

ENVIRONMENTAL, SOCIAL AND GOVERNANCE REPORT

MARCH 2022



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FROM OUR CEO



At Allogene, our goal is to create a scientific revolution by harnessing the unique talent of our experienced team and the power of immunotherapy to bring innovative treatments to patients with cancer. Every day, as we pioneer the development of our allogeneic chimeric antigen receptor T cell (AlloCAR T™) products, our science-driven approach provides us the means to increase and democratize access to potentially life-saving products and one of the most exciting areas of cancer research – cell therapy.

Our *One Allogene* culture embraces being good to one another, taking ownership, and aiming for excellence in everything we do. These principles are fundamental to our Environmental, Social & Governance (ESG) practices described in this report. While we are a young company, having been launched on May 1, 2018, we pride ourselves on our accomplishments and know our successes are due in part to the fact that these principles are embedded within Allogene.

This report outlines our company-wide dedication to transparent and ethical business practices, a governance structure with policies that prioritize all of our stakeholders – including patients, our people and our partners – and our work to protect and preserve the environment in which we work and live.

The majority of this report is dedicated to our Allogene community and our efforts to attract and retain the best people. Scientific innovation cannot be done alone. We know we can only succeed as a team and that we accomplish more together than as individuals when we unite as *One Allogene*. Our success in revolutionizing CAR T therapy can only

be accomplished with an engaged, diverse, and patient-focused team. Our fundamental commitment to human rights, inclusion and diversity, employee safety, career development, honesty and open business principles are fully integrated into our *One Allogene* culture.

While our footprint might be smaller given our size, we believe we can still make a big impact. This report, our first-ever compilation of our ESG strategies, activities and policies, is a testament to our commitment to be a leader in the field, in both cell therapy and ESG practices. We look forward to sharing our ESG journey as we continue to evolve. Thank you for joining us along the way as we pursue our mission to lead the next revolution in cell therapy.

Sincerely,

A handwritten signature in blue ink that reads "David D. Chang". The signature is fluid and cursive, with a long horizontal stroke at the end.

David Chang, M.D., Ph.D.

President, Chief Executive Officer
and Co-Founder

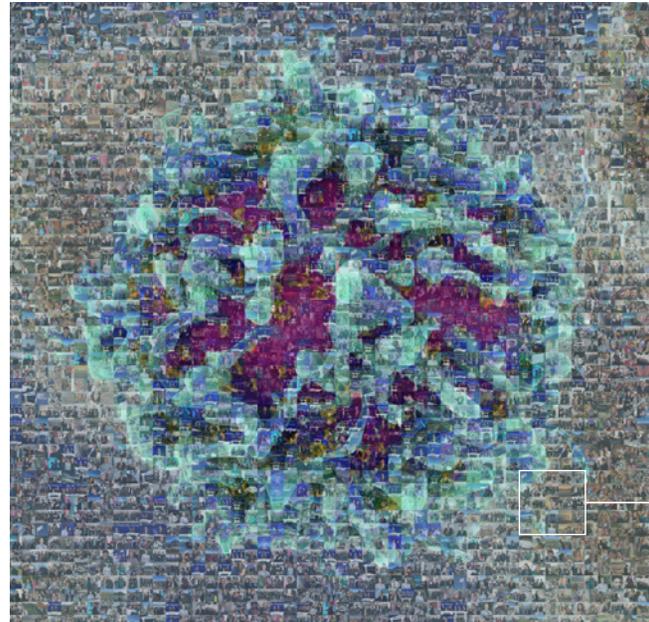


WHO WE ARE



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

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



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





AlloCAR T™ PRODUCTS: IMPROVING ACCESS TO CELL THERAPY

Oncology is on the edge of a transformation. Innovative new technologies to beat cancer are emerging, but to better deliver new therapeutic options to patients, we must democratize the process. Make it easier to deliver the therapies that hold the promise of improvements for patient outcomes, greater access to treatments and potential savings to the overall health care system. That's the promise of AlloCAR T.

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

Rather than using the patients' own cells, allogeneic CAR T therapy involves using healthy donor cells that can be isolated in a manufacturing facility and then engineered to recognize and destroy cancer cells. These healthy donor cells can also be modified to reduce the risk of graft versus host disease as well as to create a window of persistence that may enable allogeneic CAR T cells to expand and eradicate cancer cells in patients.

