ▶ Identify opportunities to reduce our environmental footprint and develop measurable goals for 2021

Building a Responsible Supply Chain

Maintaining Supply Chain Accountability

Mallinckrodt's purchasing organization is committed to acquiring products and services from suppliers that share our commitment to quality, integrity, innovation, diversity, safety, customer satisfaction and sustainability. Creating a viable supply base and deploying environmentally preferable business practices is critical to our long-term success and growth. We work with our valued suppliers to enhance environmental performance and accountability, improve product stewardship and material compliance, optimize product logistics and packaging to reduce environmental impact, and ensure safety and compliance according to our rigid business standards.

Communicating Supplier Expectations

We expect our suppliers to conduct business with the highest standards of integrity and to comply with all laws and company policies. Mallinckrodt's Supplier Code of Conduct outlines our expectations for the ethical behavior of our suppliers. It prohibits child and compulsory labor, human trafficking and slavery, unsafe and hazardous working conditions, and any behavior that does not reflect human dignity and respect. These standards apply to all Mallinckrodt suppliers, regardless of location.

Mallinckrodt is a long-standing member of the Pharmaceutical Supply Chain Initiative (PSCI), a consortium of pharmaceutical and health care companies that share a vision of better social, environmental and economic outcomes within the supply chain. We voluntarily abide by the PSCI Principles for Responsible Supply Chain Management, which set the standard for human rights, ethics, labor, health and safety, the environment and related management systems.

In addition, Mallinckrodt has published the following reports and disclosures outlining the steps we have taken to mitigate the risks associated with human rights violations in our supply chain, along with the due diligence capabilities and processes implemented to identify the source of minerals used in our products.

- ▶ [Conflict Minerals Policy](#)
- ▶ [California Transparency in Supply Chains Act Disclosures](#)
- ▶ [UK Modern Slavery Act Disclosure](#)


Promoting Supplier Diversity

Mallinckrodt is committed to creating diverse, dynamic supplier relationships to help us continually deliver value to the health care market. We do this by encouraging sourcing organizations and others involved in the procurement process to seek out and spend with diverse suppliers as part of their business strategy. The goal of the supplier diversity program is to provide equitable purchasing opportunities to the following categories of diverse business as established by the U.S. Department of Veterans Affairs:

- ▶ Small Business
- ▶ Small Woman Owned
- ▶ Small Veteran Owned
- ▶ Small Service Disabled Veteran Owned
- ▶ Small Disadvantaged Owned
- ▶ Historically Underutilized Businesses (HUB) Zone

In 2019, Mallinckrodt used 894 small and diverse suppliers, representing 19.3% of our addressable spend, and we seek to do better every year. Our goal is to reach or exceed 21% in 2020.

In 2019, Mallinckrodt used 894 small and diverse suppliers, representing 19.3% of our addressable spend, and we seek to do better every year. Our goal is to reach or exceed 21% in 2020.



Our extensive quality management system governs all aspects of drug and device manufacturing, providing the foundation for safety that underpins our entire business.

Ensuring Product Quality and Patient Safety

At Mallinckrodt, patient safety is our highest priority and paramount in every decision we make. Our extensive quality management system governs all aspects of drug and device manufacturing, providing the foundation for safety that underpins our entire business. We are constantly reviewing and analyzing our quality objectives, benchmarks and results to enhance our operational excellence, and we provide ongoing education, training and communication to ensure our employees, suppliers and stakeholders are current and involved in the quality control process.

As part of this effort, Mallinckrodt maintains certifications in numerous international standards applicable to the manufacture of active pharmaceutical ingredients, finished pharmaceuticals and medical devices.

We must comply with current Good Manufacturing Practice (“cGMP”) requirements set out in U.S. regulations 21 CFR Parts 210/211, 206, 1271 and 21 CFR Part 820 for pharmaceuticals and medical devices respectively. We are also compliant with country and governmental regulations applicable for the other markets we serve. Our device products and operations are certified for all applicable standards, including ISO13485: 2016 and MDSAP (Medical Device Single Audit Program). cGMPs govern all aspects of drug and device manufacturing and help ensure proper design, monitoring and control of manufacturing processes and facilities. Our Quality Management System allows us to track every adverse event during product life cycles and report timely safety information to the FDA and other regulatory agencies. In addition, we require annual training on cGMPs, pharmacovigilance and adverse event reporting for all our employees.

