

FY 23 MODERN SLAVERY STATEMENT

This statement is made on behalf of Catalent, Inc. and its affiliates, as identified on the attached Appendix (collectively, "Catalent"), for Catalent's financial year ending June 30, 2023 (the "Reporting Period") and sets out the actions we have taken to assess and address modern slavery risks within our operations and supply chain pursuant to the California Transparency in Supply Chain Act of 2010 and Section 54 of the UK Modern Slavery Act 2015 and subparagraph 11(4)(b)(ii) of the Canadian Fighting Against Forced Labour and Child Labour in Supply Chains Act.

Introduction

Catalent is committed to acting ethically and with integrity in all our business relationships. Our decision-making and operations are aligned with our corporate culture. Our corporate responsibility and sustainability strategy helps drive our culture and is supported by three pillars: People, Environment, and Communities. Promoting a responsible supply chain is a key component of our corporate responsibility commitment.

We believe in the protection of human rights globally, including in the workplace at our facilities, and in the promotion of responsible business practices within our supply chain. Our policy forbids slavery or human trafficking of any kind and seeks vigorous vetting and monitoring to ensure that neither practice takes place in our supply chains or in any part of our business. As a member of the Pharmaceutical Supply Chain Initiative ("PSCI"), we have agreed to PSCI's principles, including:

FREELY CHOSEN EMPLOYMENT: Suppliers shall not use forced, bonded or indentured labor or involuntary prison labor. No worker shall pay for a job or be denied freedom of movement.

We respect human rights. Among other things, we operate at all locations in line with the United Nations Guiding Principles on Business and Human Rights and all applicable laws concerning modern slavery, including forced and child labor. For more information, please see our [Human Rights Statement](#), which communicates our approach to issues such as fair treatment of workers, prohibition of forced and abusive child labor, and responsible environmental stewardship.

Our Business and Supply Chain

Our Business

We are the global leader in enabling pharma, biotech, and consumer health partners to optimize product development, launch, and full life-cycle supply for patients around the world. We operate in two reporting segments: Pharmaceutical & Consumer Health ("PCH") and Biologics. Our global headquarters is in Somerset, New Jersey. Catalent, Inc., is the publicly traded parent company in the group and operates its business through the affiliates identified in the Appendix. Our global manufacturing sites can be found [here](#). Our compliance efforts in the area of human rights, including forced labor, occur throughout our organization and are coordinated centrally. As of June 30, 2023, we had a workforce of approximately eighteen thousand individuals worldwide and operate more than 50 sites at various locations across North America, Europe, the UK, Latin America, and Asia.

Our Supply Chain

At Catalent, we prioritize responsible supply chain management as a fundamental aspect of our business operations. Our approach is guided by principles that align with our ethical, social, and environmental responsibilities, ensuring the sustainability of our business and the communities we serve. To manufacture medicines and vaccines that make a significant impact on patients' lives, we rely on a network of external suppliers. These suppliers play a crucial role in providing the necessary technologies and flexibility throughout the research, development, and manufacturing processes.

Our commitment extends to partnering with suppliers who demonstrate strong performance in environmental, health, and safety (EHS) management. When assessing the risks of modern slavery within our supply chain, we consider the potential for our business to contribute to, cause, or be directly linked to modern slavery practices. Our supply chain consists of diverse direct suppliers from various industries and locations, some of which are considered higher risk due to sector-specific risks or geographic factors. Based on internal assessments and guidance from international organizations, certain categories within our supply chain are identified as having an increased risk of modern slavery, regardless of the supplier's location or specific industry. These categories include: packaging manufacturing, Lab supplies, and chemicals.

The categories mentioned above are considered to have an increased risk profile for modern slavery due to several factors. These sectors often rely on lower-skilled workers, some of whom may be on temporary visas, further amplifying the potential risk. These workers may have limited bargaining power when it comes to their wages and rights in the workplace. Additionally, there is a possibility of modern slavery occurring in the upstream supply chain, which adds to the overall risk within these sectors.

Catalent's supply chain consists of three main tiers – Direct Materials, Indirect Goods & Services and Capital Equipment – in FY23 we had an active supply base of approx. 12,300 suppliers across 50 facilities globally consisting of spend categories such as Chemicals, Excipients, API's, Capex, Lab Spend, Facility Services, Facility Management and Packaging.

