

# Privacy Statement for Invicro:

## Privacy Statement

Invicro is strongly committed to protecting the privacy of those who entrust us with their personal information, including human resource data of our customers and clinical trial data of our subjects. Invicro and our employees, and all those who do business with us, trust and expect that we will protect their personal information in accordance with the promises we make. In furtherance of our commitment, Invicro has certified to the Privacy Shield Self Certification between the United States, the European Union and Switzerland.

Accordingly, Invicro complies with the EU-U.S. Privacy Shield Framework and Swiss-U.S. Privacy Shield Framework as set forth by the U.S. Department of Commerce regarding the collection, use, and retention of personal information transferred from the European Union and Switzerland to the United States. Invicro has certified to the Department of Commerce that it adheres to the Privacy Shield Principles. If there is any conflict between the terms in this privacy policy and the Privacy Shield Principles, the Privacy Shield Principles shall govern. To learn more about the Privacy Shield program, and to view our certification, please visit <https://www.privacyshield.gov/>

Invicro uses personally-identifiable information to conduct research to improve health and care. As a research company we have a legitimate interest in using information relating to subject health and care for research studies, when subjects agree to take part in a research study. This means that we will use their data, collected in the course of a research study, in the ways needed to conduct and analyze the research study. Subject's rights to access, change or move your information are limited, as we need to manage such information in specific ways in order for the research to be reliable and accurate. If a subject withdraws from the study, we will keep the information about them that we have already obtained. To safeguard subject's rights, we will use the minimum personally-identifiable information possible.

In compliance with the Privacy Shield Principles, Invicro commits to resolve complaints about our collection or use of your personal information. EU and Swiss individuals with inquiries or complaints regarding our Privacy Shield policy should first contact Invicro's Data Protection Officer at [dpo@invicro.com](mailto:dpo@invicro.com). If subjects are not satisfied with our response or believe we are processing your personal data in a way that is not lawful you can complain to the Information Commissioner's Office (ICO)

## Scope

This Privacy Statement sets forth how Invicro handles information transferred from countries in the European Union, Switzerland and European Economic Area (EEA) to the United States on behalf of Invicro. This can include both Personal Information and Sensitive Information collected from employees, partners and customers and transferred via on-line, off-line, written or verbal methods; as well as clinical trial data obtained through research.

Information regarding potential candidates for job vacancies is described in our UK-EU-External-Data-Protection-Policy-Notice.

Effective: January 2019

Last Updated: 09 January 2019

## About the Privacy Shield

The EU-U.S. and Swiss-U.S. Privacy Shield Frameworks were designed by the U.S. Department of Commerce, and the European Commission and Swiss Administration, respectively, to provide companies on both sides of the Atlantic with a mechanism to comply with data protection requirements when transferring personal data from the European Union and Switzerland to the United States in support of transatlantic commerce. On July 12, 2016, the European Commission deemed the EU-U.S. Privacy Shield Framework adequate to enable data transfers under EU law (see the [adequacy determination](#)). On January 12, 2017, the Swiss Government announced the approval of the Swiss-U.S. Privacy Shield Framework as a valid legal mechanism to comply with Swiss requirements when transferring personal data from Switzerland to the United States. See the statements from the [Swiss Federal Council](#) and [Swiss Federal Data Protection and Information Commissioner](#).

The Privacy Shield program, which is administered by the International Trade Administration (ITA) within the U.S. Department of Commerce, enables U.S.-based organizations to join one or both of the Privacy Shield Frameworks in order to benefit from the adequacy determinations. To join either Privacy Shield Framework, a U.S.-based organization will be required to self-certify to the Department of Commerce and publicly commit to comply with the Framework's requirements. While joining the Privacy Shield is voluntary, once an eligible organization makes the public commitment to comply with the Framework's requirements, the commitment will become enforceable under U.S. law. All organizations interested in self-certifying to the EU-U.S. Privacy Shield Framework or Swiss-U.S. Privacy Shield Framework should review the requirements in their entirety.

"Personal Information" means information that can directly or indirectly lead to the identification of a living person, such as an individual's name, address, e-mail, telephone number, license number, medical identification number, photograph, or other identifying characteristic. The identification can occur by reference to one or more factors specific to the individual's physical, physiological, mental, economic, cultural or social identity. Personal information does not include information that has been anonymized, encoded or otherwise stripped of its identifiers, or information that is publicly available, unless combined with other non-public personal information.

"Sensitive Information" means Personal Information specifying medical or health conditions, racial or ethnic origin, political opinions, religious or philosophical beliefs trade union membership or information specifying the sex life of the individual.

### Notice

Invicro will inform individuals about:

- the right of individuals to access their personal data, as required by applicable regional regulations and laws.
- how Invicro will use information from subjects in order to undertake research. When Invicro is the sponsor of the study we will act as the data controller for this study. This means that Invicro is responsible for looking after subject information and using it properly.
- Data retention including that Invicro will keep study data for up to 25 years after the study has completed.

