Numab Therapeutics AG
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Switzerland
numab.com

Privacy Notice for Clinical Trial Participants

1. Introduction

This privacy information notice ("Notice") is intended to provide participants in clinical studies conducted by Numab Therapeutics AG ("Numab") with an overview of the measures taken by Numab to protect the privacy of the participants.

Numab sponsors clinical studies under the control of the Swissmedic authority, the European Medicines Agency ("EMA"), the U.S. Food and Drug Administration ("FDA") and other governmental authorities regulating the development of medicinal products ("Regulatory Authorities").

When you participate in a clinical study sponsored by Numab (the "Study"), your participation is completely voluntary. Prior to participating, you must give informed consent in writing to the scope of the research to be conducted using your personal data gathered during the Study ("Personal Study Information"). This Personal Study Information may include, but is not limited to, your medical history, disease state (if applicable), information regarding biological samples (e.g. blood, urine or tissue samples) and adverse events.

All your personal data will be protected in accordance with the applicable data protection laws, which includes for Switzerland the Federal Act on Data Protection ("DPA"), for the European Economic Area ("EEA") - the General Data Protection Regulation ("GDPR") and other country specific privacy legislation when applicable.

In this Notice, we explain what personal data will generally be processed as part of the Study and what rights you have with respect to your privacy. For more information about the background, purpose, and operation of the Study, please refer to the Patient/Subject Information Sheet, the Informed Consent Form, or other information provided to you when you entered the clinical study processes.

2. What is the role of Numab in the study?

As sponsor of clinical studies, Numab is responsible for processing and controlling Personal Study Information. We will involve external parties such as contract research organizations (CROs), study sites (i.e. the location where your study doctor is based) or other research organizations to process the Study Information. Numab is the controller of your personal data.

3. Purpose of processing and legal basis

We process Personal Study Information to support the clinical study, as described in the Subject/Patient Information Sheet and Informed Consent Form, and to fulfill our statutory obligations with respect to each Study. We need to process your Personal Study Information to draw conclusions from the result of the Study and to receive authorization from relevant Regulatory Authorities to market our pharmaceutical products. We may also publish the results of the Study.

We will only process personal data if we have a valid legal justification for doing so.
Therefore, we will only process your Personal Study Information if:

- you have given your prior consent by signing the Informed Consent Form;
- this is necessary to comply with our legal or regulatory obligations, such as the
- regulations on conducting clinical studies;
- this is necessary for medical reasons to protect your vital interests or those of
- another individual (matters of life and death); or
- this is necessary for scientific research purposes.

We do not use personal data to execute automated decision-making or profiling.

4. Confidentiality

Your Personal Study Information is recorded using a unique study number to prevent your identity being revealed. The link between your unique

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study number and your identity is only known to your study doctor and is not provided to Numab or made publicly available. All information to be held by Numab as part of the Study is identified by this study number and not by your name. This is considered pseudonymized data. We will treat this data accordingly.

5. How long do we retain your personal study information

We will only retain personal data for as long as necessary to fulfill the purpose for which it was collected and to comply with legal and regulatory requirements, as defined in internal policies and retention schedules. After such time periods have expired, we may either delete your personal data or retain it in a form such that it can no longer be used to identify you personally. Personal data may be retained longer if this is necessary for scientific research purposes.

6. How do we protect your personal study information

Numab takes the security and privacy of the Personal Study Information very seriously. We will therefore implement reasonable and appropriate security measures to protect your personal data from loss, misuse and unauthorized access, disclosure, alteration and destruction. In doing so, we consider the risks involved in processing and the nature of such personal data and comply with applicable laws and regulations.

7. With whom is your personal study informtion shared

We are required to disclose the personal data we control in response to lawful requests by governmental authorities, including for the purpose of meeting requirements of national security or law enforcement. We may also disclose personal data to other third parties when compelled to do so by governmental authorities or required by law or regulations including, but not limited to, in connection to court orders.

We may disclose your Personal Study Information to governmental authorities for regulatory and supervision purposes. We may also disclose your Personal Study Information to public and/or private researchers, consistent with the principles of this Notice.

Personal Study Information may also be shared with third party service providers who we engage to assist us in conducting the Study. As a sponsor, for example, we may instruct a third party to monitor and support the study on behalf of Numab. If this is the case, Numab will enter into an agreement with this third party which will also safeguard the security and confidentiality of the processing of your Personal Study Information by such third party on behalf of Numab.

