



# 2023 ESG Tear Sheet



The following document contains disclosure of relevant environmental, social and governance (ESG) metrics to Rocket Pharmaceuticals' business, as well as those included in the Sustainability Accounting Standards Board (SASB) standards for the Biotechnology and Pharmaceuticals industry. This document covers ESG disclosures for Rocket Pharmaceuticals for the period of January 1 through December 31, 2023, unless otherwise noted.



## About Us

Rocket Pharmaceuticals, Inc. is a multi-platform biotechnology company advancing a sustainable pipeline of investigational genetic therapies designed to correct the root cause of complex and rare disorders. Rocket's innovative multi-platform approach allows us to design the optimal gene therapy for each indication, creating potentially transformative options that enable people living with devastating rare diseases to experience long and full lives.

Rocket's lentiviral (LV) vector-based hematology portfolio consists of late-stage programs for Fanconi Anemia (FA), a difficult-to-treat genetic disease that leads to bone marrow failure (BMF) and potentially cancer, Leukocyte Adhesion Deficiency-I (LAD-I), a severe pediatric genetic disorder that causes recurrent and life-threatening infections which are frequently fatal, and Pyruvate Kinase Deficiency (PKD), a monogenic red blood cell disorder resulting in increased red cell destruction and mild to life-threatening anemia.

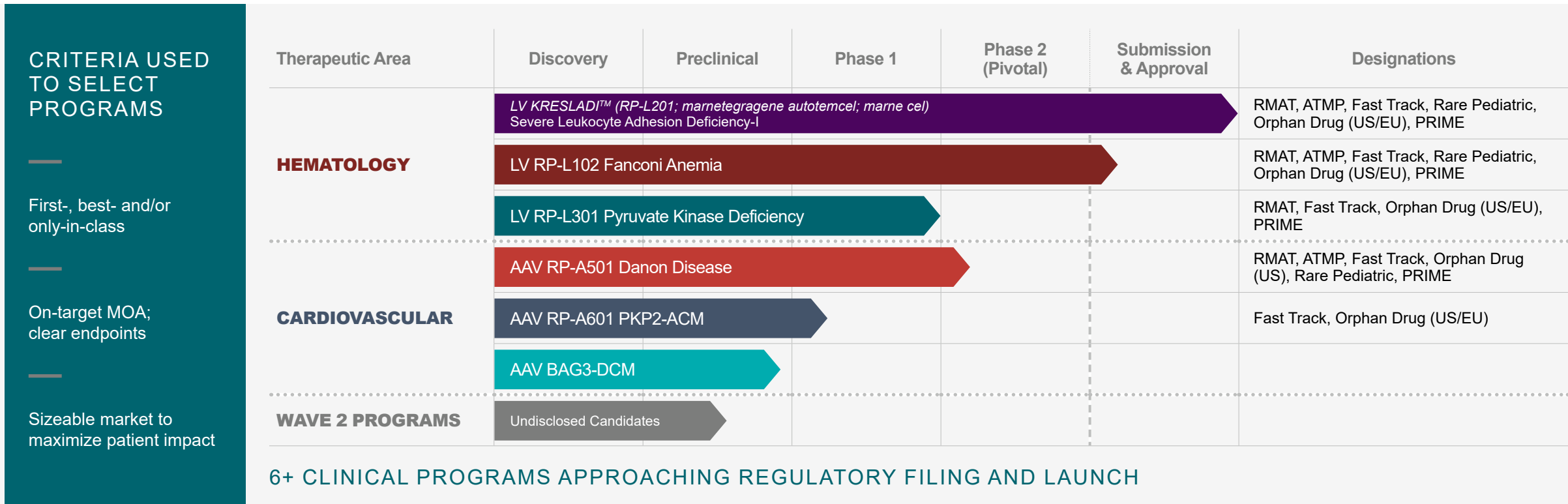
Rocket's adeno-associated viral (AAV) vector-based cardiovascular portfolio includes a late-stage program for Danon Disease, a devastating heart failure condition resulting in thickening of the heart, an early-stage program in clinical trials for PKP2-arrhythmogenic cardiomyopathy (ACM), a life-threatening heart failure disease causing ventricular arrhythmias and sudden cardiac death, and a pre-clinical program targeting BAG3-associated dilated cardiomyopathy (DCM), a heart failure condition that causes enlarged ventricles.

For more information about Rocket, please visit [www.rocketpharma.com](http://www.rocketpharma.com) and follow us on [LinkedIn](#), [YouTube](#), and [X](#).

## Mission, Vision & Values

Rocket's unique set of core values—"Trust," "Curiosity," "Generosity" and "Elevate"—is a true beacon of hope within and outside the company. Trust is the bedrock, the ground upon which everything is built. Generosity and curiosity, derived from the same root words as "gene" and "cure," describe a spirit of giving, aspiring for something greater than oneself, and humility in the search for excellence. Ultimately, the company's associates and partners seek to elevate themselves, one another, and the lives of patients and families around the world through gene therapy.