Awards and Accolades

Having a strong culture of quality and safety is key to our continued success. We are proud, yet humbled, by the awards and recognition our company has received over the years. In 2019 specifically, two of our Specialty Generics sites received Manufacturing Leadership Awards from the National Association of Manufacturers. Our site in Hobart, N.Y., honored for the second consecutive year, was recognized in 2019 for its Training Strategy Development Project, a multi-year initiative focused on improving employee skill sets to boost company agility and support customer needs. Furthermore, our manufacturing site in St. Louis was recognized for leadership in engineering and production technology based on its seven-year Chemistry and Facility Modernization initiative, which led to the construction of a larger and more efficient production facility. Mallinckrodt was also recognized by Cardinal Health in 2019 for supply chain excellence for the third year in a row.

Appendices

APPENDIX A

2019 Patient-Centric Contributions and Memberships

Organization	2019 Program Funding
Alliance for Patient Access	\$40,000
The ALS Association Golden West Chapter	\$35,000
American Association of Kidney Patients	\$100,000
American Autoimmune and Related Diseases Association	\$25,000
American Kidney Fund	\$60,000
American Liver Foundation	\$150,200
American Lung Association	\$20,000
Ara Parseghian Medical Fund - University of Notre Dame	\$255,000
Arthritis Foundation	\$80,000
ARVO Foundation for Eye Research	\$3,500
ATS Foundation	\$25,000
Biotechnology Innovation Organization	\$25,000
Can Do Multiple Sclerosis (MS)	\$25,000
Canadian Organization of Rare Disorders	\$3,686
Child Neurology Foundation	\$50,000
Cure Duchenne	\$75,000
Cutaneous Lymphoma Foundation	\$80,000
Dana's Angels Research Trust	\$10,000
Duchenne Parent Project Spain	\$10,000
EveryLife Foundation for Rare Diseases	\$360,000
Firefly Fund	\$255,000
Foundation for Sarcoidosis Research	\$300,000
Global Genes	\$1,627,000 ⁶
International Niemann-Pick Disease Alliance	\$15,000
Jett Foundation	\$25,000

⁶ Includes a one-time \$1,500,000 grant to support the "Impact 2020" initiative.

Organization	2019 Program Funding
Leukemia and Lymphoma Society (New Jersey Chapter)	\$30,000
Lupus and Allied Diseases Association	\$35,000
Lupus Foundation of America	\$125,000
Lupus Foundation of America - Southeast Chapter	\$10,000
Lupus LA	\$34,000
Lupus Research Alliance	\$140,000
Lymphoma Research Foundation	\$40,500
Multiple Sclerosis Association of America	\$10,000
MS Views and News	\$15,000
National Alliance for Caregiving	\$1,025,000 ⁷
National Coalition for Infant Health	\$25,000
National Health Council	\$55,000
National Kidney Foundation	\$155,000
National Multiple Sclerosis Society	\$40,000
National Niemann-Pick Disease Foundation	\$275,000
National Organization of Rare Disorders	\$120,000
National Perinatal Association	\$15,000
National Psoriasis Foundation	\$25,000
NephCure	\$150,000
Niemann-Pick UK	\$15,000
Parent Project Muscular Dystrophy	\$67,500
Parent Project Onlus	\$5,000
Prevent Blindness	\$10,000
The Myositis Association	\$295,000
Tuberous Sclerosis Alliance	\$63,000

Mallinckrodt also provided \$153,145 in support of local patient awareness walks, health fairs and other fundraisers.

⁷ Includes funding a one-time \$1,000,000 grant to support "Bridging the Gaps - A Multi-Stakeholder Project to Address the Unmet Needs of Family Caregivers" (two-year project).

