



GLAUKOS<sup>®</sup>  
TRANSFORMING VISION

2022

# Sustainability Report

# WE'LL GO FIRST

**Innovation is at the core of everything we do.**

At Glaukos, we push the limits of science and technology to solve unmet needs in chronic eye diseases for the benefit of patients worldwide.

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# OUR REPORT

We are proud to present Glaukos’ fourth annual Sustainability Report covering the 2022 calendar year, January 1, 2022, through December 31, 2022. This report covers all Glaukos operations and does not address the performance or operations of our suppliers, contractors, customers, or other third parties unless otherwise stated.

This report references the Global Reporting Initiative (GRI) and Sustainability Accounting Standards Board (SASB) frameworks. We did not seek external assurance for this report.

Glaukos Internal Audit conducted a review of this report primarily focused on reviewing documentation in support of 2022 metrics, goal attainment, and other numerical measures reported. The Compensation, Nominating, and Governance Committee of our Board of Directors and our management Disclosure Committee review our annual Sustainability Report prior to publication.

To provide feedback or for questions on this report, please contact [sustainability@glaukos.com](mailto:sustainability@glaukos.com).

GRI 2-2; GRI 2-3



# CEO MESSAGE



Our mission at Glaukos is to truly transform vision by pioneering novel, dropless platforms that can meaningfully advance the standard of care and improve outcomes for patients suffering from sight-threatening chronic eye diseases. We have an unwavering commitment to doing things the right way supported by real science, robust clinical evidence, and an unrelenting focus on patients.

Innovation is at the core of everything we do. Our mantra “We’ll Go First” embodies our commitment and determination to take chances, push the limits of science, and disrupt the legacy treatment paradigms in glaucoma, corneal disorders, and retinal diseases through our pursuit of game-changing technologies.

Over the course of 2022, we continued to invest significant time and resources into advancing our key Environmental, Social, and Governance (ESG) initiatives. Continuing to grow and enhance our ESG policies and programs is a key priority for us now and in the future. Our commitment to continuous improvement as responsible corporate citizens is unwavering and we hope that our 2022 Sustainability Report reflects that dedication.

In closing, we believe Glaukos is different. We are change agents. We are pursuing ground-breaking innovation in glaucoma, corneal health, and retinal diseases. Our platforms are disruptive, our ideas are big, and our mission is

ambitious. I believe our foundation has never been stronger and our prospects never as promising. I am confident we have the right people, strategy, infrastructure, pipeline, and balance sheet to execute our plans and deliver on our future aspirations for the benefit of patients, our investors, and all Glaukos stakeholders worldwide.

Thank you for your interest and support of Glaukos.

Sincerely,

A handwritten signature in dark ink that reads "Thomas W. Burns".

Thomas W. Burns  
Chairman and Chief Executive Officer

GRI 2-22





# ESG 2022 HIGHLIGHTS AND ACHIEVEMENTS

## NEW GLOBAL LEAVE POLICY

Expanded Glaukos' global leave policies to provide fully paid disability leave and leave for caretakers.



## \$9.6 MILLION

Value of product donations made by Glaukos in 2022 to benefit underserved patients around the world.

Early completion of Greenhouse Gas emission inventory

## ZERO Product Recalls



Launched **Glaukos Patient Services (GPS)** to improve keratoconus patients' access to care by helping them smoothly navigate their treatment journey.



## 100 PERCENT

of Glaukos users completed cybersecurity training for the second consecutive year.

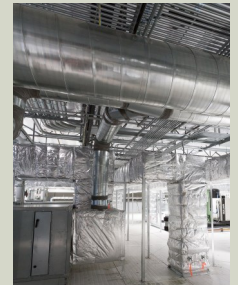
## DARE TO BE MORE

Introduced the **DARE Awards** to recognize employees whose actions, behaviors, and achievements exemplify the Company's core values of *Dream, Lead, and Care*.



## COMPLETED NEW DRUG MANUFACTURING FACILITY

Dramatically expanded Glaukos' drug manufacturing capabilities in preparation for the launch of *iDose TR*®, a revolutionary product designed to continuously deliver glaucoma medications from within the eye for extended periods of time.



# GLAUKOS



Our mission at Glaukos is to truly transform vision by pioneering novel, dropless platforms that can meaningfully advance the standard of care and improve outcomes for patients suffering from sight-threatening chronic eye diseases.

GRI 2-1; GRI 2-6

## KEY FACTS

**17** Countries with direct sales operations

**782** Full-time employees worldwide

**GKOS** Ticker symbol for our common shares traded on the New York Stock Exchange

**\$283M** 2022 net sales worldwide

## MANUFACTURING

Our manufacturing operations for the *iStent*® trabecular micro-bypass products are in San Clemente. We manufacture our proprietary corneal systems in Burlington, with pharmaceutical therapies primarily manufactured and supplied by third parties in the United States and Germany.



Our headquarters (pictured here) are located in Aliso Viejo, California, with additional locations in San Clemente, California, and Burlington, Massachusetts as well as various regional office spaces internationally.

# PATIENT FOCUS

GRI 2-6

We are focused on addressing unmet clinical needs of large and underserved patient populations suffering from glaucoma, corneal disorders, and retinal diseases.

## Glaucoma

Glaucoma is a group of eye diseases characterized by progressive and irreversible vision loss in which elevated levels of intraocular pressure (IOP) are often associated with optic nerve damage that can cause blindness.

Elevated IOP, or ocular hypertension (OHT), occurs when aqueous humor is not circulating normally or properly draining from the front part of the eye, called the anterior chamber. People with OHT are at increased risk for developing glaucoma. Primary open-angle glaucoma is the most common form of the disease. It is a lifelong condition that accounts for at least 90% of all glaucoma cases, according to the [Glaucoma Research Foundation](#).

There is no cure for glaucoma and controlling IOP is the only known treatment. In fact, landmark clinical studies have confirmed that low IOP is associated with reduced progression of optic nerve damage and visual field defect.

Prescription eye drops can be effective at managing IOP but rates of patient non-compliance with these topical medications are high due to chronic side effects, instillation difficulties, cost, non-adherence to complex dosing regimens, and other issues. Because there are often no early symptoms, many people with glaucoma don't know they have the



*According to the CDC, anyone can get glaucoma, but certain groups are at higher risk, including African Americans over age 40, all people over age 60, people with a family history of glaucoma, and people who have diabetes.*

disease. For this reason, glaucoma is often called the "silent thief of sight".

[According to the Centers for Disease Control and Prevention \(CDC\)](#), about three million people in the United States have glaucoma, and it is the second leading cause of blindness worldwide.

## Corneal Disorders

The cornea, the eye's outermost layer, is a clear, dome-shaped surface that functions best as a lens when it is strong and shaped properly. The cornea is responsible for the majority of the eye's total focusing power, and corneal disorders, including

ectasia, refractive vision errors, and dry eye, among others, can cause vision impairment.