ACTIVITY METRICS	2023 DISCLOSURE
Number of patients treated SASB: HC-BP-000.A	This metric is currently not applicable as we are a development-stage company.
Number of drugs (1) in portfolio and (2) in research and development (Phases 1-3) SASB: HC-BP-000.B	(1) None are in portfolio. (2) three clinical-stage ex vivo lentiviral vector (“LV”) programs and two clinical stage and one pre-clinical stage in vivo adeno-associated virus (“AAV”) programs 2 are in phase 2; 2 are in phase 1; 2 are preclinical; there are a number of additional undisclosed candidates. Please see disclosure regarding our pipeline development below and in our Form 10-K.
Employees	265+





# People

# People

## Human Capital Management

TOPIC	2023 DISCLOSURE
Employee Engagement, Recruitment and Retention SASB: HC-BP-330a.1	<p>The Rocket team is a creative, compassionate and driven group of experts pushing the boundaries of gene therapy to create potentially curative medicines for rare and devastating diseases. Our team is focused on elevating science, patient care, each other, and humanity. Employee engagement at Rocket encompasses many initiatives designed to foster an engaged, informed, inclusive, and close-knit team, as well as improving understanding of our business, our science, and the values and behaviors that best position Rocket to seek gene therapy cures. A partial list of activities includes:</p> <p><b>Rocket First Connections</b> To support their onboarding and integration, new employees become part of a cohort—named for planets, stars, and constellations—and meet periodically to share their unique experiences and perspectives. We shine a light on these new teammates through our Rocket First Connections program that includes employee spotlights, lunches, and other programming amplified across the company. The goal is to set up new employees for success and build a company that is even more powerfully united in our mission for patients.</p> <p><b>Black History Month</b> Over the month of February in 2022, 2023, and 2024, Rocket highlighted the many contributions to science, technology, engineering, and math (STEM) made by Black women as part of Black History Month, culminating in a celebration bringing together the Rocket team together at our state-of-the-art R&amp;D and manufacturing facility in Cranbury, New Jersey.</p> <p><b>Coming Together as a Team</b> Whether we work on-site, remotely, or in a hybrid model, the Rocket employee community enjoys numerous opportunities to come together throughout the year. These include the Rocket Day of Service, where employees engage in community service, Safety &amp; Wellness Week to promote a culture of safety and well-being, holiday gathering to recognize our achievements, and lunches to welcome new employees. Events are organized by the Social Committee, a group of employees who meet regularly to plan events for the company. In addition, Rocket holds regular Town Halls and all-hands meetings to keep employees informed about the company's progress.</p>

TOPIC	2023 DISCLOSURE
<p>Employee Engagement, Recruitment and Retention  SASB: HC-BP-330a.1 (continued)</p>	<p><b>Family and Science Night</b>  Rocket hosts a Family and Science Night to bring together Rocket employees and their children and families to participate, learn and enjoy family-friendly science projects and experiments.</p> <p><b>Rocket Day of Service</b>  This is a day of service during the month of July whereby employees are offered paid/flexible time-off and are encouraged to perform community service to commemorate the month of Rocket’s founding recognizing the company’s mission of serving humanity by seeking gene therapy cures.</p> <p><b>World Heart Day</b>  Observed on September 29, Rocket participated in World Heart Day to help raise awareness about cardiovascular health. World Heart Day aims to unite individuals and organizations in a global effort to combat heart disease and stroke. This day was established to raise awareness of heart conditions and the measures we can all take to prevent them including awareness and education as well as education about the importance of genetic testing to diagnose genetic heart diseases earlier.</p> <p><b>Recruitment</b>  For Rocket to be able to achieve its mission of seeking gene therapy cures for patients with rare diseases, we need a passionate and engaged workforce. Our ability to identify and recruit those individuals is a critical component. To do this, we leverage our internal networks and a variety of external resources such as career sites, job fairs and industry conferences. We take a creative approach to identify and assess a diverse pool of candidates for all our openings including:</p> <ul style="list-style-type: none"> <li>• Creating and facilitating interview training for hiring managers through our Rocket University training courses to put them in the best position to be able to hire the optimal candidates. This includes sections on unconscious bias and valuing differences to reinforce our commitment to hiring a diverse team.</li> <li>• Including interviewers outside of candidates’ functional area to assess fit with Rocket’s values and behaviors.</li> <li>• Partnering with third-party vendors to ensure a diverse candidate slate for open positions and apply best practices for recruiting.</li> <li>• Continuously reviewing and improving our interviewing practices to make sure we are always looking to bring the optimal talent for Rocket.</li> <li>• Adhering to our equal opportunity employment policy.</li> </ul>