For Catalent Canada, we had approx. 460 active suppliers supplying us with Chemicals, Excipients, API's, Capex, Facility Management, Prof Services, Packaging and Logistics. The geographical split by spend in our supply chain for Canada was as follows - Canadian (71.5%), USA (23.5.0%), India, France, Mexico, Australia, Brazil, China, Ireland, Italy, Germany, Japan and UK making up the last 5%.

Furthermore, some of our suppliers operate globally, which means they may be exposed to higher risk regions where modern slavery is prevalent. Therefore, Catalent is currently prioritizing its focus on suppliers within the sectors mentioned earlier and specific regions identified as high-risk based on modern slavery risk indices such as the [Global Slavery Index](#).

In the following section, we will outline the steps that Catalent is taking to address these risks.

Actions to Address and Assess Modern Slavery Risks

Policies

We have several corporate policies that address different aspects of our overall approach to combating modern slavery, including our [Standards of Business Conduct](#), [Human Rights Statement](#), [Anti-Bribery and Anti-Corruption Policy](#), Prohibition Against Abuse of Child Labor Policy, Prohibition Against Human

Trafficking Policy, and our [Supplier Code of Conduct](#).

In creating those standards, we considered fundamental human rights, including those set forth in international instruments such as the Universal Declaration of Human Rights and the International Labor Organization (ILO) Declaration on Fundamental Principles and Rights at Work. We require that all our directors, officers, and workers comply with the provisions of our [Standards of Business Conduct](#).

Standards of Business Conduct.

Our Standards of Business Conduct sets forth our overall code of ethics and expectations regarding responsible business conduct. It provides information about the standards of integrity that we require from all our employees, directors, and officers, including standards relating to fair treatment, inclusion and diversity, anti-harassment and anti-bullying, child labor, and human trafficking. We also require that our consultants, agents, representatives, business partners, and suppliers conform to the behaviors set forth in the Standards of Business Conduct, and these policies are also highlighted in our Supplier Code of Conduct. We also have a Speak Up Policy, which encourages all workers, customers, and suppliers to report, among other things, any suspicion of slavery or human trafficking without fear of retaliation.

Our Standards of Business Conduct hold our workforce, directors, and officers to the highest level of ethical and social responsibilities. Our goals are to work with suppliers that embrace and comply with the principles of our Supplier Code of Conduct and, in turn, to have these suppliers request compliance from any supplier with whom they work in the delivery of goods or services to us.

Members of our workforce who do not comply with our Standards of Business Conduct are subject to discipline. Unless otherwise prohibited by applicable law, the range of potential discipline may include dismissal. To the extent permitted by applicable law, we consistently seek to reserve the right to terminate relationships with third parties, including suppliers, that conduct business in a manner that conflicts with our Standards of Business Conduct or Supplier Code of Conduct

Supplier Code of Conduct

We have prepared a Supplier Code of Conduct setting forth our behavioral expectations for every supplier wishing to do business with us, and we provide access to this supplier Code of Conduct to all our suppliers. As part of our standard supplier terms and conditions, each supplier is required to read, acknowledge receipt of, and commit to complying with, the principles set forth in our Supplier Code of Conduct. Among other things, our Supplier Code of Conduct requires suppliers to abide by all applicable laws, rules, regulations, codes, treaties, conventions, and other requirements prohibiting forced or indentured labor, inhumane treatment, and any form of abusive child labor or other exploitation of children. The Supplier Code of Conduct also requires all suppliers to ensure that there is a reporting mechanism in place and clearly communicated to employees for them to safely report human rights abuses and to ensure protection and non-retaliation for those who do report an issue in good faith. We will not conduct business with a supplier if we conclude or reasonably believe that the supplier has violated the law or engaged in activities that promote human trafficking or forced or involuntary labor.

We have in place a process to enhance our risk mitigation strategies and to verify the integrity of our supply chain and business partners assessing risk such as Financial, Technology, IT Security, ESG, Privacy and Geopolitical risks. Our approach is to conduct applicable due diligence and on-going monitoring of suppliers with whom we have strategic relationships with, critical raw material suppliers

and suppliers located in countries that are scored moderate, high, or severe risk against factors related to Political, Economic, Social, Technology, Legal and Environmental.