Corneal ectatic disorders are a class of diseases characterized by an ectatic, or misshaped, cornea. This is typically caused by a weakening of the cornea due to genetic causes, adverse side effects from ophthalmic refractive procedures such as LASIK, excessive eye rubbing, or other factors. Keratoconus is a type of corneal ectasia characterized by corneal thinning and bulging. Keratoconus is a serious, sight-threatening disease and the leading cause of full-thickness corneal transplants in the United States. Sadly, as disease onset is often in teenage years, keratoconus patients may require multiple transplants over their lifetime.

Keratoconus remains vastly undertreated due primarily to underdiagnosis and the historical lack of an effective solution.



*Without effective treatment, one in five progressive keratoconus patients may require a corneal transplant, according to [research](#).*

# PATIENT FOCUS

## Retinal Diseases

Retinal diseases vary widely but universally affect the retina, a thin layer of tissue inside the back wall of the eye containing light-sensitive cells that convert light into neural signals. Most retinal diseases cause visual impairment, including blurred or distorted vision and vision loss.

Age-related macular degeneration (AMD) is a progressive disease that occurs when the macula, the central portion of the retina, is impaired, which can result in severe vision problems.



*[According to Johns Hopkins Medicine](#), risk factors for AMD include being 50 and older, smoking, having high blood pressure, and eating a diet high in saturated fat.*

Diabetic macular edema (DME) is highly prevalent among individuals with type 2 diabetes and is associated with diabetic retinopathy (DR), the impairment of small blood vessels in the retina

caused by increased glucose levels. Advanced DR can lead to fluid leaking into the macula, which causes DME and severe vision impairment.

Retinal vein occlusion (RVO) occurs when the flow of blood from the retina is blocked, often due to a blood clot blocking the retinal vein, which can result in severe vision problems.



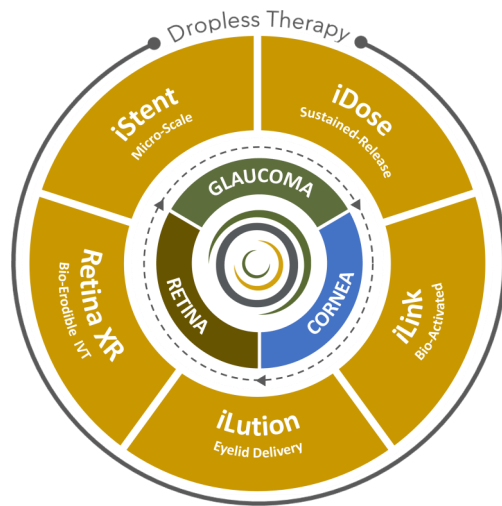
# NOVEL PLATFORMS

GRI 2-6

We continue to successfully invest in and advance our robust pipeline of novel, promising platform technologies that we believe can provide significant new treatment options for patients while expanding our addressable markets and fundamentally transforming our Company over time. Our platforms embody ambitious, big ideas that challenge the conventional thinking and strive to

overcome the shortcomings of traditional treatment paradigms. We believe they have the ability to generate a robust cadence of new products over the coming years that can generate layers of future growth. We currently have 14 publicly disclosed pipeline programs, which represents a significant increase vs. our disclosed pipeline program count (four) in 2015, when we became a publicly traded company.

## FIVE DISTINCT PLATFORMS



Through our platforms, we are working to disrupt conventional topical eye drop therapies with dropless alternatives that will offer important benefits to patients and physicians. Our five key technology platforms are designed to generate a cascade of therapies over the next decade to address significant unmet clinical needs.

## iStent Platform

Through our foundational *iStent* micro-surgical platform, we are pioneering a new treatment for glaucoma – Micro-Invasive Glaucoma Surgery (MIGS). This platform includes an array of devices designed to reduce IOP by restoring the natural aqueous humor outflow pathways for patients suffering from glaucoma.

We believe our *iStent* portfolio is the industry's most comprehensive offering of minimally invasive, tissue-sparing glaucoma solutions. It is designed to provide a full range of options to fit surgeons' individual treatment algorithms for every stage of disease progression, from OHT through refractory disease, and in both combo-cataract and standalone procedures. Our *iStent* family of technologies is supported by more than 20 years of clinical and commercial experience, over 250 peer-reviewed publications, and more than one million *iStent*



## GLAUCOMA PATIENT FEEDBACK



*"Since being treated [with iStent inject W], I have been able to eliminate drops in my right eye. I've also been able to continue playing basketball, tennis, and golf without issue. One of my greatest concerns was that my glaucoma could impact my eyesight to the point that I could not participate in my favorite hobbies, but I'm glad this is not the case."*

*—Bill W., 66, Retired CEO of several companies specializing in cardiovascular and ophthalmic medical devices, New Jersey*

devices implanted worldwide since inception. We have four commercialized products that treat the most common form of glaucoma (called open-angle glaucoma) – the *iStent*, *iStent inject*®, *iStent inject*® W, and the *iStent infinite*®. Our *iStents* remain the smallest devices approved by the U.S. Food and Drug Administration (FDA). Learn more about the *iStent inject W* [here](#) and the *iStent infinite* [here](#).

# NOVEL PLATFORMS

## iDose Platform

Our *iDose* sustained-release pharmaceutical platform features injectable implants designed to deliver therapeutic levels of glaucoma medication from within the eye for extended periods of time.

*iDose TR* is intended to address ubiquitous patient non-compliance and chronic side effects associated with topical glaucoma medications.

The *iDose TR*, our first investigational candidate associated with this platform, is a micro-invasive intraocular implant designed to continuously deliver therapeutic levels of a proprietary formulation of travoprost from within the eye for extended periods of time. In September 2022, we announced positive topline data for both Phase 3 pivotal trials of *iDose TR* that successfully achieved its pre-specified primary efficacy endpoints through three months in both Phase 3 trials and demonstrated a favorable tolerability and safety profile through 12 months.

Based on these results, we submitted a New Drug Application (NDA) to the U.S. FDA for *iDose TR* in February 2023, and are targeting an FDA approval decision by the end of 2023.

Given our development success to date with *iDose TR*, we continue to invest resources to expand our pharmaceutical development capabilities and develop future *iDose* solutions. These pre-clinical

programs include *iDose TREX*®, a next-generation extended-release implant, which is similar in size and form factor to the original *iDose TR* and designed to provide nearly twice the drug capacity to extend efficacy durations. We are also evaluating additional drug classes such as rho kinase (ROCK) inhibitors where we have seen encouraging rabbit model data and are establishing prototype implants for lead candidates.