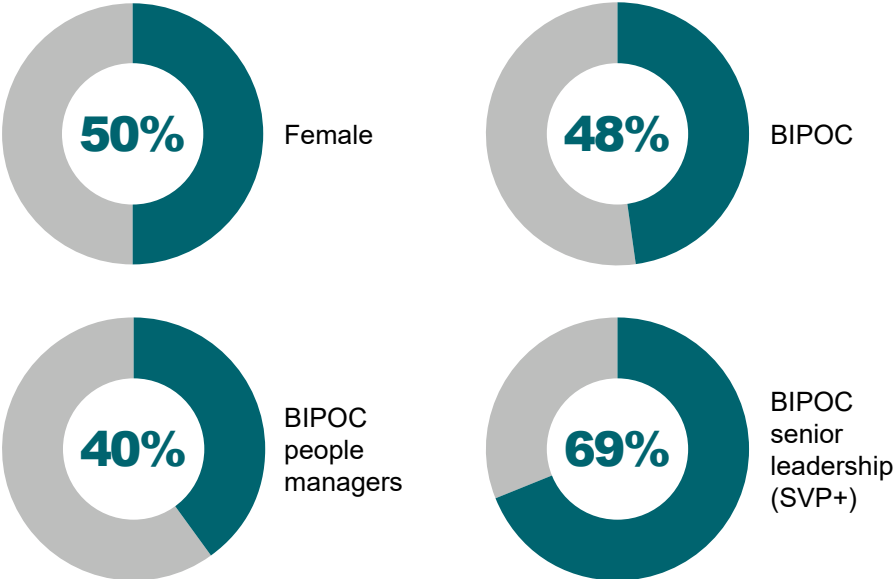
TOPIC	2023 DISCLOSURE
<p>Employee Engagement, Recruitment and Retention  <i>SASB: HC-BP-330a.1 (continued)</i></p>	<p>In addition to hiring top talent, we are deeply committed to retaining and developing employees who are actively making our pursuit of gene therapy cures a reality for patients. We maintain a focus on the retention and development of all employees, promoting a deliberately developmental culture.</p> <p>Other talent development and retention programs Rocket offers include:</p> <ul style="list-style-type: none"> <li>• Equity for employees that include both restricted stock units (RSUs) and stock options.</li> <li>• Tuition reimbursement.</li> <li>• Professional development opportunities are offered to employees so they can leverage external resources to further develop their careers.</li> </ul>
<p>Employee Training and Development</p>	<p><b>Employee Value Proposition</b>  Initiated in 2021, the solicitation of all voices and diverse perspectives at Rocket through a comprehensive series of focus groups resulted in the company's innovative Employee Value Proposition (EVP). The three pillars of the EVP, Opportunity, Well-Being and Connection, are derived from what employees said they wanted from their work and workplace and serve as a framework for ensuring Rocket is meeting the needs of our team.</p>

TOPIC	2023 DISCLOSURE
Employee Training and Development (continued)	<p><b>Training and Development</b> Some examples of our training and development benefits include:</p> <ul style="list-style-type: none"> <li>• After one year, all benefits-eligible employees are eligible for \$10,000 per year tuition reimbursement. <ul style="list-style-type: none"> <li>- All degree levels covered (associates to PhD).</li> <li>- Multiple degrees at the same level covered.</li> <li>- 6% of eligible employees participating, with Rocket reimbursing \$24,930 within the first nine months of the program launch.</li> </ul> </li> <li>• \$3,500 annual professional development stipend for exempt employees available immediately. <ul style="list-style-type: none"> <li>- Program is specifically for Employee-led professional development (business-required training is covered 100%).</li> <li>- 5.5% participation across the company, with \$23,902 contributed towards PD and over 115 hours completed.</li> </ul> </li> <li>• Investment in people success technology platform to support performance management and talent development.</li> <li>• Internal mobility is thought of as career progressions (since there are more ways to move other than a promotion within the same job). <ul style="list-style-type: none"> <li>- We empower employees to drive their career development, supporting them through the development of growth plans.</li> <li>- Encourage cross-functional moves.</li> </ul> </li> </ul>

TOPIC	2023 DISCLOSURE
Employee Training and Development (continued)	<p><b>Rocket University: Our Vision for Learning, Training and Development</b></p> <p>In the spirit of the Rocket value, Elevate, Rocket is dedicated to promoting a culture of innovation and continuous improvement in pursuit of our mission of seeking gene therapy cures for patients with devastating diseases. This includes a commitment to upholding the highest standards of quality, safety, compliance, integrity and ethics. Included also is a commitment to empower our people by partnering with them to strengthen each colleague’s career development.</p> <p>Rocket University is the umbrella under which our company’s learning, training and development programs and resources reside. Rocket University encompasses a diverse collection of offerings, ranging from assigned technical and compliance training, to self-selected learning programs and pathways, to certificate courses and more. Bringing these offerings together under one Rocket University banner is a reminder that they are all grounded in our Rocket value of Elevate, which invites us to reach higher, be our best, and always do the right thing for our patients.</p> <p><b>Gene Therapy Certification Program</b></p> <p>Encouraging the continuous growth and development of our employees is fundamental at Rocket. One of the ways we’ve done this is through our company’s Gene Therapy Development Training program. This program presents an end-to-end view of Rocket, from our science and disease areas, to the many functions and capabilities that put our mission of seeking gene therapy cures into motion.</p> <p>The Gene Therapy Development Training program includes a series of live events and recorded trainings, and is offered periodically during the year to all employees.</p>

TOPIC	2023 DISCLOSURE
<p>Voluntary and involuntary turnover rate for executives and senior managers, mid-level managers, and all other employees SASB: HC-BP-330a.2</p>	<div style="display: flex; align-items: center; justify-content: space-between;"> <div style="text-align: center;"> <p><b>2023 Turnover (Jan - Dec)</b></p> </div> <div style="text-align: center;"> <p><b>TOTAL TURNOVER</b></p> <p><b>18.93%</b></p> <p><b>VOLUNTARY TURNOVER</b></p> <p><b>10.69%</b></p> <p><b>INVOLUNTARY TURNOVER</b></p> <p><b>8.24%</b></p> </div> <div style="text-align: left;"> <p>We have seen a significant reduction in turnover over the past two years. For the first half of 2023 our overall turnover is down over 60% when compared to same period in 2022. We are on track to end the year at or under 20% overall turnover, which would represent a 31% reduction in overall turnover year over year.</p> </div> </div>
<p>Compensation and Benefits</p>	<p><b>Compensation Philosophy</b></p> <ul style="list-style-type: none"> <li>• At Rocket, our compensation philosophy and compensation ranges are built upon data and insights collected from validated world-class providers. We are committed to compensating employees equitably based on several factors, including responsibilities and level of the position, depth and types of the employee's experience, location of the position and availability of similar talent in a competitive market.</li> <li>• Internal equity is considered for every offer, and we proactively adjust to ensure we maintain equity. <ul style="list-style-type: none"> <li>- Total direct cash/compensation package is made up of short- and long-term incentives. LTI plan has targets above industry standards.</li> <li>- 99% of new hires receive equity and over 95% of the total population is eligible for ongoing grants.</li> </ul> </li> </ul> <p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• Competitive benefits package that is reviewed annually and improved as needed based on feedback.</li> <li>• Generous parental leave policy.</li> <li>• Subsidized backup care program for employees' children and dependent adults/elderly family.</li> <li>• Implemented employer-sponsored disability plans in 2022, eligible day one.</li> <li>• Discretionary paid time off, sick time and floating holidays.</li> <li>• Excellent medical, dental and vision benefits.</li> <li>• 401(k) plan for US employees with a 4% match and immediate vesting.</li> </ul>

