

# Privacy Statement for Invicro

Invicro, LLC, incorporating its wholly-owned subsidiaries (Molecular NeuroImaging, Inc. and Core Clinical, Inc. -collectively “Invicro” hereafter) is a Contract Research Organization (CRO) providing imaging services, histology and analysis services to clinical trials from translational drug discovery and development to late phase clinical studies. To this effort, we offer a suite of services including the conduct and sponsorship of clinical imaging studies involving healthy volunteers and patients. This Privacy Statement applies whether Invicro is defined as Data Controller or Data Processor, and explains how and why Invicro, collects, processes, and retains information about data subjects and users of this website.

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Privacy Statement for Invicro

Definitions of Personal Information

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## Definitions of Personal Information

"Personal Information" means information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural, or social identity of that natural person.

"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 or sexual orientation of the individual.

## Data Privacy Regulations

Invicro is a global entity and works with Sponsor organisations to ensure compliance to all applicable global and local data privacy requirements. This includes, but is not limited to, the General Data Protection Regulation (GDPR) 2018, and its adoption into UK law through the Data Protection Act 2018. Additionally, Invicro recognizes the California Consumer Protection Act (CCPA) for California-based data subjects. Invicro is not a Covered Entity under the Health Insurance Portability and Accountability Act (HIPAA), however may process personal health information covered by HIPAA requirements through contractual agreements with partner organisations, including those where Invicro acts as a Business Associate. Data privacy controls are in place throughout Invicro to ensure the highest applicable standards of data privacy laws are met.

## Privacy Shield

Invicro, is strongly committed to protecting the privacy of individuals' Personal Information. Invicro complies with the EU-U.S. and the Swiss-U.S. Privacy Shield Frameworks, 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/or 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/>.

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 Information from the European Union and Switzerland to the United States in support of transatlantic commerce.

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.

In July 2020, the Court of Justice of the European Union handed down ruling C-311/18 with respect to the adequacy of the mechanisms and safeguards in place in the USA to protect the data privacy rights of EU citizens. Privacy Shield which had, prior to this judgement, been accepted as protecting these rights, was invalidated, and is now deemed insufficient protection for the data rights of EU citizens.

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Any personal data transferred from the EU to the US may be accessed by the US government under the Foreign Intelligence Surveillance Act (2008), if such data is deemed to be relevant to the national security of the USA. This results in limitations to the protection of personal data which are not consistent with the laws of the EU.

Invicro continues to maintain its Privacy Shield certification as a testament to the controls in place aligned with Privacy Shield requirements.

## California Consumers' Privacy Rights and Choices

As clinical research is exempt under the California Consumer Protection Act (CCPA), this legislation does not apply to the research data collected by Invicro for the purpose of clinical trials. Instead, the rights afforded to California consumers under this legislation apply to Personal Information collected for the purposes of Invicro job vacancies, Invicro employment and users of Invicro's website. California consumers may exercise their rights under the California Consumer Protection Act (CCPA) by reaching out to the Data Protection Officer contact provided below. As Invicro does not sell Personal Information, the consumer right to opt out of the "sale" of Personal Information is not applicable to our operations and therefore is not described in this policy.

Right to Know – California consumers have the right to request to know the following about our data collection and disclosure practices in the preceding 12 months:

- The categories of personal information we have collected about you;
- The categories of sources from which the personal information was collected;
- The categories of personal information about you we disclosed for a business purpose;
- The categories of third parties to whom the personal information was disclosed for a business purpose;
- The business or commercial purpose for collecting; and
- The specific pieces of personal information that we have collected about you.

Right to Delete – California consumers have the right to request us to delete personal information we have collected from them and retained.

Right to Non-Discrimination for Exercise of Your Consumer Rights – You have the right not to receive discriminatory treatment by exercising your privacy rights under CCPA.

For requests to know or requests to delete, we will confirm receipt of your request within 10 business days. We must provide the requested information or delete your personal information within 45 days of receipt of your request, but we can use up to an additional 45 days if we let you know that additional time is needed.

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Before responding to your requests to know or requests to delete, we must verify that the person making the request is the person about whom we have collected personal information. We may ask you to provide certain, limited personal information, such as your name and email address to verify and match your identity with our records and systems. Also please be advised that we need to search our records and systems only for the preceding 12 months. There may be cases where we do not have any personal information about you, or we are not able to verify your identity for matching purposes.

## Research Data

Invicro uses personally identifiable information to conduct research to improve health and care. As a research company, Invicro has 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 Invicro 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 their information are limited, as Invicro needs to manage such information in specific ways in order for the research to be reliable and accurate. If a subject withdraws from the study, Invicro will keep the information about them that has been already obtained. To safeguard subject's rights, Invicro will use the minimum personally identifiable information possible.

If subjects wish to raise a complaint regarding how Invicro has handled their Personal Information, they can contact our Data Protection Officer who will investigate the matter. If subjects are not satisfied with our response or believe we are processing Personal Information in a way that is not lawful, they can complain to the National Data Protection Agency, e.g., Information Commissioner's Office (ICO) in the United Kingdom or the Federal Trade Commission (FTC) in the United States.