## iLink Platform

Our *iLink*® bio-activated pharmaceutical platform consists of novel single-use drug formulations and proprietary systems that deliver ultraviolet light to the cornea. The drug/light combination induces a biochemical reaction called corneal cross-linking (CXL), designed to strengthen, stabilize, and reshape the cornea. Our first-generation *iLink* therapy, known as *iLink Epi-off*, uses a novel drug formulation called *Photrex*® for the treatment of

## iLINK CORNEAL CROSS-LINKING

*iLink* is the first and only FDA-approved CXL procedure that slows or halts the progression of keratoconus and helps preserve vision.



keratoconus. This therapy is supported by over 200 peer-reviewed publications and has shown excellent long-term efficacy and safety outcomes with extensive clinical evidence and long-term (10-year) follow-up. We are also advancing our next-generation *iLink* therapy, known as *Epi-on*, which is designed to reduce procedure times, improve patient comfort, and shorten recovery time.

## KERATOCONUS PATIENT FEEDBACK

*"I got the [iLink] procedure done about a year ago and it has given me so much peace knowing that I don't have to worry about that part of my health anymore. I know that I just need to keep up with my appointments and that my disease isn't progressing. And, it gives me so much relief knowing that I have some control over that part of my life thanks to cross-linking."*

—Diana Q., 26, Stay-at-home mom, North Carolina



# NOVEL PLATFORMS

We anticipate that *iLink Epi-on*, if approved, will be the first U.S. FDA-approved, non-invasive CXL therapy that does not require removal of the epithelium, the outermost layer of the eye. We commenced subject enrollment in a second Phase 3 confirmatory pivotal trial for *Epi-on* in early 2023 and are targeting enrollment completion by the end of 2023.

## iLution Platform

Our *iLution* transdermal pharmaceutical platform consists of patented, cream-based drug formulations that are applied to the outer surface of the eyelid, allowing the drug to be delivered through the dermis to the eye.

We believe *iLution*'s differentiated delivery approach may offer significant advantages over traditional topical drops, including the potential for easier administration, faster onset of action, and fewer side effects, all of which can contribute to better compliance and improved patient outcomes.

We have four *iLution* programs in various stages of clinical and pre-clinical development, including:

- **GLK-301** is a sterile ophthalmic topical cream to be applied to the eyelids for the treatment of signs and symptoms of dry eye disease.
- **GLK-302** is a sterile ophthalmic topical cream to be applied to the eyelid for the treatment of presbyopia.
- **GLK-311** is our pre-clinical program investigating pharmaceutical compounds that are designed for the treatment of anterior segment diseases, such as glaucoma.
- ***iLution* Blepharitis** is our pre-clinical program investigating pharmaceutical compounds that are designed to target the eradication of Demodex mites, which are the root cause of Demodex blepharitis and are often associated with meibomian gland dysfunction and related ophthalmic diseases.

## Retina XR Platform

Our bio-erodible, sustained-release pharmaceutical platform, known as *Retina*

*XR*, includes multiple micro-invasive, bio-erodible drug delivery programs designed to treat AMD, DME, and other retinal diseases.

Our two primary sustained-release development projects in our *Retina XR* platform include:

- **GLK-401** is a bio-erodible sustained release implant targeting AMD, DME, and RVO.
- **GLK-411** is a bio-erodible sustained release implant targeting DME.

The goal of these pre-clinical programs is to provide retinal specialists and their patients with novel sustained pharmaceutical treatment options that offer a meaningfully longer duration-of-effect than the current standard of care, which is dominated by short-lasting biological injections that often impose tremendous treatment burdens on patients due to the high frequency of required treatments.

More information about our novel platforms is available in our [Quarterly Summary](#).

# SUSTAINABILITY



We continuously review our sustainability and ESG program and policies throughout the year. In 2022, we focused on peer benchmarking, gap analysis, engaging with stakeholders, capitalizing on opportunities, and increasing our disclosure.

Additionally, every board member as well as certain members of senior management received sustainability and ESG updates through our corporate membership with the National Association of Corporate Directors.

GRI 2-9; GRI 2-13

## Sustainability Governance

We are diligent in ensuring proper oversight of our sustainability program. Our Board of Directors oversees the adoption and implementation of our ESG initiatives. The Board's Compensation, Nominating, and Governance Committee updated its Committee

Charter on December 17, 2020, to formalize its responsibility for oversight of ESG matters. The Committee receives quarterly updates on ESG progress and reports the information to the full Board. Please visit the [Compensation, Nominating, and Governance Committee Charter](#) and our Proxy Statement for more information.

*"The Committee shall periodically review the Company's environmental and social responsibility policies and practices, as well as the Company's public reporting on these topics...includ[ing] periodic review of the Company's human capital management policies, program and initiatives consisting of, among other things, the Company's demographics, talent development, employee retention and employee compensation...[as well as] the Company's employee diversity and inclusion recruitment, retention and compensation efforts, and shall assist management with implementation of its diversity strategy."*

Section 19 of the Compensation, Nominating and Governance Committee Charter



## OVERSIGHT

Board of Directors  
Compensation, Nominating, and Governance Committee

## MANAGEMENT

General Counsel and SVP, Human Resources  
(In collaboration with members of Glaukos' senior leadership team, including the CEO, CFO, and COO)

## PROGRAM IMPLEMENTATION

Sustainability Council

Cross-functional team of subject matter experts, chaired by  
General Counsel and SVP, Human Resources

Legal	Human Resources	Finance	Quality	Compliance
Operations	Supply Chain	IT	Investor Relations	EHS

Recommends ESG strategies and goals to senior management  
Implements ESG programs and policies at senior management's direction  
Owns ESG disclosure, sustainability risk assessment, goal-setting, and impact analysis



# PROGRAM DESIGN

GRI 2-9; GRI 2-13; GRI 2-14; GRI 2-29; GRI 3-1; GRI 3-2

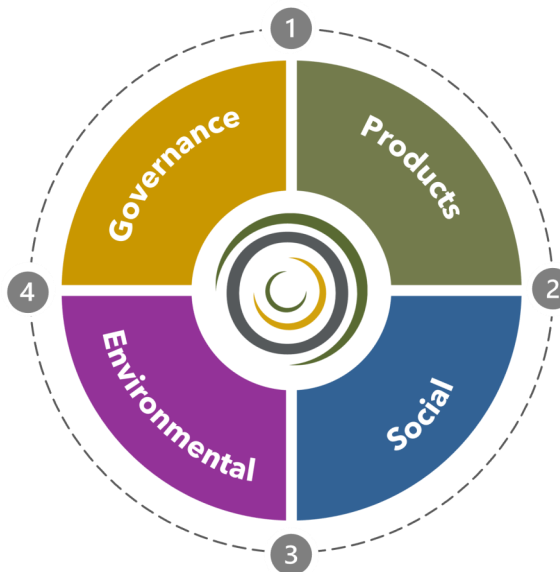
## Sustainability Council

In addition to Board-level ESG oversight, we formed the Glaukos Sustainability Council in late 2020, a task force of cross-functional subject matter experts, to lead the formulation and

implementation of ESG policies and programs under management's direction. The Sustainability Council's first undertaking was to research and evaluate the various ESG topics to prioritize Glaukos' ESG goal-setting process and disclosure framework.