# Diversity, Equity, and Inclusion

TOPIC	2023 DISCLOSURE	
<p>Diversity, Equity, and Inclusion (DE&amp;I) Program</p>	<p><b>Workforce Demographics</b></p>  <p>The 'Workforce Demographics' section features four donut charts. Each chart has a teal segment representing the percentage and a grey segment representing the remainder. The percentages are: 50% Female, 48% BIPOC, 40% BIPOC people managers, and 69% BIPOC senior leadership (SVP+).</p>	
	<p><b>DE&amp;I Program</b>            Our DE&amp;I efforts have made a significant impact on our organization. We are proud to have a diverse representation of individuals playing key roles in our gene therapy development. Such diversity has encouraged innovative thinking, broadened decision-making and contributed to Rocket's overall success. Our comprehensive strategy, combined with our commitment to professional development, pay equity and inclusive onboarding, has created a workplace culture where all employees feel empowered to innovate and contribute to our mission. These principles have the potential to unlock a vast pool of talent and fundamentally transform the status quo of science.</p> <p><b>Equitable Compensation</b>            We are committed to pay equity. Rocket incorporates gender and racial/ethnic considerations, among other relevant factors, into its pay equity assessments. We also conduct bias analysis on performance and compensation practices. Organization-wide pay equity assessments are conducted twice a year with adjustments made as needed.</p>	

# Employee Health and Safety

TOPIC	2023 DISCLOSURE												
Occupational Health and Safety Management	<p>Safety is a core belief as well as a competency at Rocket. All employees and partners have a responsibility to themselves and each other to proliferate and uphold the company’s exemplary safety culture. It is our duty to behave in a manner that creates and maintains a safe work environment for all and minimizes the impact of our activities on the environment.</p> <p>Rocket EHS provides a variety of health and safety training programs for employees. Our training library is growing exponentially to capture both awareness and proactive safety techniques to prepare our staff for our evolving hazards profile. Each new hire receives EHS Orientation training on day one and, depending on their job description and expected job tasks, we build them a tailored training profile to meet their precise safety training needs. This includes all standard modules such as bloodborne pathogens, hazard communication, evacuation procedures and drilling, lifting techniques and ergonomics, personal protective equipment (PPE), and so on. Then, based on our sophisticated training matrix, individual training profiles can also branch out to include project-based training needs such as safe handling and containment procedures for novel compounds or the biological assays we develop in-house. Rocket EHS is proud to bring this dynamic training program to the enterprise and looks forward to continuing to prepare our workforce with the knowledge, skills, and abilities they need to do their jobs safely as Rocket pushes the boundaries of science and innovation into the future. In addition to regular training, our daily huddle meetings across all onsite operations foster high performing collaboration and teamwork by communicating real time priorities and schedules related to health and safety.</p>												
Health and Safety Metrics <sup>1</sup>	<table border="1"> <caption>Health and Safety Metrics Comparison</caption> <thead> <tr> <th>Year</th> <th>TRCR</th> <th>DART</th> </tr> </thead> <tbody> <tr> <td>2022</td> <td>1.1</td> <td>0.7</td> </tr> <tr> <td>2021</td> <td>2.9</td> <td>1.9</td> </tr> <tr> <td>2020</td> <td>3.0</td> <td>2.2</td> </tr> </tbody> </table> <p><b>NEW JERSEY</b></p> <p><b>ROCKET</b></p>	Year	TRCR	DART	2022	1.1	0.7	2021	2.9	1.9	2020	3.0	2.2
Year	TRCR	DART											
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2021	2.9	1.9											
2020	3.0	2.2											

<sup>1</sup>Due to the nature of Rocket’s technical operations, as well as the novelty of our field, both the industry classification as well as the NAICS code for Rocket reflect a naturally lower level of hazard than that of the general industry. Therefore, there are no industry-standard data to serve as a comparison. The most relevant comparable data are provided by the U.S. Bureau of Labor Statistics (BLS) for the geographic area as well as all sectors and industries therein. These data include OSHA 300-log data: Total Recordable Case Rate (TRCR) and Days Away, Restricted, or Transferred (DART) rate. Note that the BLS have not yet published these state results for 2022 (see N/A above). When they do, Rocket EHS expects our numbers to be excellent by comparison. 2022 is the first year Rocket EHS has been able to collect meaningful data, due to a smaller workforce in 2019 and 2020 and, later, pandemic quarantines in 2020 and 2021, which resulted in fewer Rocket staff on site and thus somewhat artificially attenuated rates. Preliminarily, if we compare past state data with Rocket’s current data, we represent well below the state standard rates and expect the trend to continue once 2022 state data are published.