Effective: January 2019

Last Updated: 09 January 2019

- their rights to access, change or move their information, including that such actions are limited, as Invicro needs to manage subject information in a specific way in order for research to be reliable and accurate.
- subject data obtained in the study, if the subject withdraws from the study. This would include Invicro maintaining the existing information about the subject obtained prior to the withdrawal.
- that Invicro will safeguard the subject's rights, including using the minimum personally-identifiable information possible.
- the organization being subject to the investigatory and enforcement powers of the Federal Trade Commission (FTC)
- the requirement for the organization to disclose personal information in response to lawful requests by public authorities, including to meet national security or law enforcement requirements
- the organization's liability in cases of onward transfers to third parties
- the possibility, under certain conditions, for the individual to invoke binding arbitration for complaints regarding Privacy Shield compliance not resolved by any of the other Privacy Shield mechanisms. For additional information: <https://www.privacyshield.gov/article?id=ANNEX-I-introduction>
- the requirement for the organization to disclose personal information in response to lawful requests by public authorities, including to meet national security or law enforcement requirements
- in the context of an onward transfer, the organization has responsibility for the processing of personal information it receives under the Privacy Shield and subsequently transfers to a third party acting as an agent on its behalf. As a Privacy Shield organization, Invicro shall remain liable under the Principles if its agent processes such personal information in a manner inconsistent with the Principles, unless the organization proves that it is not responsible for the event giving rise to the damage.
- the type or identity of third parties to which your organization discloses personal information, and the purposes for which it does so
- the possibility, under certain conditions, for the individual to invoke binding arbitration

Invicro will include a notice to individuals the purposes for which we collect and use Personal Information about them, how to contact us, the types of third parties with whom we may share Personal Information (if applicable), and any ways that individuals may limit the use and sharing of such information. This notice will be provided when individuals are first asked to provide Personal Information or as soon thereafter as is practicable.

### Choice

Collection and retention of personal information at Invicro will be done so according to the relevant legal basis. Notice of the relevant legal basis will be available to individuals. If that legal basis is consent, individuals will receive an appropriate level of information about the use of their personal information and have their consent to collect and retain the data documented. This consent may be withdrawn at any time, and if the legal basis for retention of data is consent, this data will no longer be retained by Invicro.

Where consent is not the legal basis, Invicro may decide that documented consent is best practice, or in the case of research subjects, a regulatory requirement, and therefore consent

would also be sought from individuals. It will be explained to subjects, in this instance, that although consent is sought, data may still be used and retained by Invicro if there is an additional legal basis for these activities.

#### Onward Transfer

Invicro will only transfer Personal Information to a third party consistent with the notice and choice principles stated above. If Invicro discloses Personal Information to a third party, Invicro will either: (i) ensure that the third party is subject to the privacy principles; or (ii) require the third party by contract to provide the same level of protection as required by the privacy principles.

#### Security

Invicro will take reasonable precautions to protect Personal Information from loss, misuse and unauthorized access, disclosure, alteration and destruction. The principle of security applies to how Invicro stores, processes, maintains and protects personal information.

#### Data Integrity

Invicro will only use and share Personal Information about individuals in a way that is consistent with the purposes for which the information was collected or subsequently authorized by those individuals. To the extent necessary for those purposes, Invicro will take reasonable steps to ensure that the information is accurate, complete, and current.

#### Access

Invicro will provide individuals with reasonable access to Personal Information as defined by any additional agreements (i.e. Informed Consent Form) about them and they may request the correction or amendment of Personal Information that they demonstrate to be incorrect or incomplete.

#### Enforcement

Invicro has put in place mechanisms to verify our ongoing adherence to these privacy principles. We encourage individuals covered by this statement to raise any concerns that they have about the way we process their Personal Information by contacting us at address below, and we will do our best to resolve them. We have also agreed to participate in the independent dispute resolution program provided by the European Data Protection Authorities Panel, and the Swiss equivalent.

Limitation on Scope of Principles Adherence by Invicro to these privacy principles may be limited to the extent required to meet a legal, governmental, national security or public interest obligation.

## **How to Contact Us**

Initial questions, comments or complaints regarding collection and processing of your information should be directed to:

ATT:

Reed Malleck, Chief Financial Officer (CFO)

Invicro Headquarters

27 Drydock Avenue

7<sup>th</sup> Floor West Boston, MA 02210

Telephone: 617-904-3543

Fax: 866-485-3197

Kimberly Fabrizio, Vice President, Regulatory & Compliance

Invicro

60 Temple Street

Suite 8B

New Haven, CT 06510

Telephone: 203-401-4313

Fax: 203-789-8037

### **Data Protection Officer:**

Matthew Chernesky, Director, Information Technology

Invicro

60 Temple Street

Suite 8B

New Haven, CT 06510

dpo@invicro.com

Telephone: 203-508-1520

Fax: 203-789-8037

### **Changes to this Statement**

This Statement may be amended from time to time, consistent with the requirements of the Privacy Shield. When we do, we will also revise the "last updated" date at the bottom of this Statement. For material changes to this Statement, we will notify individuals by placing a notice on this page.