## TOPIC PRIORITIZATION PROCESS

- 1 **Identified 39 total topics**  
Reviewed 20 varied sources to identify universe of potential topics
- 2 **Refined to 23 topics**  
Conducted enterprise risk assessment to continue refining topic list; used 23 of these topics as subjects of stakeholder surveys and other analysis
- 3 **Evaluated internal sources**  
Reviewed multiple internal sources (management and employee surveys, strategic plan, foundation-related strategy document, etc.) and continued to narrow list to focus on topics with greatest potential impact on Glaukos' business success
- 4 **Evaluated external sources**  
Analyzed customer perspective research, investor engagement feedback, analyst prioritization, and peer topic benchmarking to identify the top Tier 1 material topics



## 23 TOPICS SURVEYED AND ANALYZED

### Governance

- Climate Strategy
- Cybersecurity and Data Privacy
- Ethics and Compliance
- Executive Compensation
- Geopolitical Disruption
- Political Participation and Advocacy
- Protection of Intellectual Property
- Responsible Procurement Practices
- Risk Oversight
- Transparent Communications and Reporting

### Products

- Access, Affordability, and Pricing
- Product Innovation
- Product Quality and Patient Safety
- Transition from Research to Practice

### Social

- Diversity and Inclusion
- Human Rights
- Philanthropy and Volunteerism
- Talent Attraction, Development, Engagement, and Retention
- Workforce Health and Safety

### Environmental

- Energy and Emissions
- Sustainable Product Design and Packaging
- Waste
- Water

# PROGRAM DESIGN

## Prioritization

In early 2021, we identified “Tier 1” topics, which we consider the most important to stakeholders. These topics, which have the highest potential impact on Glaukos’ business success, are the focus of our ESG management, goal setting, and reporting.

While we consider each topic to be important to our success, it is imperative that we allocate resources to those topics that will have the most impact on Glaukos’ business and that are viewed as the most critical by our stakeholders. Although

none of our Tier 1 topics fall into the Environmental category<sup>1</sup>, we will continue to report on environmental matters. It is important that we maintain public accountability for our energy and water use, waste creation and disposal, and climate impact and strategy.

## Evaluation and Goal Setting

After identifying our Tier 1 topics, we assigned responsibility for each topic to the most relevant member of the Sustainability Council, based on



<sup>1</sup> We believe that no Environmental topics fell into Tier 1 for a few key reasons: a) our environmental footprint is, and always has been, minimal; b) we do not create significant levels of waste, including hazardous waste; c) because environmental conscientiousness has been considered from our inception, and many of our stakeholders see room for more substantial improvements in other ESG areas.

## SUSTAINABILITY COUNCIL



*In June, CEO Tom Burns hosted a lunch for Sustainability Council members to recognize their work to advance the Company's ESG goals.*

their role and responsibilities. For example, our Senior Vice President, Human Resources, is the topic owner of Diversity and Inclusion. The topic owners assume responsibility for reviewing our management approach for each Tier 1 topic and identifying improvement opportunities. At the end of each calendar year we hold Sustainability Council meetings to propose, discuss, and set new goals. Topic owners review the SMART (Specific, Measurable, Achievable, Relevant, and Time-bound) goal criteria to prepare for our annual goal-setting workshop. During the workshop, we create draft goals for each topic area.

Once the Council agrees on the updated goals, the Sustainability Committee co-chairs present the draft goals to senior management for final approval.

# PROGRAM DESIGN

We continue our regular Sustainability Council meetings throughout the year to support and review progress toward our goals. Our goals include annual and time-bound goals. The goals for each Tier 1 topic are set forth here. We report annually on our progress toward these goals. The goals may be adjusted or expanded as we continue to refine our ESG program. This report reviews Glaukos' Tier 1 ESG topics, how we manage them, and the steps Glaukos plans to take to demonstrate continuous improvement. The topics have been grouped by category – Governance, Products, Social, and Environmental.

TOPIC	GOALS/KEY PERFORMANCE INDICATORS (KPI) SET IN 2023 <sup>1</sup>
GOVERNANCE	
<b>Ethics and Compliance</b>	Completion of anti-bribery/anti-corruption training by 100% of new or renewing distributors Annual certification of Code of Conduct by 100% of employees
<b>Responsible Procurement Practices</b>	In 2023, reduce percentage of Glaucoma medical device product transported via air by developing 2 <sup>nd</sup> site distribution center (2021 as baseline) In 2023, convert Corneal Health <i>Photrexa</i> cross-linking kits' packaging and shipment materials to biodegradable materials, reducing waste and implementing cost savings
<b>Cybersecurity and Data Privacy</b>	By 2025, formally track alignment of the information security program to relevant components of the NIST security framework based upon risk to Glaukos and industry best practices
PRODUCTS	
<b>Product Quality and Patient Safety</b>	Zero product recalls 100% of employees complete Quality Compliance and Patient Safety training
<b>Product Innovation</b>	FDA submissions of pipeline technologies that would allow us to meet our publicly stated targets for FDA approvals Advancement of key clinical programs
<b>Access, Affordability, and Pricing</b>	Increase number of patients who receive assistance from one of Glaukos' assistance programs
SOCIAL	
<b>Talent Attraction, Development, Engagement, and Retention</b>	Based on this year's Great Place to Work engagement survey results, identify areas of opportunity; communicate and measure progress against improvement areas in the following year Expand leadership and employee development for targeted employee groups with the addition of at least three new programs; report employee hours of training globally and learning outcomes for applicable programs by 2024
<b>Diversity and Inclusion</b>	As led by our DEI Forum, identify and implement at least two company-wide initiatives and success measures that will expand Glaukos' approach to diversity, equity and inclusion by 2024
<b>Workforce Health and Safety</b>	Conduct an annual Health and Safety risk assessment and implement at least one new initiative annually to mitigate the top risk identified
ENVIRONMENTAL	
	Expand ISO 14001 Certification to Burlington site by 2024 Create Greenhouse Gas (GHG) inventory for Scope 1 and 2 GHG emissions data by 2023

<sup>1</sup> Where no year is mentioned, the goal is an annual goal to be pursued ad infinitum.

## GOVERNANCE



Glaukos is committed to responsible management of our business. Proper governance ensures that we are operating in a manner to ensure long-term business success.