# Patients and Community

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## Safety of Clinical Trial Participants

TOPIC	2023 DISCLOSURE
<p>Discussion, by world region, of management process for ensuring quality and patient safety during clinical trials  <i>SASB: HC-BP-210a.1</i></p>	<p><b>Clinical Trial Program and Safety</b>            Rocket is committed to conducting clinical trials ethically and aligning with scientific best practices to ensure patient safety and well-being.</p> <p>We are devoted to scientific excellence in biopharmaceutical research and development to advance innovative, high-quality therapies that address the unmet medical needs of patients with rare, undertreated diseases. We conduct research and development with uncompromised ethical integrity consistent with applicable laws, regulations, and practice guidelines, including Good Laboratory Practices and Good Clinical Practices throughout the planning, execution, and reporting phases of our clinical trial. In addition, our operations are aligned with Good Manufacturing Practices guidelines.</p> <p>Consistent with GCP, we require a master Informed Consent Form (ICF) template in our clinical studies which is submitted to an Institutional Review Board for approval before adoption. The ICF template provides information regarding the rights of trial subjects and includes relevant contact information in the event of a concern or complaint. These activities ensure patient safety and well-being.</p> <p><b>Training</b>            All relevant employees are required to be certified in Good Clinical Practices.</p> <p><b>Oversight</b>            Rocket's robust clinical trial safety program covers patients, employees, and drug safety and quality. Quality and safety are overseen by our President &amp; Chief Operating Officer.</p>
<p>Number of FDA Sponsor Inspections related to clinical trial management and pharmacovigilance that resulted in: Voluntary Action Indicated (VAI) and Official Action Indicated (OAI)  <i>SASB: HC-BP-210a.2</i></p>	<p>None.</p>
<p>Total amount of monetary losses as a result of legal proceedings associated with clinical trials in developing countries  <i>SASB: HC-BP-210a.3</i></p>	<p>This metric is currently not applicable as we are not yet a commercially operating company. We are committed to adhering to the applicable laws and regulations in all jurisdictions in which we operate clinical trials and to do so in an ethical manner.</p>

## Access to Medicines

TOPIC	2023 DISCLOSURE
<p>Description of actions and initiatives to promote access to health care products for priority diseases and in priority countries as defined by the Access to Medicine Index  <i>SASB: HC-BP-240a.1</i></p>	<p>This metric is currently not applicable as we are not yet a commercially operating company.</p>
<p>List of products on the WHO List of Prequalified Medicinal Products as part of its Prequalification of Medicines Programme  <i>SASB: HC-BP-240a.2</i></p>	<p>This metric is currently not applicable as we are not yet a commercially operating company.</p>

## Affordability & Pricing

TOPIC	2023 DISCLOSURE
<p>Number of settlements of Abbreviated New Drug Application (ANDA) litigation that involved payments and/or provisions to delay bringing an authorized generic product to market for a defined time period  <i>SASB: HC-BP-240b.1</i></p>	<p>This metric is currently not applicable as we are not yet a commercially operating company.</p>
<p>Percentage change in: (1) average list price and (2) average net price across U.S. product portfolio compared to previous year  <i>SASB: HC-BP-240b.2</i></p>	<p>This metric is currently not applicable as we are not yet a commercially operating company.</p>
<p>Percentage change in: (1) list price and (2) net price of product with largest increase compared to previous year  <i>SASB: HC-BP-240b.3</i></p>	<p>This metric is currently not applicable as we are not yet a commercially operating company.</p>

# Product Safety

TOPIC	2023 DISCLOSURE
<p>List of products listed in the Food and Drug Administration’s (FDA) MedWatch Safety Alerts for Human Medical Products database  <i>SASB: HC-BP-250a.1</i></p>	<p>This metric is currently not applicable as we are not yet a commercially operating company.</p>
<p>Number of fatalities associated with products as reported in the FDA Adverse Event Reporting System  <i>SASB: HC-BP-250a.2</i></p>	<p>This metric is currently not applicable as we are not yet a commercially operating company.</p>
<p>Number of recalls issued, total units recalled  <i>SASB: HC-BP-250a.3</i></p>	<p>None.</p>
<p>Total amount of product accepted for take-back, reuse, or disposal  <i>SASB: HC-BP-250a.4</i></p>	<p>This metric is currently not applicable as we are not yet a commercially operating company.</p>
<p>Number of FDA enforcement actions taken in response to violations of current Good Manufacturing Practices (cGMP), by type  <i>SASB: HC-BP-250a.5</i></p>	<p>None.</p>

## Counterfeit Drugs

TOPIC	2023 DISCLOSURE
<p>Description of methods and technologies used to maintain traceability of products throughout the supply chain and prevent counterfeiting SASB: HC-BP-260a.1</p>	<p>Rocket Pharmaceuticals does not have this data available because we are not yet a commercially operating company. Serialization and traceability will be implemented during our commercial product launch preparedness.</p>
<p>Discussion of process for alerting customers and business partners of potential or known risks associated with counterfeit products SASB: HC-BP-260a.2</p>	<p>Rocket Pharmaceuticals does not have this data available because we are not yet a commercially operating company. These alert processes will be developed during our commercial product launch preparedness.</p>
<p>Number of actions that led to raids, seizure, arrests, and/or filing of charges related to counterfeit products SASB: HC-BP-260a.3</p>	<p>None.</p>