Human Rights Due Diligence

We have been diligently working on maintaining a responsible supply chain, which includes aligning our 10,000-plus suppliers with our industry's standards for responsible, reliable, and sustainable partnerships. During fiscal 2021 and 2022, we worked with a third party to conduct a human rights impact assessment for our operations and that of our supply chain, in alignment with the United Nations Guiding Principles on Business and Human Rights. The assessment covered areas such as product safety, occupational health, and safety, and working conditions.

Our third-party vetting and due diligence program enable us to proactively identify and mitigate potential supply-chain risks. In fiscal 2022, we assessed nearly 700 new and/or high-risk suppliers through this growing program, and in fiscal 2023 assessed an additional 900 suppliers increasing our total to approximately 1600. This due diligence program assists us in identifying, among other risk categories, the risks associated with the location(s) from which our suppliers provide services or products, considering, among other things, human rights and modern slavery risk factors. This work enables us to identify products or services that may be produced or occur in high-risk jurisdictions. Additionally, we:

- (a) ensure our supply contracts contain provisions obligating our suppliers to comply with all laws, including those prohibiting forced labor, applicable to their performance under those agreements; and
- (b) conduct on-site visits to our primary suppliers, from time to time, to review and discuss their contracts and performance, including a review of each supplier's compliance with our Supplier Code of Conduct (discussed further above).

We are committed to providing employees with appropriate working conditions, including fair wages, benefits, working hours, and paid time off. Wages are benchmarked based on individual roles. We also have recruitment policies in place stipulating minimum legal working age requirements that mitigate the risk of using exploitative child labor in our workforce.

Training

As indicated above, our Standards of Business Conduct sets forth our global standards for conducting business. We train our workforce on our Standards of Business Conduct upon hire and require periodic refresher training, including on the UK Modern Slavery Act. We have also created a standalone training entitled "Raising Awareness about Human Trafficking," which is available to our global workforce and is posted on our intranet. We provide information and training to our Global Procurement Team members, who are directly involved in the selection of new suppliers and the ongoing management of current suppliers. This training covers the assurance of ethical business practices by our suppliers.

Additionally, as part of our corporate ethics campaign, we raise awareness of modern slavery and human trafficking issues, including by annually distributing to all global workers posters and articles that specifically focus on modern slavery. These materials include information regarding:

- Our commitment to the fight against modern slavery.
- "Red flags" that can indicate potential cases of slavery or human trafficking; and
- How workers should report suspicions of modern slavery.

Our Ethics & Compliance SharePoint site has been updated to include a dedicated informational page on Modern Slavery. This new site includes "Important Things to Know" as well as "Warning Signs." A short informational video titled "Identifying Human Trafficking" is also available to all employees on our intranet.

Grievance Mechanisms and Remediation

We have a [Speak Up Policy](#), which encourages all workers, customers, and suppliers to report, among other things, any suspicion of slavery or human trafficking without fear of retaliation. The Supplier Code of Conduct also requires all suppliers to ensure that there is a reporting mechanism in place and clearly communicated to employees for them to safely report human rights abuses and to ensure protection and non-retaliation for those who do report an issue in good faith.

Concerns related to modern slavery can be reported to us at any time through our [Business Conduct Helpline](#), which is accessible 24 hours a day, 7 days a week, every day of the year.

Monitoring

We monitor human trafficking risks applicable to our industry and the places where we conduct business or obtain the materials necessary for our work, by reviewing published country risk profiles for corruption and human trafficking risks and sharing them within the workplace.

We created a human right working group in fiscal year 2022 that produced an action plan to implement key recommendations from the human rights impact assessment discussed above. This plan includes 30 actions to address 12 identified issues, including updating our Supplier Code of Conduct and providing targeted training to our supplier quality audit teams.

We have not identified any instances of modern slavery or human trafficking within our operations during our fiscal year ending June 30, 2023 or instances of any loss of income to vulnerable families resulting from measures taken to eliminate the use of forced labor or child labor in our activities and supply chains. As such, we have not taken any remediation measures specific to forced labor or child labor.

Our Business Conduct Helpline, which is accessible 24 hours a day, 7 days a week, remains open to any stakeholder to raise human rights concerns, including related to modern slavery. Our policies and practices, as well as the nature of our operations, ensure that the risk of slavery and human trafficking within our organization remains very low.