APPENDIX B

2019 Philanthropic Grants and Contributions

Organization	Grant Amount
Academy of Science of St. Louis	\$10,000
Affinia Healthcare	\$30,000
Alzheimer's Association	\$1,500
American Red Cross	\$15,000
Arthritis Foundation	\$5,000
Capital Area Food Bank	\$1,500
Center for Hearing and Speech	\$10,000
Center for Women in Transition	\$15,000
Cristo Rey Newark High School	\$8,500
Community Anti-Drug Coalitions of Amercian (CADCA)	\$52,500
Concerned Persons for Adoption	\$1,250
Dyspraxia/DCD Ireland	\$27,116
Earthdance Organic Farm School	\$15,000
Easter Seals Midwest	\$12,500
Fathers and Families Support Center	\$10,000
Girls Inc. of St. Louis	\$15,000
Greenville University (Well Water Quality Analysis Research)	\$10,000
Happiness is Camping	\$5,000
Homeless Solutions	\$5,000
Independence Center	\$20,000
Jersey Pride, Inc.	\$8,500
National Guard State Family Readiness Council	\$5,000
National Science Teachers Association	\$10,000
Navan Road Community Unit	\$9,077
New Jersey City University	\$500
nourish.NJ	\$10,000
Paul Davis Restoration Invitational (benefitting the Alliance for Fire Safety's Summer Camp for Burn Injured Youth and the University of Wisconsin Hospital and Clinics Burn Unit)	\$7,500
Police Benevolent Association of the City of New York, Inc. - Widows and Children's Fund	\$25,000

Organization	Grant Amount
Princeton University Preparatory Program	\$50,000
Somerset Hills Learning Institute	\$1,791
The State University College at Oneonta Foundation	\$5,000
UNICEF USA	\$5,000
United Negro College Fund	\$10,000
United Way of Delaware and Otsego Counties	\$5,000
United Way of Greater St. Louis	\$100,000
Washington University Institute for School Partnership (STEMPACT)	\$25,000
YWCA - Metro St. Louis	\$10,000

APPENDIX C

2019 MNKPAC Disbursements and Corporate Contributions

MNKPAC Disbursements

U.S. SENATE

Last Name	First Name	Political Committee	Cycle	Amount	Party	Office	State
Alexander	Lamar	Tenn PAC	2020	\$1,000	R	Senate	TN
Barrasso	John	Friends of John Barrasso	2024	\$10,000	R	Senate	WY
Blunt	Roy	Rely on Your Beliefs Fund	2022	\$5,000	R	Senate	MO
Coons	Chris	Chris Coons for Delaware	2020	\$2,500	D	Senate	DE
Gardner	Cory	Cory Gardner for Senate	2020	\$1,000	R	Senate	CO
Grassley	Chuck	Grassley Committee Inc	2022	\$1,000	R	Senate	IA
Sasse	Ben	Ben Sasse for U.S. Senate, Inc.	2020	\$5,000	R	Senate	NE
Tillis	Thom	Thom Tillis Committee	2020	\$2,500	R	Senate	NC
Toomey	Pat	Friends of Pat Toomey	2022	\$10,000	R	Senate	PA

U.S. HOUSE

Last Name	First Name	Political Committee	Cycle	Amount	Party	Office	State	District
Burgess	Michael	Michael Burgess for Congress	2020	\$2,500	R	House	TX	26
Carter	Buddy	BUDDY PAC	2020	\$2,500	R	House	GA	1
Clay	William	Clay Jr. for Congress	2020	\$2,500	D	House	MO	1
Graves	Garret	Garret Graves for Congress	2020	\$1,500	R	House	LA	6
Holding	George	George Holding for Congress Inc.	2020	\$2,500	R	House	NC	2
Hoyer	Steny	Hoyer's Majority Fund	2020	\$1,500	D	House	MD	5
Kuster	Ann	Kuster for Congress, Inc	2020	\$1,000	D	House	NH	2
Long	Billy	Billy Long for Congress	2020	\$1,000	R	House	MO	7
Marshall	Roger	Kansans for Marshall	2020	\$2,000	R	House	KS	1
Matsui	Doris	Matsui for Congress	2020	\$1,500	D	House	CA	6
Matsui	Doris	SAC PAC	2020	\$5,000	D	House	CA	6
McCarthy	Kevin	McCarthy Victory Fund	2020	\$2,000	R	House	CA	23

*MNKPAC disbursements that were refunded or voided are not included in the breakouts above.