CATEGORY	PROGRAM	PRE-CLINICAL	PHASE 1	PHASE 2/3 ²	
Hematological Malignancies	CD19	ALPHA2: ALLO-501A (NHL) ¹	[Progress bar]		
		ALPHA: ALLO-501 (NHL) ¹	COMPLETED ACCRUAL; FOLLOW-UP ONLY		
	BCMA	UNIVERSAL: ALLO-715 (MM)	[Progress bar]		
		UNIVERSAL: ALLO-715 + nirogacestat(MM) ³	[Progress bar]		
		IGNITE: ALLO-605 (TurboCAR™/MM)	[Progress bar]		
		ALLO-316 (CD70/AML)	[Progress bar]		
Solid Tumors	ALLO-819 (FLT3/AML)	[Progress bar]			
	TRAVERSE: ALLO-316 (CD70/RCC)	[Progress bar]			
	ALLO-316 (Other CD70+ tumors)	[Progress bar]			
	DLL3 (SCLC)	[Progress bar]			
Lymphodepletion Agent	8 Undisclosed Targets	[Progress bar]			
	EXPAND: ALLO-647 (Anti-CD52 mAb) ⁴	[Progress bar]			

Allogeneic CAR T has the potential to treat dramatically more patients across more cancer types and at earlier stages, faster and at lower costs than autologous CAR T therapies or other modalities.



Simpler logistics because of donor-based instead of patient-based cells



Production of an off-the-shelf product that offers the potential for on-demand treatment



Scalable manufacturing, giving the opportunity to treat 100+ patients from a single manufacturing run



Multiplex gene editing and engineering capabilities, which may address the complexities associated with solid tumors that autologous therapies have not been able to solve



AlloCAR T™ PRODUCTS: IMPROVING ACCESS TO CELL THERAPY

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




130+
patients treated with
AlloCAR T™ products

100+
patients that may be
treated from
**a single
manufacturing run**




4
foundational
platform
technologies



4
clinical trials
currently
underway



13
pre-clinical
targets

VALUING OUR PEOPLE





Our Allogene Community

Total employees

310

75% are engaged in research, development and technical operations

50% self-reported as women

DIRECTOR-LEVEL AND ABOVE

45%

self-reported as women

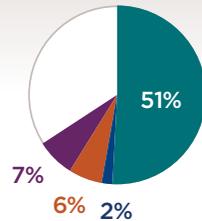
SENIOR LEADERSHIP TEAM (SLT)

43%

Ethnic or racial minorities as defined in the United States

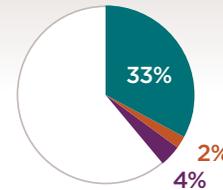
ALL COMPANY

66%



DIRECTOR-LEVEL AND ABOVE

39%



- Asian
- Black or African American
- Hispanic or Latino
- Other minority groups or two or more races

EDUCATION BACKGROUND

70

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



Our *One Allogene* Culture

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

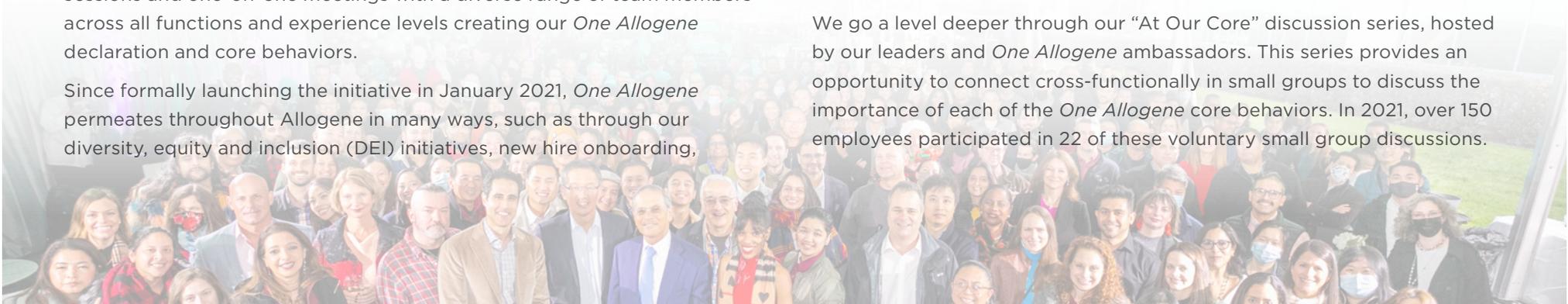
In 2020, we sought to define our culture and unify team members. The effort included conducting a company-wide culture survey, in which 85% of our team strongly agreed or agreed that Allogene has a strong culture and 97% of our team strongly agreed or agreed that they are proud to work for Allogene. We also received feedback that, as we continued to rapidly grow, our culture needed realignment across the different functions. That feedback led to many focus groups, working sessions and one-on-one meetings with a diverse range of team members across all functions and experience levels creating our *One Allogene* declaration and core behaviors.