● Completed    ◐ On Track    ◑ Partially Completed  
New 2023 goals in bold

	GOALS SET IN 2022	YE 2022 STATUS	GOALS SET IN 2023
ETHICS AND COMPLIANCE	Completion of anti-bribery/anti-corruption training by 100% of new or renewing third-party distributors	●	Completion of anti-bribery/anti-corruption training by 100% of new or renewing distributors
	Annual certification of Code of Conduct by 100% of employees	●	Annual certification of Code of Conduct by 100% of employees
RESPONSIBLE PROCUREMENT PRACTICES	In 2023, reduce percentage of Glaucoma medical device product transported via air by developing 2 <sup>nd</sup> site distribution center (2021 as baseline)	◐	In 2023, reduce percentage of Glaucoma medical device product transported via air by developing 2 <sup>nd</sup> site distribution center (2021 as baseline)
	In 2022, incorporate standards into 100% of new and renewing supplier agreements	◑	<b>In 2023, convert Corneal Health Photrex cross-linking kits' packaging and shipment materials to biodegradable materials, reducing waste and implementing cost savings</b>
CYBERSECURITY AND DATA PRIVACY	By 2025, formally track alignment of the information security program to relevant components of the NIST security framework based upon the risk to Glaukos and industry best practices	◐	By 2025, formally track alignment of the information security program to relevant components of the NIST security framework based upon risk to Glaukos and industry best practices



# ETHICS AND COMPLIANCE

*Ensuring training and policies are in place to promote ethical behavior, including compliance with all relevant laws and regulations.*

GRI 2-15; GRI 2-23; GRI 2-25; GRI 2-26; GRI 3-3; SASB HC-MS-270a.2; SASB HC-BP-270a.2; SASB HC-BP-510a.2; SASB HC-MS-510a.2

Glaukos seeks to foster a workplace culture that values integrity and ethical conduct to ensure that we are respected and trusted by our customers, peers, current and prospective employees, and investors. By conducting ourselves in a compliant and ethical manner, Glaukos can increase the trust and goodwill of our stakeholders, create a working environment in which employees are engaged and proud to work for us, avoid the cost and time required to address problems arising from non-compliance, and ensure that our team can remain focused on creating transformational products.

## Management Approach

Acting in an ethical and compliant manner, both with respect to internal policies and external laws and regulations, is an integral part of every decision we make. Glaukos policies are intended to help our employees understand the importance of acting ethically to uphold our reputation of respect, trust, confidence, and integrity. Our policies communicate that a culture of integrity is an asset and non-compliance with our [Code of Business Conduct and Ethics](#) poses a significant financial and reputational risk. We implemented the Glaukos Compliance and Ethics Program to help us comply with state, federal, and international regulations and to provide guidance on interactions with healthcare professionals and governmental entities. The Program also helps us manage compliance-related risks. The Company's Chief Compliance Officer

leads the Compliance and Ethics Program and reports to the Audit Committee of our Board of Directors quarterly. The Chief Compliance Officer also chairs the Glaukos Compliance Committee, comprised of senior representatives from Legal, Commercial, Operations, Finance, Human Resources, and Internal Audit. The Compliance Committee advises and assists with the implementation of the Compliance and Ethics Program.

As part of the Compliance and Ethics Program, Glaukos adopted policies and procedures which serve as written standards of conduct for our employees. These policies include, among others, our Code of Business Conduct and Ethics, our Code of Ethics on Interactions with U.S. Health Care Professionals, our U.S. Foreign Corrupt Practices Act (FCPA)/Anti Bribery Policy, our State and Local Compliance Registration and Reporting Policy, our International Transparency Reporting Requirements Policy, and our [Insider Trading and Tipping Policy](#). Our Anti-Bribery Policy defines corruption and prohibits the making of bribes or facilitation payments.

These policies and procedures are reviewed and updated regularly. The Compliance and Ethics Program also defines our efforts to monitor and evaluate compliance with our Code of Business Conduct and Ethics and supporting policies and procedures, including efforts to monitor the activities of our sales force, marketing teams, and all other personnel who interact with healthcare

professionals. The nature of our reviews and the extent and frequency of our compliance monitoring vary according to factors such as new or amended legal and regulatory requirements, changes in business practices, and other risk considerations. We also monitor all reports of noncompliance made to our employee hotline. Please visit the Reporting Hotline section for more information.

## EMPLOYEE FEEDBACK

*"The vision and ethics held by leadership and the executive team is inspiring and makes this company the best place to work."*

*"Culture and ethics start from the top and this is one of the best companies I've worked for."*

*—Participants in Glaukos' 2022 Great Place to Work employee survey*



# ETHICS AND COMPLIANCE

As part of the Compliance and Ethics Program, we have disciplinary action guidelines to follow when an employee violates internal policy or external regulation. We assess violations to determine if they resulted from gaps in our policies, practices, or internal controls and make internal adjustments to prevent future violations. Our disciplinary guidelines are intended to help us maintain a consistent approach to disciplinary actions, which can be as severe as termination.

**Anti-bribery and Corruption training was completed by 100% of applicable employees and all new and renewing third-party distributors in 2022.**

In late 2020, we performed a gap assessment to identify areas to enhance and develop our Compliance Program. We incorporated the identified areas into our 2022 Compliance Plan, designed to further mature and enhance the integrity and compliance of our Company.

As part of our Compliance Plan, in 2022 we implemented several new policies, procedures, and guidelines, added distributor contract Compliance and Quality pre-approval controls, implemented a new transparency reporting and physician engagement system, automated

sanction and debarment screenings for physician consultants, and revised our Code of Business Conduct and Ethics certification.

## Training

Glaukos conducts in-person and online training on our policies and procedures, including ethical interactions with healthcare professionals, promotional communications, reporting violations, transparency reporting, and anti-corruption. We update our training programs based on monitoring and investigation findings, emerging risks, and new legal and regulatory requirements. This training includes Company personnel and certain third-party business partners, such as distributors and logistics providers.

## Healthcare Professional Interactions

At Glaukos, we recognize that interacting with healthcare professionals is essential to develop innovative products and to provide vital education and training on our ophthalmic treatments and therapies. Our interactions with healthcare professionals must comply with state, federal, and international laws and regulations and satisfy ethical standards appropriate for our industry. We must also fulfill the required transparency reporting related to those dealings. The Company has adopted policies and procedures intended to set rules regarding our interactions

Our Code of Business Conduct and Ethics has been translated into several local languages for our international employees and covers a number of critical topics, including:

- Reporting Violations of the Code
- Policy Against Retaliation
- Conflicts of Interest
- Confidential Information Handling
- Competition and Fair Dealing
- Appropriate Business Practices Relating to Gifts and Entertainment
- Handling of Company Records
- Protection and Use of Company Assets
- Accuracy of Financial Reports and Other Public Communications
- Compliance with Laws and Regulations
- Maintaining the Health and Safety of the Company's Environment and Workforce
- Political Contributions and Volunteer Activities
- Anti-bribery and Corruption
- Public Communications

# ETHICS AND COMPLIANCE

with healthcare professionals and establish the process for reporting payments and other transfers of value in the jurisdictions in which it is mandated, including our Code of Ethics on Interactions with U.S. Health Care Professionals, our State and Local Compliance Registration and Reporting Policy, and our International Transparency Reporting Requirements Policy. Engagement with healthcare providers is an important part of our business so that we may convey vital information regarding our products and the diseases they are intended to treat or so that we can gain and share knowledge from their expertise and experience. These policies, procedures, and related guidelines provide our employees with guidance on how to engage with healthcare providers responsibly, avoiding any improper influence over a healthcare provider's independent medical judgment.