Last Name	First Name	Political Committee	Cycle	Amount	Party	Office	State	District
O'Halleran	Tom	Tom O'Halleran for Congress	2020	\$2,500	D	House	AZ	1
Pallone	Frank	Pallone for Congress	2020	\$1,500	D	House	NJ	6
Richmond	Cedric	Richmond for Congress	2020	\$1,500	D	House	LA	2
Shimkus	John	Volunteers for Shimkus	2020	\$1,000	R	House	IL	15
Wagner	Ann	Ann Wagner for Congress	2020	\$2,500	R	House	MO	2
Walden	Greg	Walden for Congress	2020	\$1,000	R	House	OR	2
Watson Coleman	Bonnie	Bonnie Watson Coleman for Congress	2020	\$1,000	D	House	NJ	12

NATIONAL PARTY & OTHER COMMITTEES

Committee	Cycle	Amount	Party	Office	State
BIO PAC	2020	\$5,000	N/A	N/A	DC
Democratic Congressional Campaign Committee (DCCC)	2020	\$15,000	D	House	DC
Equality PAC	2020	\$5,000	N/A	N/A	DC
LGBTQ Victory Fund Federal PAC	2020	\$5,000	N/A	N/A	DC
National Republican Senatorial Committee (NRSC)	2020	\$15,000	R	Senate	DC
New Democrat Coalition Action Fund, The	2020	\$5,000	D	N/A	DC

STATE CONTRIBUTIONS

Committee	Cycle	Amount	Party	Office	State
Holly PAC	2020	\$1,000	R	House	MO
Missouri House Republican Campaign Committee, Inc.	2020	\$500	R	House	MO

*MNKPAC disbursements that were refunded or voided are not included in the breakouts above.

*MNKPAC disbursements above \$5,000 to federal campaign committees during this cycle reflect contributions made to both the primary and general elections of individual candidates.



2019 Corporate Contributions

CANDIDATES

Last Name	First Name	Political Committee	Cycle	Amount	Party	Office	State	District
Arambula	Joaquin	Joaquin Arambula for Assembly 2020	2020	\$1,000	D	House	CA	31
Atkins	Toni	Re-Elect Senator Atkins 2020	2020	\$1,200	D	Senate	CA	39
Benjamin	Brian	Benjamin for New York	2020	\$1,000	D	Senate	NY	30
Bonta	Rob	Rob Bonta for Assembly 2020	2020	\$1,000	D	House	CA	18
Chen	Phillip	Phillip Chen for Assembly 2020	2020	\$1,000	R	House	CA	55
Choi	Steven	Steven Choi for Assembly 2020	2020	\$1,000	R	House	CA	68
Coughlin	Craig	Election Fund of Craig J. Coughlin for Assembly	2020	\$1,000	D	House	NJ	19
Dahle	Brian	Brian Dahle for Senate 2019	2019	\$1,500	R	Senate	CA	1
Dahle	Megan	Megan Dahle for Assembly 2019	2020	\$1,500	D	House	CA	1
Diep	Tyler	Tyler Diep for Assembly 2020	2020	\$3,000	R	House	CA	72
Flora	Heath	Heath Flora for Assembly 2020	2020	\$1,500	R	House	CA	12
Glazer	Steven	Glazer for Senate 2020	2020	\$1,000	D	Senate	CA	7
Gonzalez	Lorena	Lorena Gonzalez for Assembly 2020	2020	\$1,000	D	House	CA	80
Grayson	Tim	Tim Grayson for Assembly 2020	2020	\$1,300	D	House	CA	14
Jones-Sawyer	Reginald	Jones-Sawyer for Assembly 2020	2020	\$1,500	D	House	CA	59
Lackey	Tom	Lackey for Assembly 2020	2020	\$1,000	R	House	CA	36
Laird	John	John Laird for Senate 2020	2020	\$2,500	D	Senate	CA	17
Landry	Jeff	Landry for Louisiana	2019	\$1,500	D	Attorney General	LA	
Mayes	Chad	Chad Mayes for Assembly 2020	2020	\$1,500	R	House	CA	42
Nazarian	Adrin	Adrin Nazarian for Assembly 2020	2020	\$1,500	D	House	CA	46