Since formally launching the initiative in January 2021, *One Allogene* permeates throughout Allogene in many ways, such as through our diversity, equity and inclusion (DEI) initiatives, new hire onboarding,

manager and interview training, performance management, peer recognition and wellness programs. To promote alignment, we have deployed a team of cross-functional

employee ambassadors to find ways to connect teams to our culture, advance team building activities and provide recognition opportunities. Our culture continues to evolve based on company growth, business need, industry changes and employee feedback. We encourage candid employee feedback to ambassadors, anonymous submissions to our *One Allogene* suggestion box, and through ongoing pulse surveys. We will conduct our next company-wide culture survey in 2022.

We go a level deeper through our “At Our Core” discussion series, hosted by our leaders and *One Allogene* ambassadors. This series provides an opportunity to connect cross-functionally in small groups to discuss the importance of each of the *One Allogene* core behaviors. In 2021, over 150 employees participated in 22 of these voluntary small group discussions.





We are creating a scientific revolution.

We are One Allogene



We only succeed as a team.

We accomplish more together than as individuals when we unite as one Allogene community.



We are resilient, because we strive to save the lives of people with cancer.

We come together with purpose, courage and flexibility despite challenges or uncertainty because every potential patient is someone's partner, parent, child, sibling or friend.



We aim for excellence and give it our all.

We pursue scientific innovation with a focus on quality and integrity in everything we do to forever change how cancer is treated.



We take ownership and get things done.

We are leaders who embrace urgency, initiative and follow through, with the humility to know each one of us is vital to making AlloCAR T therapy a reality.



We are good to one another.

We value diversity of thought, background and expertise, we earn each other's trust, and assume good intention as we collaborate to help patients.

We are One Allogene



Cancer Doesn't Discriminate and Neither Do We

Since our inception, we have embraced diversity, equity and inclusion (DEI) and we strive every day to create an inclusive environment.

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

We are focused on continuing to diversify our workforce and increase opportunities to underrepresented minorities by:

- Posting our open positions on job boards such as Diversityjobs.com to attract candidates from underrepresented groups.
- Participating in diversity focused career fairs that promote the inclusion of multi-ethnic or diverse communities of professionals.
- Offering an added incentive for employees to refer candidates from underrepresented groups.
- Providing guidance with respect to best practices with a focus on DEI training for interviewers and utilizing diverse interview panels who are encouraged to consider candidates from underrepresented groups.

DEI COMMITTEE MISSION STATEMENT

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

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



We are also continuing to progress an inclusive work environment that encourages:

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



2021 DEI Committee

To champion our efforts in this area, in 2020 we established a governance structure and formed a DEI Committee, which is comprised of employees of various levels, departments and backgrounds and sponsored by our Chief Communications Officer. The DEI Committee formalized their mission statement and advanced a [DEI policy](#) to establish Allogene’s commitment to diversity, equity, and inclusion and to ensure our employees are aware of their obligations to adhere to our policy. Pursuant to our DEI policy, all employees are required to attend and complete annual diversity awareness training to enhance their knowledge to fulfill this responsibility.

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

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

- Inviting expert external speakers to educate our team on topics such as “The I in DEI” and “How to Become an Effective Ally.”
- Hosting the Allogene Women in Leadership speaker series to hear from industry leaders on how they’ve navigated their careers.
- Hosting our “Let’s Talk” series of small group discussions about prominent topics that relate to current crises, such as health equity for the African American community and violence against Asian Americans.
- Bringing awareness to the diverse backgrounds of our team members by spotlighting their stories and hosting ad hoc events such as lunches that celebrate different heritages.