Assessing the Effectiveness of our Actions

Concerns related to modern slavery can be reported to us at any time through our Business Conduct Helpline, which is accessible 24 hours a day, 7 days a week, every day of the year. Despite our low-risk operations and supply chain, we have identified enhancements to our existing controls, which will continue to improve our ability to identify and mitigate modern slavery risk in our operations and supply chain:

- We will enhance existing controls that identify vendors at higher risk for modern slavery, to capture additional information and determine next steps for appropriate remediation if needed.
- Once we fully implement enhanced controls, we will perform an internal assessment of the


process, using a risk-based approach, including appropriate consideration of high-risk geographies. Results will be reported to senior management.

- We will enhance our e-learning and launch it to our target group of employees.

This statement was executed and approved after a duly noticed meeting of the Audit Committee of the board of directors of Catalent, Inc., and a link to this statement shall be placed on the homepage of Catalent.

In accordance with the requirements of the Canadian Act, and in particular section 11 thereof, I attest that I have reviewed the information contained in the report for the entity or entities listed on the following Appendix. Based on my knowledge, and having exercised reasonable diligence, I attest that the information in the report is true, accurate and complete in all material respects for the purposes of the Act, for the reporting year listed above.

I have the authority to bind Catalent, Inc. and its affiliates.


[John Greisch \(May 30, 2024 15:14 CDT\)](#)

John Greisch
Executive Chair, Catalent, Inc.

30-May-2024

Date

Appendix of Catalent, Inc. Affiliates

Catalent (Shanghai) Clinical Trial Supplies Co., Ltd.	Catalent Greenville, Inc.	Catalent Pharmaceutical Technology (Shanghai) Co., Ltd.
Catalent Anagni S.r.l.	Catalent Harmans Road, LLC	Catalent PR Humacao, Inc.
Catalent Argentina S.A.I.C.	Catalent Holdco II, LLC	Catalent Princeton, LLC
Catalent Belgium Holding S.A.	Catalent Holdco III, LLC	Catalent San Diego, Inc.
Catalent Belgium S.A.	Catalent Holdco IV, LLC	Catalent Shiga K.K.
Catalent Brasil Ltda.	Catalent Holdco V, LLC	Catalent Singapore Holdings Pte Ltd.
Catalent China Holdings Limited	Catalent Houston, LLC	Catalent U.K. Packaging Limited
Catalent Cosmetics AG	Catalent Indiana Holdings, LLC	Catalent U.K. Swindon Holding II Limited
Catalent CTS (Edinburgh) Limited	Catalent Indiana, LLC	Catalent U.K. Swindon Zydis Limited
Catalent CTS (Kansas City), LLC	Catalent Italy Holding S.r.l.	Catalent UK Supply Chain Limited
Catalent CTS (Singapore) Private Limited	Catalent Italy S.p .A.	Catalent Uruguay S.A.
Catalent CTS (Wales) Limited	Catalent Japan K.K.	Catalent USA Packaging, LLC
Catalent CTS UK Holding Limited Catalent	Catalent JNP, Inc.	Catalent Wellness California, LLC
CTS, LLC	Catalent Maryland , Inc .	Catalent Wellness Holdings, LLC
Catalent Dusseldorf GmbH	Catalent Massachusetts, LLC	Catalent Wellness Indiana, LLC
Catalent France Beinheim SA	Catalent Micron Technologies Limited	Catalent Wellness Virginia, LLC
Catalent France Limoges Holding S.A.S.	Catalent Micron Technologies, Inc.	Catalent Wellness, LLC
Catalent France Limoges S.A.S.	Catalent MSTC, Inc .	Catalent Wellness New Jersey, LLC
Catalent Germany Eberbach GmbH	Catalent MTI Pharma Solutions Limited	PTS Intermediate Holdings LLC
Catalent Germany Holding II GmbH	Catalent MTI Pharma Solutions, Inc.	R.P . Scherer Technologies, LLC
Catalent Germany Holding III GmbH	Catalent Netherlands Holding B.V.	Raritan Valley Insurance Company Redwood Bioscience, Inc.
Catalent Germany Schorndorf GmbH	Catalent Nottingham Limited	
Catalent Gosselies PS SA (f/k/a Delphi Genetics SA)	Catalent Ontario Limited	
Catalent Gosselies S.A.	Catalent Oxford Limited	
Catalent Gosselies Holdings S.A.	Catalent Pharma Solutions GmbH	
	Catalent Pharma Solutions Limited	
	Catalent Pharma Solutions, Inc.	
	Catalent Pharma Solutions, LLC	