**Glaukos acts in accordance with the AdvaMed Code of Ethics on Interactions with U.S. Health Care Professionals.**

## Third-Party Distributors

Glaukos engages third-party distributors to sell our products in countries where we do not have a direct presence or personnel. These distributors represent Glaukos when selling our products. We rely on them to uphold the ethical standards to which we hold ourselves when interacting with customers. We perform due diligence on all new and renewing distributors and pursue enhanced inquiries on a risk-based model that considers the corruption perception index of the country in which the distributor is selling our products. If red flags are detected, appropriate steps are taken to prevent and/or mitigate any associated risk to the Company. Our written contracts with distributors require both parties to comply with laws, including anti-corruption and export laws. We also assign online, interactive training on anti-bribery and anti-corruption to all our new and renewing third-party distributors.

## Marketing Practices

Glaukos has adopted several marketing practices policies, including our Code of Ethics on Interactions with U.S. Health Care Professionals and Unsolicited Off-label and Pre-approval Medical Information Requests. We designed these policies to ensure our marketing materials and practices are lawful, truthful, on-label, and not misleading. Appropriate personnel, including sales, marketing,

professional education, and market access employees, receive training on related topics such as on-label marketing and reimbursement support, Company-sponsored product training and education, meals and entertainment, Company support of third-party educational programs, and consulting arrangements. We also provide training to those who speak on our behalf, such as healthcare professionals. A cross-functional legal, regulatory, and medical team approves written marketing materials to ensure product information is accurate, responsible, and consistent with approved indications and available clinical data.

## Reporting Hotline

Glaukos encourages communication regarding suspected violations of Company policy or law. Employees can report suspected violations to their supervisor, Human Resources, the Chief Compliance Officer, or through our anonymous reporting hotline, accessible 24/7 via the web or a toll-free number. The hotline is available on our [website](#) to all employees, investors, suppliers, and other interested parties and is accessible globally in several local languages. Employees receive email reminders about this hotline semiannually. We track and review all reports to the hotline and investigate appropriately. When sufficient information is presented to warrant an investigation, we promptly investigate all alleged material violations of law and Company policies.

# ETHICS AND COMPLIANCE

We follow up with the reporter(s) and subject employee(s), if applicable, to share investigation results while being mindful of the privacy rights of those involved and the confidentiality needs of the Company.

Our Code of Business Conduct and Ethics explicitly prohibits any form of retaliation against an employee who, in good faith, reports suspected misconduct. At the conclusion of an investigation, we confirm that corrective actions have been taken, and we endeavor to check back in with reporters or review records to determine if any retaliation has occurred. Any employee engaged in retaliation will be subject to disciplinary action.

## Progress Toward our Goals

### 2022 Goals

Completion of anti-bribery/anti-corruption training by 100% of new or renewing third-party distributors

Annual certification of Code of Conduct by 100% of employees

In 2022, we reached our goal of 100% completion of anti-bribery/anti-corruption training by all 22 of our new or renewing third-party distributors. We strive to achieve this goal again in 2023 because it allows us to emphasize to key supply chain partners our requirement that they do business in a legal

and ethical manner. It also ensures continued access to the key materials driving our products.

We also reached our goal of annual certification of our Code of Conduct by 742 employees, which constitutes 100% of our active employees as of September 15, 2022, who did not subsequently separate from the Company. The certification ensures that our personnel understand the expectations set forth in our Code of Business Conduct and Ethics and encourages our employees to partner with the organization to manage our institutional ethics goals. We will once again require certification of our Code of Business Conduct and Ethics by all employees in 2023.

## ETHICS SURVEY RESULTS

In 2022, we conducted a companywide Great Place to Work employee survey. The survey is designed to document the opinions and attitudes of our employees with respect to workplace culture, including how effectively Glaukos leaders exhibit ethics, compliance, and integrity. Based upon our belief that operating in an ethical and compliant manner is vital to a strong culture and successful organization, the



results of the survey are used to gauge where we are currently as a company and where we have opportunities to grow and develop. The survey was conducted by a third party, and the responses were anonymous. Approximately 83% of our

employees participated in the survey. The results demonstrated a strong influence of ethical practices within Glaukos and that senior management places a high premium on integrity, ethical behavior, and tone at the top. This helps us understand employees' perspectives on ethical matters, and the scores can be compared between functions and business units and benchmarked against those of similar entities. Below are highlights of the results:

**90%**  
of respondents said:

**Management is honest and ethical in their business practices.**

100 Best U.S. Healthcare Companies Benchmark: 84%

**90%**  
of respondents said:

**Our executives fully embody the best characteristics of our company.**

100 Best U.S. Healthcare Companies Benchmark: 80%



# RESPONSIBLE PROCUREMENT PRACTICES

*Providing policies for and assessing and monitoring Glaukos' suppliers for sustainable practices including labor practices, such as human rights, fair treatment, child labor, and safe working conditions. Making sure that the products and services procured are sustainable, with low environmental impact and positive social results.*

GRI 2-6; GRI 2-25; GRI 3-3; GRI 308-1; GRI 414-1; SASB HC-BP-430a.1; SASB HC-MS-430a.1; SASB HC-MS-430a.2; SASB HC-MS-430a.3

Glaukos' delivery of vision-saving products to patients depends on our ability to source the materials used to manufacture our products in a responsible and sustainable manner. Through responsible procurement practices we can stimulate the global economy, while acquiring the materials needed to create life-changing products for our customers.

## Management Approach

Our Legal and Supply Chain teams collaborate to manage our responsible procurement practices. The Legal team is responsible for monitoring compliance and aligning our practices with laws

and regulations. The Supply Chain and Supplier Quality teams lead supplier engagement efforts through managing primary supplier touchpoints. We use a consistent high-level strategy to manage all our sites, but there are tactical differences based on regional variability. We believe that our responsible procurement practices help promote ethical economic growth in the communities and regions in which our suppliers are located.

As a pioneer of ophthalmic devices and pharmaceuticals, Glaukos creates unique, often micro-scale, products. There are limited companies that can meet our technically challenging supply requirements; we are sometimes tasked with

teaching suppliers how to manufacture our products properly. We do some manufacturing in-house at our Glaukos manufacturing facilities, which maintain International Organization for Standardization (ISO) 13485 and ISO 14001 certifications. We outsource other aspects of our manufacturing to third-party manufacturers, all of which must be highly capable.

As a highly innovative company, we are constantly evaluating our internal manufacturing capacity against our development pipeline's long-range sales forecast and cadence of new products. We do this to prepare for the regulatory process of securing FDA site approvals. The evaluation

## SUSTAINABLE SHIPPING

In 2023, Glaukos Burlington will be converting all cold-chain shipping coolers for our premier corneal drug product from non-recyclable polystyrene insulation to BioCoolers, a compostable alternative.