ALLOGENE WOMEN IN LEADERSHIP

**SPEAKERS
SERIES**

**CONFIRMED
SPEAKERS**

	Dr. Freda Lewis-Hall		Debbie Messemer
	Dr. Ellen Sigal		Dr. Susan Desmond-Hellmann
	Karen Mack		Sherry Lansing
	Nadine Schiff		Amy Schulman
MODERATED BY			
	Christine Cassiano		Dr. Vicki Sato
	Dr. Gwen Nichols		



Staying Connected and Informed

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

updates; photos from the Allogene community; and safety, legal, compliance, and cybersecurity updates and reminders.

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

Our SLT also hosts “Ask Us Anything” events, which are informal Q&A sessions to give employees the opportunity to ask any question they may have about Allogene, the industry, or whatever is on their minds. To solicit feedback and strengthen engagement, SLT members also run small group discussions with employees across different functions.

In the early days of the COVID-19 pandemic, we quickly bolstered our efforts to remain connected and keep our employees informed. While many employees were working from home, we held bi-weekly Town Halls, with a large portion of each event dedicated to open Q&A. Our HR team hosted frequent virtual social and wellness events, including Bingo Nights, yoga classes and meditation sessions, to maintain our culture.



...ALLOGENE’S INTERNAL COMMUNICATIONS APPLICATION...ENABLE(S) TWO-WAY COMMUNICATION AND INTERACTION BETWEEN EMPLOYEES ACROSS ALL TEAMS AND LOCATIONS.



Safety in the Workplace

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

To maintain a safe and healthy workplace, we have a comprehensive Environment, Health and Safety (EHS) program that focuses on key risk mitigation programs that identify, assess, and correct hazards. In addition, we have emergency response teams at each location that are responsible for sweeping the Allogene buildings during an emergency evacuation to account for all employees and providing first-aid care for fellow colleagues in the event of injury, exposure, or medical emergency.

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

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

...ALLOGENE HAS A COMPREHENSIVE ENVIRONMENT, HEALTH AND SAFETY (EHS) PROGRAM THAT FOCUSES ON KEY RISK MITIGATION PROGRAMS THAT IDENTIFY, ASSESS, AND CORRECT HAZARDS.



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

In 2021, Allogene had a recordable incident rate of 1.2 without any lost time incidents and we did not experience any Occupational Health & Safety (OH&S) related deaths.



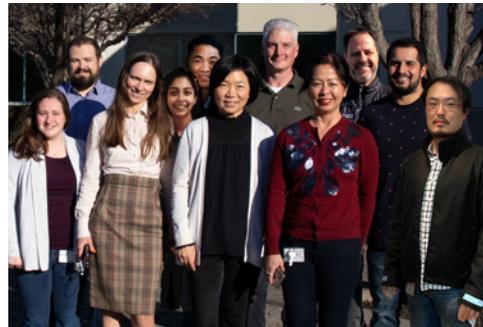
EHS Governance and Engaging Employees

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

The EHS committees review safety metrics to identify potential trends, review and analyze incidents to provide feedback on action plans, and drive EHS initiatives to increase awareness and improve performance. For instance, one such committee created a comprehensive safety video

featuring our employees, making the pursuit of safety more engaging and accessible.

Each EHS committee is supervised by site leadership teams that review safety metrics, incidents, and EHS committee performance on at least a quarterly basis.



South San Francisco EHS Committee

At Allogene, we conduct monthly safety inspections of all our buildings and strive to close out all corrective actions on time. All safety incidents are posted to The CarT so every Allogene employee is aware and can learn from these incidents.

COVID-19 Response

At the core of our response to the COVID-19 pandemic is our dedication to protecting the health and safety of our employees.

When the COVID-19 pandemic began, we quickly created a cross-functional internal Task Force, led by the head of EHS, to ensure timely communication and decision-making in response to COVID-19. The Task Force regularly monitors COVID-19 regulations along with community transmission data and continues to provide COVID-19 updates to our employees. The Task Force also hosts educational seminars to educate our team about proper safety protocols, vaccinations, and variants.

We have implemented a series of COVID-19 safety protocols to prioritize the safety of employees onsite. These safety protocols include requiring health screens and temperature checks upon entering and facial coverings in open areas. We intend to continue to examine our protocols as the pandemic and health guidance evolves.





RECRUITING, DEVELOPING AND RETAINING TALENT

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



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

Our recruitment efforts are designed to diversify our workforce, increase opportunities to underrepresented minorities and benefit the local community. In addition to the diversity-focused recruitment efforts outlined on [page 9](#) of this report, we are hosting a summer internship program to provide exposure to the life sciences industry to students, especially those in underrepresented groups.