## Supply Chain Management

TOPIC	2023 DISCLOSURE
<p>Percentage of entity's facilities and Tier I suppliers participating in the RX-360 International Pharmaceutical Supply Chain Consortium audit program or equivalent third-party audit programs for integrity of supply chain and ingredients SASB: HC-BP-430a.1</p>	<p>We are currently evaluating the feasibility of reporting this metric. Rocket has a robust supplier risk management program in place to ensure alignment with our standards. This program covers quality and integrity and includes quality audits performed by Rocket employees.</p>

# Community Engagement

TOPIC	2023 DISCLOSURE
Community Engagement	<p>Rocket is committed to being a positive force in all our communities. As a company whose mission is to seek gene therapy cures for patients living with rare diseases, our community engagement efforts are focused on helping to raise awareness and provide support for people living with rare diseases, their families and caregivers.</p> <p><b>Rare Disease Day</b>            Celebrated on the last day of February, Rare Disease Day encompasses a globally coordinated movement with events and activities around the world that shine a light on rare diseases and the challenges facing the more than 300 million people worldwide who live with a rare disease, including challenges related to equity in access to diagnosis and therapies. Each year, Rocket hosts an annual Rare Disease Day event open to patients and families as well as members of the biotech and academic communities. During Rocket’s Rare Disease Day 2023 celebration, more than 200 people joined Rocket’s event at the Make-A-Wish New Jersey Samuel &amp; Josephine Plumeri Wishing Place in Monroe Township, N.J. This is an event core to the mission and values by which Rocket operates.</p> <p><b>Light Up for Rare</b>            Rocket partners with the European Organization for Rare Diseases and the National Organization for Rare Disorders (NORD) in an annual campaign to light up landmarks and buildings around the world in green, blue, pink and purple—the official colors of Rare Disease Day—to raise awareness about rare diseases and remind patients they are not alone. Thanks to outreach from Rocket and other entities in 2023, prominent landmarks including the Empire State Building, Niagara Falls, Manhattan’s Helmsley Building, and the University of Pittsburgh Medical Center were illuminated in observance of Rare Disease Day. Participating landmarks on Rare Disease Day include Niagara Falls, the Empire State Building, the New York Stock Exchange, Toronto’s CN Tower and Philadelphia Airport and the landmarks recognizing this day of observance for the rare disease community are ever growing.</p> <p><b>Disease Awareness and Educational Resources</b>            Rocket promotes rare disease awareness and education throughout the year via its <a href="#">website</a>, which contains educational resources designed for patients and families in Rocket’s disease areas of focus, which include Fanconi Anemia, Leukocyte Adhesion Deficiency-I, Pyruvate Kinase Deficiency, Danon Disease, PKP2 arrhythmogenic cardiomyopathy (ACM), and BAG3-associated dilated cardiomyopathy (DCM).</p>

TOPIC	2023 DISCLOSURE
Community Engagement (continued)	<p><b>World Heart Day</b> At Rocket, we're passionate about making a difference in the lives of patients with rare diseases, including Danon Disease, a rare, genetic disorder characterized in part by the thickening and weakening of the heart muscle. For World Heart Day in September 2023, Rocket showed its support for the Danon community and for others afflicted with a genetic heart disease by leading a "Route for Hearts" Heart Walk in Cranbury, N.J., in addition to highlighting and supporting the work of patient advocacy organizations that focus on rare cardiovascular conditions.</p> <p><b>Sponsorships</b> Rocket fosters meaningful relationships and collaborates closely with patient advocacy organizations and scientific collaborators. At various times, we provide sponsorships to organizations that not only contribute to our overarching corporate social responsibility but also align with our mission to seek gene therapy cures for patients with rare and devastating diseases.</p> <p>In 2023, Rocket expanded the scope of our collaboration with patient advocacy organizations and scientific collaborators by increasing our support for organizations that help patients and families affected by rare and devastating diseases. In addition, Rocket is bolstering our commitment to initiatives aimed at advancing scientific understanding among medical communities.</p>
Philanthropy	<p>Provided a \$10,000 donation in 2023 to Make-A-Wish New Jersey towards its mission of fulfilling wishes to children with critical illnesses. Similarly, Rocket provided a \$10,000 donation to UNICEF's Humanitarian Action for Children to benefit kids impacted by global conflict.</p> <p>Non-profits that focus on rare diseases tend to be smaller and every dollar has an impact. To encourage Rocket's employees to consider giving to these organizations, Rocket matches donations up to \$10,000 per employee.</p>



# Environment

# Environment

## Energy Management<sup>2</sup>

TOPIC	2023	2022	2021
Total Energy Consumed (kWh)	Gas: 99,684 CCF Electric: 6,353,659 kWh	Gas: 112,428 CCF Electric: 5,952,981 kWh	Gas: 112,300 CCF Electric: 5,683,809 kWh
Greenhouse Gas Emissions (MT CO <sub>2</sub> e)	Scope 1: 529 Scope 2: 1,889	Scope 1: 597 Scope 2: 1,770	Scope 1: 597 Scope 2: 1,689
Energy Management Program	<p>Rocket is committed to managing our energy consumption throughout operations and facilities to mitigate our environmental impact. We have various initiatives to foster more sustainable office and lab practices, including equipping lab and manufacturing spaces with energy-efficient appliances, putting power monitoring on incoming switch gears to better monitor electric usage, and installing LED lighting in all fixtures. Rocket also has installed electronic car charging stations in the parking lot of its Cranbury, N.J. facility. Energy efficiency considerations are integrated into procurement, new leases/site criteria and ongoing site management practices.</p>		