8. Access to personal study information

If you are participating in a Study and you would like to access your personal data, we strongly recommend that you request this directly from your study doctor as explained to you via the Informed Consent Form or other information provided to you when you entered the clinical study process. As we only possess pseudonymized data, we cannot identify which personal study information relates to you without asking your study doctor to reveal your identity and linking the pseudonymized data to you. This may violate applicable laws regulating clinical studies.

At your request, we will ask the study doctor to inform you if your personal study information is being processed in a study and take measures to provide you with any of your personal data that is processed in such study within a reasonable time. You have the right to access, correct, amend or delete your personal data. This is free of charge, but we may require payment or refuse your request if the request is manifestly unfounded or excessive, or if compliance with the request would be in conflict with our obligations under applicable law regulating clinical studies.

If you withdraw or are asked to be withdrawn from a study, your personal study information collected prior to your withdrawal may still be processed along with other personal study information collected as part of the study, as stated in the Informed Consent Form.

9. Important notice for all participants in studies conducted or on behalf of Numab

Numab complies, as a Swiss company, with the

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Federal Act on Data Protection (DPA) and, for studies conducted in the European Economic Area (EEA), the European General Data Protection Regulation (GDPR), regarding the collection, use and retention of personal data of participants in Studies for which it is a sponsor. If there is a conflict between this Notice and the DPA or GDPR privacy principles, the DPA and GDPR privacy principles will prevail. Numab is committed to resolving complaints about your privacy and our collection or use of your personal data. If you are not satisfied with the way Numab handles your personal data, you may file a complaint to the appropriate Supervisory Authority.

Your personal data might be transferred to a country outside Switzerland and the EEA This may be necessary because we work with third party service providers or need to share the findings of a study with supervisory authorities outside the EEA. If your data is transferred outside the EEA, Numab is responsible for protecting your personal data and will take all the reasonable steps to protect your privacy. This includes putting in place suitable safeguards to ensure that such transfer is carried out in compliance with applicable data protection rules.

10. Changes to this privacy notice

This Notice may be subject to amendments. Any future changes or additions to the processing of personal data as described in this Notice affecting you will be communicated to you through an appropriate channel, in line with how we normally communicate with you. Minor changes that do not impact your rights and freedoms with regard to personal data will not be communicated directly.

11. How to contact us

If you have any questions about this Notice, please e-mail us at dataprotection@numab.com.

We can also be contacted via letter:
Numab Therapeutics AG
Attn: Privacy officer
Einsiedlerstrasse 34
CH-8820 Wädenswil
Switzerland
Inhabitants of the EEA can also contact our GDPR representative Vivenics Consultancy B.V. by emailing to representative@vivenics.com.

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Expanded Access Policy

Expanded Access Policy Numab Therapeutics AG (Numab) is committed to developing multi-specific antibody-based therapeutics for patients with serious cancers. Numab aims to provide access to our investigational therapies primarily through ongoing clinical trials. "Expanded Access" refers to the use of an investigational therapy for potential treatment of a serious condition in a patient, where such use is not within a clinical trial setting. The US Food and Drug Administration has set forth guidelines when considering expanded access. They include:

- The disease or condition must be serious or immediately life-threatening with no adequate alternative therapy options available;
- There must be sufficient evidence that, based on available safety and efficacy information, the potential benefit to the patient would likely outweigh any potential risks; and
- Provision of the investigational drug for expanded access use will not interfere with, or delay, ongoing or planned clinical development programs, completion of which would enable therapy access for many more patients.

Certain therapies, like those developed by Numab, are made through complex manufacturing processes. Numab seeks to retain the ability to make and supply product in a fair and equitable manner and in a volume that assures adequate manufacturing capacity for our clinical trial development programs. Numab believes that participation in clinical trials is the most appropriate way to access these investigational therapies. At this time, Numab is not currently making its unapproved therapies available on an expanded access basis. In the event Numab decides to consider expanded access in the future, Numab will evaluate and respond to each request that it receives on a case-by-case basis. In the meantime, you can find current information about our ongoing clinical trials at https://clinicaltrials.gov. If you have additional questions, please speak with your physician or contact clinicaltrials@numab.com. Consistent with the 21st Century Cures Act, Numab may revise this policy at any time.