Last Name	First Name	Political Committee	Cycle	Amount	Party	Office	State	District
Pan	Richard	Dr. Richard Pan for Secretary of State 2022	2022	\$1,000	D	Secretary of State	CA	
Rivera	Gustavo	Gustavo Rivera for State Senate	2020	\$1,000	D	Senate	NY	33
Rodriguez	Freddie	Rodriguez for Assembly 2020	2020	\$1,000	D	House	CA	52
Rubio	Blanca	Blanca Rubio for Assembly 2020	2020	\$1,500	D	House	CA	48
Rubio	Susan	Susan Rubio for Senate	2022	\$1,500	D	House	CA	22
Seward	James	Friends of Senator Seward	2020	\$500	R	Senate	NY	51
Sisolak	Steven	Committee to Elect Steve Sisolak	2020	\$5,000	D	Governor	NV	
Ward	Chris	Chris Ward for Assembly 2020	2020	\$2,500	D	House	CA	78
Wiener	Scott	Re-Elect Scott Wiener for State Senate 2020	2020	\$2,500	D	Senate	CA	11
Wilk	Scott	Wilk for Senate 2020	2020	\$2,500	R	Senate	CA	21

STATE COMMITTEES

Committee	Cycle	Amount	Party	State
Democratic Governors Association	2020	\$10,000	D	DC
New York State Democratic Assembly Campaign Committee	2020	\$1,000	D	NY
New York State Democratic Senate Campaign Committee	2020	\$1,000	D	NY
Republican Governors Association	2020	\$10,000	R	DC
Young Guns Missouri PAC	2020	\$1,000	R	MO

APPENDIX D

2019 Trade Association, Policy and Political Organization Memberships

TRADE ASSOCIATIONS & POLICY ORGANIZATIONS

Organization	Amount	% Spent on Lobbying
Association for Accessible Medicine	\$112,000	36%
BIOCOM	\$20,000	10%
BioForward	\$5,000	15%
BioPharmaChem (Ireland)	\$9,362	N/A
BIOTECCanada	\$8,645	N/A
Biotechnology Innovation Organization	\$497,905	37%
Business Roundtable	\$100,000	40%
California Biotech Foundation	\$10,000	N/A
Carolina Leadership Coalition	\$5,000	N/A
Confederation of British Industry	\$41,045	N/A
Consumer Healthcare Products Association	\$5,000	15%
Council on Safe Transportation of Hazardous Articles	\$4,650	N/A
Council on State Taxation	\$6,000	50%
Critical Path Institute	\$45,000	N/A
Drug, Chemical & Associated Technologies Association	\$5,500	N/A
Healthcare Businesswoman's Association	\$25,000	N/A
Healthcare Distribution Alliance	\$23,961	13%
HealthCare Institute of New Jersey	\$50,000	61%
Healthcare Leadership Council	\$200,000	45%
Human Rights Campaign	\$25,000	N/A
Industry Research & Development Group	\$5,410	N/A
Institute for Clinical and Economic Review	\$105,000	N/A
IPEC-Americas	\$15,748	N/A
MedTech Canada	\$4,438	N/A
MedTech Europe	\$42,416	N/A
Missouri Chamber of Commerce	\$25,000	16%
National Association of Chain Drugstores	\$9,960	30%
National Association of Manufacturers	\$59,039	20%

*N/A stands for 'not applicable' or was not available at time of publication.

Organization	Amount	% Spent on Lobbying
National Health Council	\$32,000	4%
National Pharmaceutical Council	\$325,000	N/A
New Jersey Business & Industry Association	\$1,800	11%
North Carolina Chamber	\$11,340	24%
Organization for International Investment	\$17,500	55%
Partnership for America's Health Care Future	\$25,000	N/A
Research! America	\$15,000	N/A
Somerset Business County Partnership	\$2,900	N/A
St. Louis Regional Chamber of Commerce	\$25,000	3%
U.S. Chamber Institute for Legal Reform	\$250,000	45%
Women in Government	\$110,000	N/A

POLITICAL ORGANIZATIONS

Organization	Amount	% Spent on Lobbying
Conference of Western Attorneys General	\$15,000	N/A
Democratic Attorneys General Association	\$150,000	N/A
Democratic Governors Association	\$100,000	N/A
Democratic Legislative Campaign Committee	\$50,000	N/A
Franklin Center	\$20,000	N/A
National Conference of State Legislatures	\$12,500	N/A
Republican Attorneys General Association	\$150,000	N/A
Republican Governors Association	\$100,000	N/A
Republican Legislative Campaign Committee	\$50,000	N/A
Ripon Society	\$15,000	N/A
Western Governors Association	\$15,000	N/A

*N/A stands for 'not applicable' or was not available at time of publication.