We are in a highly competitive field and geographic region for life science talent and historically have faced proportionally higher attrition among our research, development and technical operations teams than our general and administrative teams. Our voluntary attrition rate was 22% in 2021 and we believe we will continue to face significant competition for life science talent. We have taken a number of steps to address attrition and have a corporate goal to meaningfully reduce attrition in 2022.





Compensation & Benefits

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

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

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

In 2021, we conducted a third-party benchmark analysis of our compensation practices and structures and confirmed our compensation program is equitable. It is our policy to review and take action if we identify employees with unjustified pay gaps. We conduct and report on our pay equity analysis to our Compensation Committee on an annual basis.

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

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

Employee “Reasons for the Revolution”

To be a part of an amazing team that has the ability to develop a product that will forever change our approach to cancer treatment.

.....
— Juliette W.

The opportunity to work in an environment that puts the needs of patients above everything else.

.....
— Surabhi S.



Career Development

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

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

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

173 Gratitude Lab spot bonuses were awarded in 2021

Spot Recognition through Allogene’s Gratitude Lab

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

You are a great teammate and we thank you for stepping up and taking on a responsibility when you did not have to!

Thank you for always fitting our requests into your busy schedule and for your positive attitude! Your efforts are much appreciated!

Anyone who has the chance to work with her would appreciate her efficiency and professionalism.

I’d like to share my sincerest gratitude for her ability to live, breathe, and showcase the heart and soul of Allogene.

PRIORITIZING ENVIRONMENTAL SUSTAINABILITY





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

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

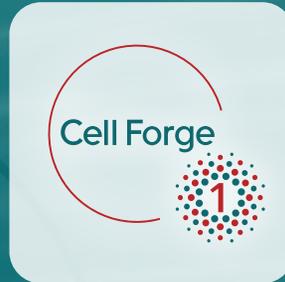
- Be an environmentally responsible corporate citizen
- Monitor consumption of resources used by Allogene in our operations
- Educate our employees and provide channels for employees to create environmental awareness and contribute to our efforts
- Monitor and continually improve our measures to use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





The Facility of the Future: Cell Forge 1

Cell Forge 1 (CF1) is Allogene’s state-of-the-art cell manufacturing facility in Newark, California and the home of the next revolution in CAR T cell products. Our 136,000 square foot facility was designed and constructed from the ground-up to optimize energy performance and efficiency. This includes the use of low-emitting materials, segregation and recycling of construction waste, and selection of energy-efficient utility equipment. With construction completed in 2020, it is a high-profile example of our commitment to environmental sustainability.



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

The energy efficient design and construction includes:

- Heat pump technology for heating and cooling
- Natural light or LED lighting throughout
- Energy metering and performance monitoring, allowing for continued energy reduction efforts

We believe the environmentally friendly building design will earn this facility LEED Gold certification in design and operation in 2022.





Current Initiatives to Reduce Environmental Impact

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

Other sustainability initiatives include:

- Electric vehicle charging stations
- A \$50-per-month reimbursement for employees taking public transit
- Subsidized passes for employees who take commute.org shuttles in the Bay Area
- Recycling/composting, including signage at waste containers to help employees understand what can be composted and what can be recycled to divert waste from landfill
- Water-use reduction devices on all bathroom faucets and toilets



- Dispensers for snacks and compostable utensils that reduce packaging and container waste
- Compostable materials used for all crockery at Allogene sites and events
- Removal of plastic bottle drinking options
- Reusable cups and mugs provided to all new employees
- Recycling disposable face masks at all sites

As a newly constructed site with reduced use of certain utilities, our CF1 facility had one environmental notice of violation but is currently in compliance.