## Marketing

If an individual's contact details are provided to Invicro for direct marketing purposes, and consent is provided for us to do so, we would like to use this information to keep in touch with you regarding the latest news and information from our organization. Minimal, non-sensitive information will be retained to fulfil the requirements of this legitimate interest, and data will not be shared with third parties without notification and appropriate consent of the data subject.

## Recruitment

An individual's Personal Information may be processed in relation to applying for job vacancies, generally processing any job applications, facilitating the recruitment process, and furthering Invicro's relationship with individuals. The legal basis for this processing is Invicro's legitimate interests in finding an appropriate person for a particular role.

Invicro utilises a third-party recruitment management system called RecruiterBox, with applicant data stored on RecruiterBox servers for the relevant retention period.

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Where consent has been provided for us to do so, Invicro may consider an individual for opportunities that the individual did not specifically apply for but which Invicro thinks might be a good fit for the individual's skillset.

Where consent to process an individual's information has been provided for the purposes detailed above, Invicro will enter the profile data into our central recruitment database.

Invicro may collect an individual's details, that have been made available, from third-party sources such as websites on which Invicro's job vacancies may be advertised, or through recruitment agencies. This information may include an individual's name, email address, telephone number, and curriculum vitae. Invicro may do this where we identify that an individual is suitable for an available vacancy with us. Invicro may use the contact data to contact an individual to ask whether they would like to be considered for an appropriate vacancy. Invicro's use of the contact data in these circumstances is limited to making contact with an individual to determine whether they are interested in working for us and applying for a role. The legal basis for this processing is Invicro's legitimate interest as a business in finding an appropriate person for a particular role.

Data Retention: Invicro only retains Personal Information for as long as is necessary to render the service requested or to which you have given your consent, except where otherwise provided by law (e.g., in connection with pending litigation). Unsuccessful candidate data will be retained for six months unless explicit consent is obtained to retain for longer.

## Notice

Invicro will inform subjects about:

- the right of individuals to access their Personal Information, 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 Invicro 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 may need to keep study data after the study has completed according to the relevant regulatory requirements.
- their rights to access, change or move their information, including that, for research data, 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)

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- 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.

Invicro will include a notice to individuals regarding 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.

## Consent/ 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/choice 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 consent principles stated above. If Invicro discloses Personal Information to a third party, Invicro will either: (i)

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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.

## Transfers Outside the European Economic Area

Where your personal data is transferred outside of the EEA, Invicro will ensure that either (a) The European Commission has made an "adequacy decision" with respect to the data protection laws of the country to which it is transferred, or (b) Invicro has entered into a suitable data processing agreement with the third party situated in that country to ensure the adequate protection of your data, including the use of Standard Contractual Clauses. This includes Invicro's trading entity, Invicro, LLC based in the USA, whose data processing activities accord with Privacy Shield. In all cases, transfers outside of the EEA will be protected by appropriate safeguards.

Please acknowledge that Personal Information that you submit for publication through our website or services may be publicly available, via the internet, around the World. We cannot prevent the use (or misuse) of such Personal Information by others.

## 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. Invicro encourages individuals covered by this statement to raise any concerns that they have about the way Invicro processes their Personal Information by contacting us at the address below, and we will do our

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best to resolve them. Invicro has also agreed to participate in the independent dispute resolution program provided by the European Data Protection Authorities Panel, and the Swiss equivalent.

In compliance with the Privacy Shield Principles, the Invicro Entities commit to resolve complaints about an individual's privacy and Invicro's collection or use of Personal Information transferred to the United States pursuant to Privacy Shield. European Union and United Kingdom, and Swiss individuals with Privacy Shield inquiries or complaints should first contact us at [[dpo@invicro.com](mailto:dpo@invicro.com)].

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.

## Collection of Online Data

You are not required to provide Personal Information as a condition of using our website, 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 website that you used to link to our site, the websites 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. In cases when Personal Information 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 of this information.

## Collection and Processing of Personal Information Online

Invicro collects Personal Information only when an individual provides it, 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 an individual has chosen to provide the information to us.

The database and its contents remain at Invicro and stay with data processors or servers acting on our behalf and responsible to us. An individual's Personal Information 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.

Invicro will retain control of and responsibility for the use of any Personal Information disclosed 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 an individual lives. In such cases, Invicro 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 the individual live.

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## Individual's Rights

Individuals may instruct Invicro to provide any Personal Information it holds belonging to the individual; provision of such information will be subject to:

- (a) an individual's request not being found to be unfounded or excessive, in which case a charge may apply; and
- (b) the supply of appropriate evidence of an individual's identity (for this purpose, we will usually accept a photocopy of your passport certified by a solicitor or bank plus an original copy of a utility bill showing the individual's current address).

Invicro may withhold Personal Information that an individual requests to the extent permitted by law, or where it might involve another individual's Personal Information.

