# **U** NOVARTIS



# Klaus Moosmayer, Ph.D.

## Chief Ethics, Risk & Compliance Officer since 2018

Member of the Executive Committee

- <u>Biography</u>
- <u>Summary</u>

Klaus Moosmayer joined Novartis in 2018 as Chief Ethics, Risk & Compliance Officer and a member of the Executive Committee. He was previously chief compliance officer at Siemens AG, where he spent 18 years in roles of increasing seniority. He began his career as a lawyer in Germany, specializing in white-collar crime, business law and litigation.

Today, Klaus is transforming ethics, risk and compliance at Novartis in the same way the company is reimagining medicine – by pursuing innovation, using data and digital, and unleashing the creative power of employees to embed ethics into the core of the business.

Doing what's right for patients and society is, and must always be, our priority. It's a journey, and we remain humble in our understanding that this will take time. But we are well on our way.

Klaus led the launch of a new Code of Ethics in 2020, based on crowdsourced feedback from employees and on behavioral science. He introduced new integrated risk and compliance management systems and related digital platforms that help senior management and employees prioritize and manage risks in an increasingly complex regulatory landscape. In this context, embedding a new risk and compliance system for the responsible use of artificial intelligence and new technologies within the company was a focus topic in 2024. And he set up a new process to ensure human rights are further integrated into core business practices, especially external partner risk management.

Klaus brings a global reputation as a leader in the field of ethics and compliance. He was the first head of compliance from a company to be invited to address the General Assembly of the United Nations about the

fight against corruption. He represents business in global integrity, governance, compliance and anticorruption platforms at the Organisation for Economic Co-operation and Development (OECD), G20/B20, World Economic Forum (WEF) and other organizations.

As a believer in collaboration, Klaus co-founded and chaired a nonprofit association of compliance heads from major European companies and is driving collective action efforts to foster joint integrity standards within the pharmaceutical industry and beyond.

Outside of work, Klaus enjoys spending time with his family, practicing sports and driving his vintage car.

#### Nationality: German | Year of birth: 1968

#### **Professional experience**

- Chief compliance officer, Siemens AG, Germany (2014–2018)
- Chief counsel compliance, Siemens AG, Germany (2009–2013)
- Compliance operating officer, Siemens AG, Germany (2007–2009)

#### Mandates

#### Current:

- Board member, SwissHoldings, the Swiss federation representing Swiss-based multinational companies, Switzerland
- Member of the executive board, Business at OECD (BIAC), Paris
- Co-founder and honorary board member, European Chief Compliance and Integrity Officers' Forum

#### Past:

- Co-Chair, B20 Integrity & Compliance Task Force under the G20 presidencies of Indonesia (2022), Italy (2021), Saudi Arabia (2020), Argentina (2018) and Chair of the Taskforce under the G20 presidency of Germany (2017)
- Chair of the Anti-Corruption Committee of the Business and Industry Advisory Committee (BIAC), Organization for Economic Co-operation and Development (OECD), Paris (2013–2020)

## Education

- First and second state examination in law, Germany
- Doctor of jurisprudence, University of Freiburg, Germany

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