Effective: January 2019

Last Updated: 09 January 2019

# Privacy Statement

Invicro is aware that the security of your private information from the use of our web-site is an important concern. We take the protection of your personal data very seriously. Therefore, we would like you to know what data we maintain and what data we discard. With this privacy statement, we would like to inform you about our security measures.

## Collection of Data

You can use our web site without disclosing your personal data. You are not required to provide personal information as a condition of using our site, except as may be necessary to provide you a product or service at your request. When you use our website, data may be stored for various security purposes. This data may include the name of your internet service provider, the web site that you used to link to our site, the web sites that you visit from our site and your IP-Address. This data could possibly lead to your identification, but we do not use it to do so. We do use the data from time to time for statistical purposes, but maintain the anonymity of each individual user so that the person cannot be identified. In cases when personal data is provided to others to provide you products or services you have requested, or for other purposes you have authorized, we rely on technical and organizational means to assure that applicable data security regulations are followed. Your IP address is utilized for security and performance measurement with a 4 week retention on this information.

## Collection and processing of personal data

We collect personal data only when you provide it to us, through registration, completion of forms or e-mails, as part of an order for products or services, inquiries or requests about materials being ordered and similar situations in which you have chosen to provide the information to us.

The database and its contents remain at our company and stay with data processors or servers acting on our behalf and responsible to us. Your personal data will not be passed on by us or by our agents for use by third parties in any form whatsoever, unless we have obtained your consent or are legally required to do so.

We will retain control of and responsibility for the use of any personal data you disclose to us. Some of this data may be stored or processed at computers located in other jurisdictions, such as the United States, whose data protection laws may differ from the jurisdiction in which you live. In such cases, we will ensure that appropriate protections are in place to require the data processor in that country to maintain protections on the data that are equivalent to those that apply in the country in which you live.

## Google Analytics

Invicro uses Google Analytics to analyze user activity in order to improve our website. For example, using cookies we can look at aggregate patterns and page performance trends. We can use such analysis to gain insights about how to improve the functionality and experience of the website. No personal data is taken from visitors from a website utilizing Google Analytics, nor is it stored. For information on how to opt-out of Google Analytics tracking, please visit this link - <https://www.invicro.com/privacy-policy#GA>

Effective: January 2019

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## **Additional Data Privacy Measures:**

Invicro may store personal data regarding marketing queries with third party vendors. Invicro only utilizes such vendors who have secured Privacy Shield certifications and are GDPR compliant.

### Statement

Invicro has committed to adhere to the principles and FAQs under the Privacy Shield pertaining to data transferred into the US.

### Purposes of Use

The data we collect will only be used for the purpose of supplying you with the requested products or services or for other purposes for which you have given your consent, except where otherwise provided by law. Any data transferred into the US is done so under the Privacy Shield certification.

### Right of Access and Correction

You have the right to review and amend any personal data stored in our system if you believe it may be out of date or incorrect. Just send an e-mail to the address given in the imprint or contact the Invicro at the address below.

### Right of Cancellation

You have the right at any time to withdraw your consent to the use of your personal data in the future. Again, just send an e-mail to the address given in the imprint or contact Invicro at the address below.

### Data Retention

We only retain personal data for as long as is necessary for us to render a service you have requested or to which you have given your consent, except where otherwise provided by law (e.g. in connection with pending litigation).

### Use of Cookies

Cookies are small text files that are stored in the visitor's local browser cache. Using such cookies it is possible to recognize the visitor's browser in order to optimize the website and simplify its use. Data collected via cookies will not be used to determine the personal identity of the website visitor.

Most browsers are set-up to accept these Cookies automatically. In addition, you can deactivate the storing of cookies or adjust your browser to inform you before the Cookie is stored on your computer.

### Security

Invicro uses technical and organizational security precautions to protect your data from manipulation, loss, destruction or access by unauthorized persons. Any personal data that is provided to Invicro by you will be encrypted in transit to prevent its possible misuse by third parties. Our security procedures are continuously revised based on new technological developments.

### Children

In light of the importance of protecting children's privacy, we do not collect, process or use on our website any information relating to an individual whom we know to be under 13 years old without the prior, verifiable consent of his or her legal representative. Such legal representative has the right, upon request, to view the information provided by the child and/or to require that it be deleted.

### Contacts

If you have any problems, questions or ideas, please contact one of the following persons.

ATT:

Reed Malleck, Chief Financial Officer (CFO)  
Invicro Headquarters  
27 Drydock Avenue  
7<sup>th</sup> Floor West Boston, MA 02210

Telephone: 617-904-3543  
Fax: 866-485-3197

Kimberly Fabrizio, Vice President, Regulatory & Compliance  
Invicro New Haven  
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