Our Focus for the Future

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





PURSUING THE HIGHEST ETHICAL STANDARDS

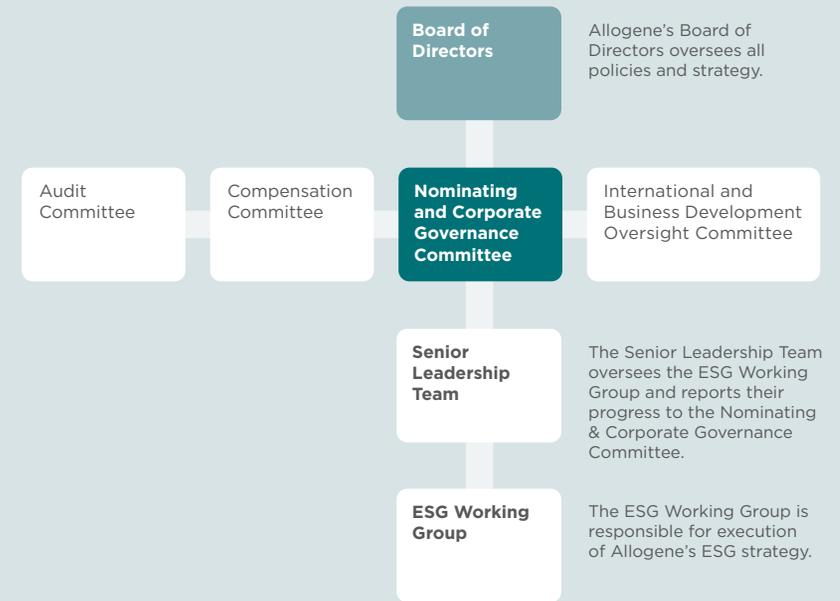
Allogene's Board and Corporate Governance

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

Board Diversity

At Allogene, we strive to achieve Board diversity in the broadest sense by including persons diverse in gender, ethnicity, age, experience and geographic location. Our Board is comprised of healthcare investors, academics, pharma industry veterans and biotech entrepreneurs, many of whom have extensive experience in cell therapy. Two directors joined our Board in 2021, and the remainder joined our Board in 2018. The eleven directors range in age from 45 to 79. Three directors self-identify as female and two self-identify as Asian. The Board is committed to appointing at least one additional director from an underrepresented community by the end of 2022.

The Nominating & Corporate Governance Committee is responsible for ESG oversight and oversees Allogene's ESG initiatives at the Board level.





Business Ethics and Human Rights

We have a set of policies that reinforce our commitment to ethical and responsible conduct. At the center is our Code of Business Conduct and Ethics (Code). Other key policies include our [Diversity, Equity and Inclusion Policy](#); [Workplace Harassment, Discrimination and Retaliation Prevention and Complaint Procedures Policy](#); and [Open Door Policy](#). We have also implemented a [Human Rights Policy](#), which is discussed in more detail below. All of these policies are available on our internal and external websites.

We also recognize our responsibility to develop a company culture that advocates respect for all human rights and avoids complicity in human rights abuses. Our Human Rights Policy supports the principles outlined in the UN Guiding Principles on Business and Human Rights and addresses human rights matters relating to the workplace, environment, clinical trials and its supply chain.

Topics covered in the Allogene Code include

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



Training

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

Reporting Resources and Non-Retaliation

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

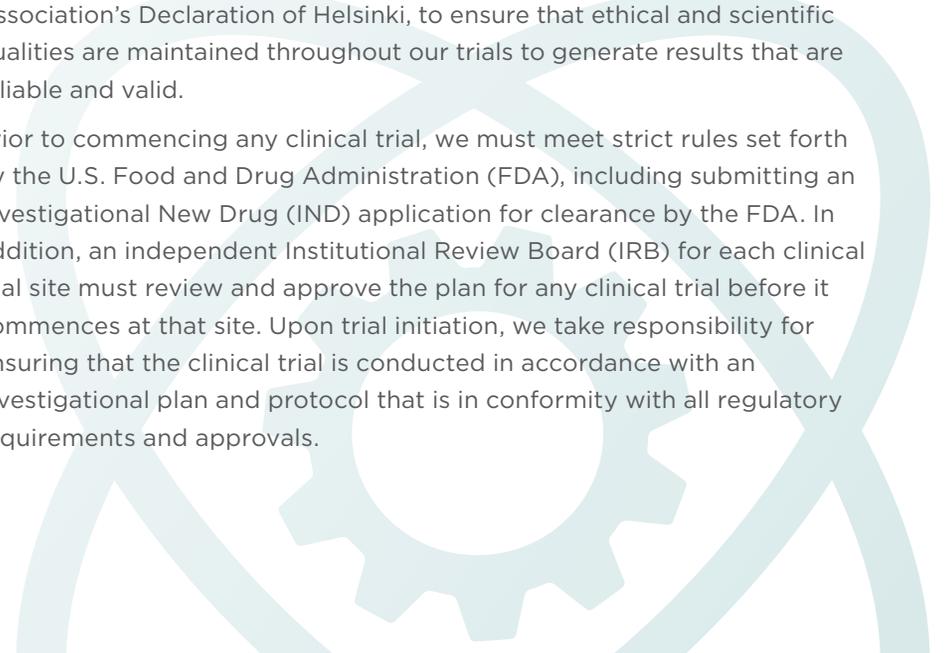
Our Board has designated our General Counsel as our Compliance Officer, who is required to follow certain procedures upon the receipt of any report alleging violation of company policies.

