

## Aerie Compliance & Ethics

Successful Business Through Compliant Practices



### AERIE PHARMACEUTICALS, INC. U.S. COMPREHENSIVE COMPLIANCE PROGRAM

#### I. Introduction

Aerie Pharmaceuticals, Inc. (“Aerie”) is committed to maintaining the highest standards of business ethics and conduct. Aerie has established a Comprehensive Compliance Program, the Aerie Compliance & Ethics (“ACE”) program, in an effort to ensure integrity in our activities and compliance with all applicable legal and regulatory requirements.

Aerie’s compliance program has been developed in accordance with principles set forth in the U.S. Department of Health and Human Services *Office of Inspector General (OIG) Compliance Program Guidance for Pharmaceutical Manufacturers* dated May 5, 2003 (the “OIG Compliance Guidance”) and the standards set forth in the *Pharmaceutical Research and Manufacturers of America Code on Interactions with Healthcare Professionals* (the “PhRMA Code”), as well as other relevant industry guidance.

Aerie strives to promote compliance with laws, regulations, and industry guidance which govern interactions with healthcare professionals, healthcare institutions, and patients. We also strive to adhere to requirements relating to our research activities and communications regarding our products. Accordingly, Aerie continually evaluates and updates its CCP to ensure compliance with state and Federal requirements. The foundational components of our program are set forth below in Section II.

#### II. Overview of the Comprehensive Compliance Program

##### a. Governance and Structure

##### i. Governance and Structure

Aerie maintains a governance model that ensures oversight and furtherance of its commitment to compliance. Aerie has established the ACE program and maintains a dedicated Chief Compliance Officer (“CCO”) to manage the program and ensure compliant practices are implemented enterprise wide. Aerie’s CCO has responsibility for developing and implementing applicable policies, procedures, and practices designed to ensure adherence with state and Federal requirements.

##### ii. Compliance Committee

As a component of the ACE program, Aerie has established its Compliance Committee. Aerie’s Compliance Committee consists of members of Aerie Leadership and is chaired by the CCO. Through this committee, Aerie addresses day-to-day and long-term compliance matters related to Aerie products and business activities.

b. Written Standards

Consistent with the OIG Compliance Guidance, Aerie maintains written policies and procedures to address various business activities. Additionally, Aerie requires annual review and certification on the Aerie Pharmaceuticals Global Code of Business Ethics and Conduct (the "Aerie Code"), which outlines our organizational principals and values. The Aerie Code and other written standards are designed to ensure compliance with the provisions of the OIG Compliance Guidance, PhRMA Code, and other relevant requirements.

Aerie continually evaluates its business activities to further develop its policy program to ensure potential risk areas are addressed.

c. Training

Training is a core component of our compliance program. At Aerie we prioritize educating our employees, both field and home office based. Our training program is designed to address the state and Federal laws, regulations, and guidelines which govern our business activities. Our training program incorporates, new hire, refresher and annual training as methods to educate our employees on the current regulatory environment.

d. Auditing and Monitoring

Our compliance program includes an ongoing effort to evaluate our business activities to ensure compliance with company policies and procedures as well state and Federal requirements. Auditing and monitoring are essential tools evaluated and leveraged by Aerie at any given time to ensure compliance. A variety of factors impact the frequency and extent of our auditing and monitoring activities, inclusive of changes in business activities, identification of risks, changes in regulatory requirements or other considerations. We continually evaluate our program and the results of our auditing and/or monitoring activities may be used as the basis for the development or refinement of any of our compliance program components including training or policy development or modification of business activities.

e. Procedures for Reporting Violations

At Aerie we value communication amongst our employees, colleagues, and business partners. We encourage the reporting of potential instances of non-compliance with company policy or law and investigate all reports. Additionally, we maintain a policy of non-retaliation for reports made in good faith. Aerie has developed various methods upon which individuals internal and external to Aerie can report any suspected violations, including an external ethics hotline where anyone can confidentially and anonymously report telephonically at 1-844-545-1395 or online at <https://aeriepharma.ethicspoint.com/>.

f. Investigations

In the event Aerie becomes aware of any suspected violations of law, regulation, policy or procedure, it will investigate the matter to determine whether a violation has occurred. If one is found to have occurred, Aerie will take appropriate steps to correct and further prevent the instance, which may include disciplinary action up to and including termination of employment.

III. Annual Dollar Limit in Gifts or Incentives Provided to Medical or Health Professionals in California

As required by, and in accordance with the definitions set forth in, California SB 1765, Aerie has established an annual dollar limit on gifts, promotional materials, or items or activities that the company may give or otherwise provide to an individual medical or healthcare professional in California. This annual dollar limit is \$2,500 per such individual and may be revised by Aerie from time to time.

Aerie follows a calendar year reporting cycle for purposes of making its annual declarations under California Health and Safety Code Sections 119400 - 119402. The annual declaration is made on or around July 1 each year for covered activities occurring in the preceding calendar year.

IV. Obtaining Copies of the U.S. Comprehensive Compliance Program and the Annual Declaration of Compliance

Copies of this document and the Annual Declaration of Compliance can be obtained by calling our toll-free number, 1-833-ACE-AERI, by emailing [compliance@eriepharma.com](mailto:compliance@eriepharma.com) or from Aerie's corporate website.