## Waste Management

TOPIC	2023 DISCLOSURE
Hazardous Chemical Waste (lbs.)	7,004
Biological Waste (lbs.) <sup>3,4</sup>	19,996
Hazardous Waste and Lab Waste Recycled (lbs.)	665
Hazardous Waste and Lab Waste Management	<p>Rocket’s hazardous waste program ensures compliance with all relevant local, state, and federal regulations, including but not limited to the management of hazardous waste per U.S. Environmental Protection Agency (EPA) and New Jersey Department of Environmental Protection (NJDEP) regulations. All potentially hazardous waste is properly characterized at the time it becomes waste (i.e., when technical/trained staff deem the material no longer useful for the purpose for which it was intended and/or which otherwise is collecting on site for no reason other than storage prior to ultimate disposal). After identification, Rocket EHS’s process ensures proper disposal, including after the waste leaves company facilities for ultimate disposal. Rocket EHS also ensures all affected employees are trained on proper waste handling and emergency procedures, relevant to their responsibilities. Rocket is currently classified as an EPA Small Quantity Generator (SQG), and the company’s hazardous waste program is well prepared for business growth in future years.</p>
Waste Reduction Efforts and Earth Day Event	<p>Rocket puts the environment front and center. Starting in 2021, Rocket has organized an Earth Day event to elevate Rocket’s corporate safety culture and offer the organization a new and unique opportunity to celebrate. We offered our employees the chance to bring in electronic waste (“e-waste”) and spent batteries from home and from their workstations in an effort to promote recycling and to divert these waste items from landfills. Rocket eventually helping collect ~300 lbs. of waste. For Earth Month 2022, the event resulted in diverting over 1,000 lbs. of e-waste and batteries away from landfills, more than tripling the prior year’s collection.</p>



# Governance

# Governance

## MANAGEMENT OF ESG

In 2022, Rocket formalized its first-ever, management-level ESG Steering Committee. This cross-functional working group consists of individuals from investor relations, legal, EHS, facilities, human resources and other functions, allowing us to gather data and insights for focus areas that affect patients, science, employees, communities, and the environment. Organized in environmental, social and governance verticals, these dedicated team members oversee, develop a strategy for, and review reporting and key performance indicators surrounding our ESG practices.

## Business Ethics

TOPIC	2023 DISCLOSURE
Code of Business Conduct and Ethics	<p><b>Business Ethics Program and Code of Conduct and Ethics</b></p> <p>The Rocket <b>Code of Business Conduct and Ethics</b> (the “Code”) applies to all employees, officers and directors of Rocket Pharmaceuticals, Inc. (the “Company” or “Rocket”). Our Code of Business Conduct and Ethics is the foundation of our robust business ethics and compliance program. Rocket expects its independent contractors, consultants and other third parties working with Rocket to comply with all applicable laws and regulations, as well as with the compliance principles set forth in the Code. The Company strives to uphold high legal and ethical principles and standards and has adopted the Code to promote:</p> <ul style="list-style-type: none"><li>• Compliance with applicable governmental laws, rules and regulations;</li><li>• Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest;</li><li>• Full, fair, accurate, timely and understandable disclosure in reports and documents that the Company files with, or submits to, the United States Securities and Exchange Commission (“SEC”), other regulatory agencies and in the Company’s other public communications;</li><li>• The prompt internal reporting of suspected violations of this Code to appropriate persons or through the Compliance and Ethics Helpline;</li><li>• Complete cooperation in the investigation of reported violations and the provision of truthful, complete and accurate information; and</li><li>• Accountability for adherence to this Code.</li></ul> <p>100% of Rocket’s employees complete ethics training on our Code of Conduct and are required to sign their acknowledgment during onboarding. The Company’s ethics program and compliance with the Code are overseen by the Audit Committee of the board.</p>

TOPIC	2023 DISCLOSURE
Code of Business Conduct and Ethics (continued)	<p><b>Anti-Bribery and Corruption</b> Our policies covering anti-bribery and corruption are included in the Code of Business Conduct and Ethics. The policy defines and prohibits bribery and corruption of all kinds and requires employee acknowledgment. Training is also included in onboarding training on the Code.</p> <p><b>Whistleblower Policy</b> Rocket’s Compliance Officer and the Audit Committee of the board have oversight over compliance reports and concerns. The company and board accept anonymous whistleblower reports through our Compliance and Ethics Helpline number at 844-990-0002, online reports, and direct reports to the board.</p> <p><b>Political Contributions</b> Rocket Pharmaceutical made no political contributions or donations in 2023.</p> <p>For further information on these topics, please see our Code of Business Conduct and Ethics available on <a href="http://www.rocketpharma.com">www.rocketpharma.com</a>.</p>
Total amount of monetary losses as a result of legal proceedings associated with corruption and bribery <i>SASB: HC-BP-510a.1</i>	None.
Description of code of ethics governing interactions with healthcare professionals <i>SASB: HC-BP-510a.2</i>	<p>We respect the practice of medicine, and we support the integrity of the physician-patient relationship. Rocket interacts with healthcare professionals, patient advocacy groups, payers, and others in a way that does not have, or appear to have, an improper influence on their decisions. All interactions and communications undertaken on behalf of Rocket with healthcare professionals must be conducted in a manner that is fair and balanced, scientifically rigorous, accurate, not misleading and compliant with applicable medical, legal and regulatory standards. In the event that our research or business requires that we engage the services of a health care professional to serve as an investigator, consultant or speaker, we do so in order to meet a legitimate and appropriate business purpose and only when the terms of the engagement are consistent with applicable legal and Rocket policy requirements. We adhere to applicable industry guidelines and other regulations, only offering meals and hospitality in a manner that is consistent with our Policies and is conducive to educational, clinical or scientific discussions. We collect, report, and disclose payments and other transfers of value made to healthcare professionals where required by law. In the U.S., the FDA regulates prescription drug promotion, including direct-to-consumer advertising.</p>