BioCoolers are certified compostable by ASTM D6400 and EN 13432 standards, and all product claims are validated by TUV Austria (formerly Vincotte).



In a full year of implementation, this will help us prevent **more than 20,000 pounds of oil-based polystyrene from being used.**



Subsequent shipping optimizations will also allow the BioCooler to **eliminate more than five million miles of domestic transportation per year** from our environmental footprint.



Per the EPA's Carbon Equivalences, **this project will have a carbon offset of planting 1,500 trees annually.** It will serve as a roadmap for the implementation of **other Zero Waste initiatives in packaging across Glaukos.**



# RESPONSIBLE PROCUREMENT PRACTICES

includes analyzing which manufacturing processes we would like to keep in-sourced as core competencies and which we would be willing to outsource to third-party manufacturers.

**Our critical suppliers are primarily based in highly regulated countries, including the EU, the U.S., and Japan. This results in slightly higher manufacturing costs, but it also contributes to increased sustainability throughout the manufacturing process and decreases our procurement partners' risk of irresponsible manufacturing.**

Glaukos applies a risk-based approach to managing critical materials by strategically storing specific work-in-progress inventory with suppliers and onsite at Glaukos facilities. We also utilize a two-site model for finished goods inventory by storing a portion of it onsite at Glaukos and the remainder with warehouse or distributors. We set quantity and quality targets and metrics around each location where our materials are housed to minimize risk. We follow our Quality Procedures to qualify additional distributors and govern our business relationships.

We also manage critical materials by secondary sourcing as needed. FedEx is our preferred

logistics provider. We renegotiate our logistics contract annually and evaluate additional external bids regularly. To reduce costs and emissions for Glaucoma device products, we collaborated with FedEx to develop a two-site distribution model to maximize two-day ground shipments and to reduce air shipments. We utilized our enterprise resource management system, Oracle, to develop electronic data exchanges for the second distribution site and plan to begin distribution from the second site in 2023.

Our Quality Team is also responsible for preparing and enforcing the audit schedule. We typically perform audits of critical suppliers annually. We also audit our lower-risk suppliers periodically based on the established risk assessment. During the audits, we aim to identify how our suppliers perform against all applicable regulation standards, ISO standards (Quality Management Systems) and internal policies and procedures applicable to each individual supplier. We use this information to confirm that our suppliers meet our standards and address potential gaps and opportunities for improvement.

We issue Supplier Corrective Action Requests (SCARs) to suppliers for supplier-caused problems identified during the audits and throughout the year. Issuance of a SCAR is commensurate with risk to Glaukos. A SCAR provides suppliers the opportunity to formally document the root cause of an issue and its remediation plans. The problem-

solving process for the SCAR includes containment/correction, root cause investigation, root cause identification, corrective action, and verification of corrective action effectiveness. Our standard practice is to enter into quality agreements with all critical suppliers. These quality agreements describe the obligations and responsibilities of the parties to ensure our products are manufactured, stored, and transported in a compliant and safe manner.



**As part of our Quality Procedures, we conduct a risk assessment on all Glaukos suppliers that considers what they supply to Glaukos and the potential impact on our products or services. All Glaukos suppliers are assigned a risk level based on the risk assessment, with highest risk suppliers being our critical suppliers.**

# RESPONSIBLE PROCUREMENT PRACTICES

In 2022, we updated our quality agreement templates to incorporate ethical conduct and responsible procurement requirements. Further, we conduct due diligence on any potential critical suppliers to ensure their processes and output meet our high standards.

As a manufacturer of medical device and pharmaceutical products, we must trace our products from the earliest manufacturing phases. We follow products from individual product components to distribution. We maintain a well-developed traceability process and conform to the Unique Device Identification (UDI) requirements to ensure compliance with this obligation.

## Responsible Supply Chain Policies

We value our relationships with our suppliers and are committed to conducting business with suppliers who act responsibly and ethically. We adopted a [Supplier Code of Conduct](#) and a [Human and Workforce Rights Policy](#) that outline our expectations for ourselves and our partners. Our Supplier Code of Conduct terms allow us to audit suppliers' operations and facilities to determine compliance with the code. If a supplier cannot

demonstrate compliance, we consider terminating our agreement or taking other remedial action. Additionally, as stated in our 2021 [Conflict Minerals Report](#), we determined that 331 of the approximately 332 smelters who provide the designated minerals used in our commercial materials and components either do not source minerals in the Democratic Republic of the Congo and neighboring countries or are conformant to the Responsible Minerals Assurance Process (RMAP). We are engaged in discussions with the remaining supplier to ensure its smelters are RMAP conformant. We also published our [Transparency in Supply Chain](#) disclosure required by the California Transparency in Supply Chains Act of 2010 (SB 657).

In 2021, we updated our supplier screening questionnaire for Glaucoma Risk Level 1 suppliers to include ESG criteria, including management of hazardous chemicals, establishment of policies on ethics, healthy and safe workplaces, human rights, and conflict minerals, as well as establishment of environmental objectives. We are utilizing the information we collected through the questionnaires to establish a baseline for where our suppliers stand on ESG topics.

Ninety-four percent of our Glaucoma Risk Level 1 suppliers responded to the survey. Going forward, we will use the supplier screening questionnaire for new suppliers as part of the initial supplier evaluation prior to qualification. We also use the responses to identify gaps in ESG appropriate policies or

Our policies are provided to each of our commercial suppliers and affirm that we expect our suppliers to:

- Prohibit the use of all forms of forced or involuntary labor, slavery, or human trafficking
- Adhere to minimum age provisions of applicable laws and regulations
- Compensate employees and operate in compliance with applicable wage, work hours, overtimes, and benefits laws and regulations
- Prohibit child labor
- Not engage in unlawful discrimination, harassment, or abuse of any kind
- Provide a safe, healthy, and sanitary work environment in compliance with applicable laws and regulations
- Report suspected violations of the Supplier Code of Conduct either directly to us or through our reporting hotline, which was added into the code in 2022
- Cooperate with us to ensure the smelters from which they source operate responsibly

# RESPONSIBLE PROCUREMENT PRACTICES

practices and work with them to fill these gaps. In 2022, Corneal Health began to collect this information through an ESG survey form. Sixty percent of critical suppliers responded to the ESG survey. In 2023, we will continue working toward a 100% response rate for critical suppliers.

## Progress Toward our Goals

### 2022 Goals

In 2023, reduce percentage of Glaucoma medical device product transported via air by developing 2<sup>nd</sup> site distribution center (2021 as baseline)

In 2022, incorporate standards into 100% of new and renewing supplier agreements

In 2022, we completed all the work needed to distribute Glaucoma device products from a second distribution center. The Oracle ERP system was integrated with the distributor's ERP system and testing was completed. We also started building up inventory needed for distribution at the distribution center. In 2023, we will implement the two-site distribution model in an effort to reduce the number of air shipments over the amount determined for 2021.