An individual may instruct Invicro at any time not to process their Personal Information for marketing purposes.

In practice, an individual will usually either expressly agree in advance to Invicro's use of that individual's Personal Information for marketing purposes, or Invicro will provide the individual with an opportunity to opt out of the use of the individual's Personal Information for marketing purposes.

The rights individuals have under data protection law are:

- (a) the right to access;
- (b) the right to rectification;
- (c) the right to erasure;
- (d) the right to restrict processing;
- (e) the right to object to processing;
- (f) the right to data portability;
- (g) the right to complain to a supervisory authority; and
- (h) the right to withdraw consent.

**Right to access your data.** Individuals have the right to ask Invicro to confirm whether or not Invicro processes their Personal Information and to have access to the Personal Information and any additional information. That additional information includes the purposes for which Invicro processes their data, the categories of Personal Information Invicro holds and the recipients of that Personal Information. Individuals may request a copy of their Personal Information. The first copy will be provided free of charge, but Invicro may charge a reasonable fee for additional copies.

**Right to rectification.** If Invicro holds any inaccurate Personal Information, individuals have the right to have these inaccuracies rectified. Where necessary for the purposes of the processing, individuals also have the right to have any of their incomplete Personal Information completed.

**Right to erasure.** In certain circumstances individuals have the right to have Personal Information that Invicro holds about them erased. This will be done without undue delay. These circumstances include the following: it is no longer necessary for Invicro to hold the Personal Information in relation to the purposes for which it was originally collected or otherwise processed; an individual withdraws consent to any processing which requires consent; the processing is for direct marketing purposes; and the Personal Information have been unlawfully processed. However, there are certain general exclusions of the right to erasure, including where processing is necessary: for exercising the right of freedom of expression and information; for compliance with a legal obligation; or for establishing, exercising, or defending legal claims.

**Right to restrict processing.** In certain circumstances individuals have the right to restrict the processing of their Personal Information. This is the case where: individuals do not think that the Personal Information Invicro holds about them is accurate; Personal Information is being processed unlawfully, but the Individual does not want their data to be erased; it is no longer necessary for Invicro to hold the individual's Personal Information for the purposes of processing, but an individual still requires that Personal Information in relation to a legal claim; and an individual has objected to processing, and are waiting for that objection to be verified. Where processing has been restricted for one of these reasons, Invicro may continue to store Personal Information. However, Invicro will only process it for other reasons: with consent; in relation to a legal claim; for the protection of the rights of another natural or legal person; or for reasons of important public interest.

**Right to object to processing.** Individuals can object to Invicro processing their Personal Information on grounds relating to a particular situation, but only as far as our legal basis for the processing that it is necessary for: the performance of a task carried out in the public interest, or in the exercise of any official authority vested in Invicro; or the purposes of our legitimate interests or those of a third party. If an individual makes an objection, Invicro will stop processing their Personal Information unless Invicro is able to demonstrate compelling legitimate grounds for the processing, and that these legitimate grounds override the individual's interests, rights, and freedoms; or the processing is in relation to a legal claim.

**Right to object to direct marketing.** An individual can object to us processing their Personal Information for direct marketing purposes. If an objection is set forth by the individual, Invicro will stop processing their Personal Information for this purpose.

**Right to object for statistical purposes.** An individual can object to Invicro processing their Personal Information for statistical purposes on grounds relating to their particular situation, unless the processing is necessary for performing a task carried out for reasons of public interest.

**Automated data processing.** To the extent that the legal basis Invicro is relying on for processing Personal Information is consent, and where the processing is automated, individuals are entitled to receive their Personal Information from Invicro in a structured, commonly used, and machine-readable format. However, an individual may not have this right if it would adversely affect the rights and freedoms of others.

**Complaints to a supervisory authority.** If an individual thinks that Invicro's processing of their Personal Information infringes data protection laws, they can lodge a complaint with a supervisory authority responsible for data protection. Individuals may do this in the EU member state of their habitual residence, place of work or the place of the alleged infringement.

**Right to withdraw consent.** To the extent that the legal basis Invicro is relying on for processing Personal Information is consent, individuals are entitled to withdraw that consent at any time. Withdrawal will not affect the lawfulness of processing before the withdrawal.

**Exercising your rights.** Individuals may exercise any of their rights in relation to Personal Information by written notice to Invicro in addition to the other methods specified above.

## 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 Information 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>

## 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.

## Children's Online Privacy Protection

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.

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## How to Contact Us

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

Data Protection Officer:

Matt Chernesky, Senior Director, Information Technology

Invicro

60 Temple Street

Suite 8B

New Haven, CT 06510

Email: [dpo@invicro.com](mailto:dpo@invicro.com)

Telephone: 203-508-1520

Fax: 203-789-8037

Roughan Sheedy, Chief Operations Officer

Invicro

119 Fourth Avenue

Needham, MA 02494

Email: [dpo@invicro.com](mailto:dpo@invicro.com)

Telephone: 203-508-1520

## 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.

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