Employees who do not feel comfortable speaking with our Compliance Officer can contact our Chief Financial Officer, Chief Executive Officer or the chair of the Board of Directors' Audit Committee.

Clinical Trials

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

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





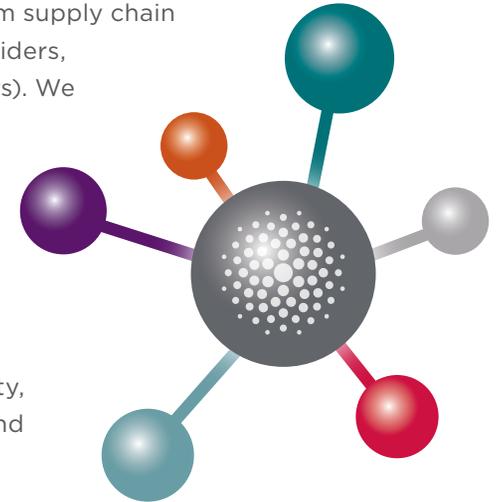
Product Quality and Patient Safety

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

We have an internal Safety Review Board that manages the safety of Allogene’s product candidates and communication of safety matters with key stakeholders such as regulators, investigators and clinical sites, including the sites’ IRB. We may also engage an independent group of qualified experts organized by Allogene, known as a data safety monitoring board (DSMB), to provide an independent review of clinical trial data at designated checkpoints and advise us regarding the continuing safety of clinical trial subjects. Through its regular review of data, the DSMB may recommend changes to the trial design based on emerging safety concerns, including termination of the trial if it identifies an unacceptable safety risk for subjects.

Supply Chain and Partners

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



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



Managing Cybersecurity Risk

At Allogene, we are committed to maintaining a secure information technology environment. We follow the guidance of the National Institute of Standards and Technology (NIST) and rely on the five functions of the NIST framework, as illustrated below.

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

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

In 2021, Allogene had no material cybersecurity breaches to our knowledge.

<p>Identify </p> <p>We identify threats through various means, including through employee training, establishing new cyber policies and standards, and performing ongoing assessments of our programs.</p>	<p>Protect </p> <p>We work to protect all of our confidential data with secure firewalling for lab and manufacturing systems to mitigate risk, an advanced email security solution, restriction of USB usage on laptops to reduce data loss and strict permissions to protect network shares.</p>	<p>Detect </p> <p>We are continuously monitoring and detecting threats with 24-hour rapid monitoring, quarantine of any compromised device and frequent operational review of cyber risks and trends.</p>	<p>Respond </p> <p>We have established a robust incident response plan for our IT team to utilize and have partnered with a reputable cybersecurity partner for response.</p>	<p>Recover </p> <p>We have a recovery system in place to ensure critical lab and manufacturing systems are backed up and recoverable where possible.</p>
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Important legal information

Statements in this report that are not statements of historical fact are forward-looking statements that involve a number of risks and uncertainties. Such forward-looking statements may be identified by words such as *believe, goal, plan, potential, may, will, intend, expect, strive, seek, and design*, and include, among other things, statements about Allogene's mission, plans, goals, assets, and programs. For such statements, Allogene claims the protection of the Private Securities Litigation Reform Act of 1995. Actual events or results may differ materially from Allogene's expectations. Factors that could cause actual results to differ materially from the forward-looking statements are disclosed in Allogene's filings with the Securities and Exchange Commission (SEC), including under the Risk Factors heading of Allogene's most recently filed Annual Report on Form 10-K or Quarterly Report on Form 10-Q. These forward-looking statements represent Allogene's judgment as of the time this report was first published. Allogene disclaims any intent or obligation to update these forward-looking statements, other than as may be required under applicable law.