TOPIC	2023 DISCLOSURE
<p>Total amount of monetary losses as a result of legal proceedings associated with false marketing claims SASB: HC-BP-270a.1</p>	<p>None.</p>
<p>Description of code of ethics governing promotion of off-label use of products SASB: HC-BP-270a.2</p>	<p>This metric is currently not applicable as we are a development-stage company. We have developed a draft healthcare compliance guide that covers this area, and we are preparing for when this topic becomes relevant.</p>

## Data Security and Privacy

TOPIC	2023 DISCLOSURE
<p>Data Security and Privacy</p>	<p>Rocket has an information security program with policies and procedures to align security and data protection decision-making processes. Along with the Company's intellectual property and information, Rocket is committed to protecting the privacy and integrity of personal information (including personal health information) that comes into its possession.</p> <p>We have instituted computer and network policies intended for use by all Rocket employees, directors and, as applicable, contractors and consultants (for purposes of this disclosure, all of the foregoing are referred to as "employees"). We expect our workforce to be accountable, to protect personal data, which we may acquire or maintain during the ordinary course of our business operations, and to process such data responsibly in accordance with company policy and any applicable laws. These mandatory security expectations stipulate proper usage of company-issued technology related to hardware, malware, wireless network, sensitive information and other elements. As a further protective measure, we provide information security training to employees.</p> <p>In addition, the Company utilizes external third-party information security endpoint monitoring, technology and data recovery systems. We carry comprehensive cyber insurance coverage to mitigate potential pitfalls or liability from certain cybersecurity events. We have consolidated information security and cyber resiliency activities under the leadership of the IT team. This team regularly reviews the company's cybersecurity program and risks, processes and procedures. For information on privacy, please see our <a href="#">Privacy Policy</a>.</p>

# Rocket Cautionary Statement Regarding Forward-Looking Statements

Various statements in this release concerning Rocket's future expectations, plans and prospects, including without limitation, Rocket's expectations regarding the safety and effectiveness of product candidates that Rocket is developing to treat Fanconi Anemia (FA), Leukocyte Adhesion Deficiency-I (LAD-I), Pyruvate Kinase Deficiency (PKD), Danon Disease (DD) and other diseases, the expected timing and data readouts of Rocket's ongoing and planned clinical trials, the expected timing and outcome of Rocket's regulatory interactions and planned submissions, Rocket's plans for the advancement of its Danon Disease program, including its planned pivotal trial, and the safety, effectiveness and timing of related pre-clinical studies and clinical trials, may constitute forward-looking statements for the purposes of the safe harbor provisions under the Private Securities Litigation Reform Act of 1995 and other federal securities laws and are subject to substantial risks, uncertainties and assumptions. You should not place reliance on these forward-looking statements, which often include words such as "aim," "anticipate," "believe," "can," "continue," "design," "estimate," "expect," "intend," "may," "plan," "potential," "will give," "seek," "will," "may," "suggest" or similar terms, variations of such terms or the negative of those terms. Although Rocket believes that the expectations reflected in the forward-looking statements are reasonable, Rocket cannot guarantee such outcomes. Actual results may differ materially from those indicated by these forward-looking statements as a result of various important factors, including, without limitation, Rocket's ability to monitor the impact of COVID-19 on its business operations and take steps to ensure the safety of patients, families and employees, the interest from patients and families for participation in each of Rocket's

ongoing trials, patient enrollment, trial timelines and data readouts, our expectations regarding our drug supply for our ongoing and anticipated trials, actions of regulatory agencies, which may affect the initiation, timing and progress of pre-clinical studies and clinical trials of its product candidates, our ability to submit regulatory filings with the U.S. Food and Drug Administration (FDA) and to obtain and maintain FDA or other regulatory authority approval of our product candidates, Rocket's dependence on third parties for development, manufacture, marketing, sales and distribution of product candidates, the outcome of litigation, our competitors' activities, including decisions as to the timing of competing product launches, pricing and discounting, our integration of an acquired business, which involves a number of risks, including the possibility that the integration process could result in the loss of key employees, the disruption of our ongoing business, or inconsistencies in standards, controls, procedures, or policies, our ability to successfully develop and commercialize any technology that we may in-license or products we may acquire and any unexpected expenditures, as well as those risks more fully discussed in the section entitled "Risk Factors" in Rocket's Annual Report on Form 10-K for the year ended December 31, 2022, filed February 28, 2023 with the SEC and subsequent filings with the SEC including our Quarterly Reports on Form 10-Q. Accordingly, you should not place undue reliance on these forward-looking statements. All such statements speak only as of the date made, and Rocket undertakes no obligation to update or revise publicly any forward-looking statements, whether as a result of new information, future events or otherwise.

