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UBS Bank

Nina Roth

Dr Christian Leitz

Robert Ramer

Corporate Responsibility Management

Pelikanstrasse 6/8

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open letter

**München 27 April 2015**

Dear Ms Roth, Dr Leitz and Mr Ramer

Invitation to a Testbiotech conference on patents on life, genetic engineering and animal welfare

First of all, please let me thank you for your willingness to interact with Testbiotech on the issue of animal welfare and patents. We regret you are not able to participate in our conference in Berlin, but we are still hoping that at least some representatives of UBS might take part as audience and maybe take part in the discussions.

As you know, on 17 June 2015, we are holding a conference on “The Patented Ape: New methods in genetic engineering, patents on life and the protection of humans and animals“, in Berlin, Germany. For more details please see the programme attached.

One of our main topics at the conference will be patents on animals used in experimental research. We are concerned that the European Patent Office in Munich has already granted around 1500 patents on animals used in biotechnology. As we have said before, some of these patents even claim chimpanzees:

- EP1409646 held by Altor BioScience, USA, claims chimpanzees with a genetically engineered immune system;
- EP1364025 held by Bionomics, Australia, claims chimpanzees with a manipulated genome making them more likely to suffer from cancer, and EP 1852505 also held by Bionomics, Australia claims chimpanzees genetically engineered to suffer from epilepsy;

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Institut für unabhängige  
Folgenabschätzung in  
der Biotechnologie

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VR 202119  
Als gemeinnützig  
anerkannt

- EP 1456346 and EP 1572862 held by Intrexon, USA, both claim chimpanzees genetically engineered with synthetic DNA originating from insects.

Other companies heavily engaging in filing patents on genetically engineered animals include Novartis, Hofmann La Roche and Pfizer. As you can see from our programme, we will be presenting a report on the investors active in this field, including your own banking institute. Our research has shown that UBS Bank is – beyond those specific patents as mentioned - amongst those financial institutions that have to carry a share of the responsibility in this context. UBS has a particularly close relationship with La Roche, one of the main pharmaceutical companies holding many patents on animals. Not only does UBS own La Roche shares worth nearly 3 billion USD, Ms Beatrice Weder di Mauro is a member of the board of both companies. For further details please see below.

We strongly believe that animals are our fellow creatures and, as such, they should be treated with the respect they deserve. Allowing patents on animals means that incentives are provided to conduct animal experiments for commercial reasons. Nobody should be investing to make a profit from animal suffering. And, more generally, animals should not be treated as if they were technical inventions. For this reason patents on animals, especially those claiming mammals or even great apes, should neither be filed by companies nor granted by patent offices.

Since you are one of the investors in this field we still would very much welcome your participation at the conference. We are convinced that your bank is ready to play a constructive role in this dialog, helping to find constructive answers to the problems as outlined. Since we are very much aware of the rapid innovation and new applications in this field, we feel that it is vital to maintain and uphold high ethical standards in this field of investment. Please give us your point of view and take part in our discussions. We would also very much appreciate your comments on the findings from our research. If possible, please let us know your comments and notification of attendance at the conference till 1 June 2015. We look forward to your response.

With kind regards



Dr. Christoph Then, Executive Director, Testbiotech

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**Annex:**

Overview of affiliations between UBS Bank and some relevant pharmaceutical companies

- **Novartis**

In 2012, UBS Securities, part of UBS, participated in a banking syndicate issuing bonds for Novartis, undersigning USD 180 million (out of a total of USD 2 billion). In February 2014, UBS Securities undersigned USD 160 million worth of bonds issued (out of a total of USD 4 billion).

- **La Roche**

UBS is a key shareholder of La Roche, holding shares worth USD 2,6 billion (1,1%) in 2013 – 2015. In 2012, UBS was part of a two-bank syndicate issuing new bonds for La Roche, with UBS undersigning half of them, worth USD 599,7 million.

Beatrice Weder di Mauro has been a member of the Board of Directors of Roche Holding since 2006. She was elected to the Board of Directors of UBS (Switzerland) in 2012. At UBS she has been a member of the Audit Committee since 2012, and joined the Risk Committee in 2013.

The logo for TEST BIOTECH features the word "TEST" in a large, bold, red sans-serif font, with "BIOTECH" in a smaller, black sans-serif font directly below it. A thin horizontal line is positioned above "TEST" and another below "BIOTECH".

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