In 2022, we targeted incorporating the Supplier Code of Conduct standards into 100% of new and renewing supplier agreements, which will establish a contractual obligation for our suppliers to uphold the standards.

Beginning in 2022, all new supplier contracts include an obligation to comply with the standards and values included in our Supplier Code of Conduct, and an obligation to cooperate with us to ensure responsible sourcing of the minerals utilized in our commercial products.

In 2023, we will work on converting packaging and shipping materials to biodegradable materials. This will eliminate waste and potentially reduce costs. In 2023 we are targeting to change the packaging and shipping materials for *Photrex* CXL kits. We will also evaluate to see if any Glaucoma device products packaging can be converted.





# CYBERSECURITY AND DATA PRIVACY

*Protecting data and ensuring the privacy and security of corporate, employee, patient, customer, and supplier information.*

GRI 3-3

To advance our reputation as a trusted partner in every aspect, Glaukos is committed to protecting our information assets as well as the privacy of employees, partners, customers, and patients. If we do not manage cybersecurity well, the privacy of our stakeholders and security of our network would be compromised. We employ high-quality cybersecurity and privacy practices to protect our data and our stakeholders' data.

## Management Approach

It is imperative that we have strong cybersecurity and data privacy practices in place to protect our network and systems, as well as internal and customer data. Our cybersecurity team is a part of our Information Technology (IT) department. Our head of IT reports directly to the CFO and provides periodic reports to the Audit Committee on cybersecurity policies, procedures, and risk and mitigation efforts.

Members of our IT department maintain various cybersecurity-related certifications including Certified Information Systems Security Professional (CISSP), Certified Information Security Manager (CISM), and Certified Data Privacy Solution Engineer (CDPSE). We also maintain our written incident response and security policies to ensure we are protected and ready to respond should a security incident occur. Incidents are investigated and analyzed for potential impact. If impact is present, appropriate departments/individuals and executive management are notified as part of the incident response process.

Glaukos applies a risk-based approach to enhance security and reduce risk in the Company's networks, systems, products, and information against evolving cyber threats. Cybersecurity risks are integrated into the enterprise risk management process. The enterprise risk management program is updated to the Board Audit Committee on a semiannual basis.

To prevent unauthorized use of software by employees, new software is evaluated for risk and approved by the Software Approval Board before purchase or installation on Glaukos systems. The Software Approval Board is

made up of cross-functional members from Quality, Internal Audit, Information Security, Business Systems, and R&D to help determine risk and impact of any potential newly proposed software.

**Glaukos' Security Program is structured around the industry standards for security, including the National Institute of Standards and Technology (NIST) and the ISO.**

It is Glaukos' policy to protect the privacy of those who entrust us with their personal information. We only collect and store personal information necessary for a lawful purpose. Accordingly, we adopted a [Privacy Policy](#) that details how personal information is collected and stored, and what rights data subjects have with respect to such information.

We are committed to fully complying with data collection and processing requirements worldwide. This includes but is not limited to the EU General Data Protection Regulation 2016/679 and California Consumer Privacy Act (CCPA).

## Cybersecurity Training

Glaukos' cybersecurity training and education emphasizes user awareness, focusing on phishing, malware, and security best practices. Glaukos conducts annual cybersecurity training for new and existing employees. In 2022, 100% of our employees completed annual cybersecurity training. We aim to continue this training annually.

We also conduct email phishing testing exercises to help employees identify and safeguard against phishing attacks that are routinely used by threat actors. In 2022, we expanded this training to take a more risk-focused approach. Employees that fail our phishing testing at higher frequency are assigned to a high-risk group level.

# CYBERSECURITY AND DATA PRIVACY



# 100%

of Glaukos users  
completed annual  
cybersecurity  
training.

These groups are then assigned additional and more in-depth training to help drive effectiveness of our Security Program by providing additional training to those who may need more guidance.

In 2022, 100% of the employees who failed our phishing testing completed the additional assigned training. Information security training is adjusted to address deficiencies based on testing outcomes.

## Progress Toward our Goals

### 2022 Goal

By 2025, formally track alignment of the information security program to relevant components of the NIST security framework based upon the risk to Glaukos and industry best practices

In 2023 and beyond, we will continue to advance and further mature our cybersecurity program. We built our security program around NIST and by 2025, we plan to formally track our alignment to these standards to ensure we are following industry best practices.

As part of this process, we have created a list of our cybersecurity risks and mapped them to the associated NIST controls. We will then use software to track and manage our security programs alignment to NIST best practices and prioritize future enhancements to our cybersecurity program.

# PRODUCTS



Glaukos is focused on creating safe, innovative, and affordable products to transform the treatment of chronic eye disease.

Completed
  On Track
  Partially Completed

New 2023 goals in bold

	GOALS SET IN 2022	YE 2022 STATUS	GOALS SET IN 2023
PRODUCT QUALITY AND PATIENT SAFETY	Zero product recalls	<span style="display: inline-block; width: 15px; height: 15px; background-color: #444; border-radius: 50%;"></span>	Zero product recalls
			<b>100% of employees complete Quality Compliance and Patient Safety training</b>
PRODUCT INNOVATION	FDA submission of pipeline technologies that would allow us to meet our publicly stated targets for FDA approvals	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ccc; border-radius: 50%; border: 1px solid #444; margin-left: 10px;"></span>	FDA submissions of pipeline technologies that would allow us to meet our publicly stated targets for FDA approvals
			<b>Advancement of key clinical programs</b>
ACCESS, AFFORDABILITY, AND PRICING	Increase communication and education efforts around Glaukos' Patient Assistant Program in the U.S., as well as donations of our products to underserved patients globally	<span style="display: inline-block; width: 15px; height: 15px; background-color: #444; border-radius: 50%;"></span>	<b>Increase number of patients who receive assistance from one of Glaukos' assistance programs</b>
PROTECTION OF INTELLECTUAL PROPERTY	Annual review of existing IP rights and IP strategy	<span style="display: inline-block; width: 15px; height: 15px; background-color: #444; border-radius: 50%;"></span>	

# PRODUCT QUALITY AND PATIENT SAFETY

*Providing patients with safe, durable products that are controlled to meet high quality standards. Clearly and swiftly disclosing information on product recalls. Incorporating patient feedback into product innovation.*

GRI 3-3; GRI 416-1; GRI 416-2; SASB HC-BP-250a.1; SASB HC-BP-250a.2; SASB HC-BP-250a.3; SASB HC-BP-250a.4; SASB HC-BP-250a.5; SASB HC-MS-250a.1; SASB HC-MS-250a.2; SASB HC-MS-250a.3; SASB HC-MS-250a.4; SASB HC-MS-410a.2

Glaukos is committed to developing and marketing safe, high-quality products to treat glaucoma, corneal disorders, and retinal diseases. Effective treatment of chronic eye diseases hinges upon excellence in product design and development to ensure robust and reproducible manufacturing processes that enable exceptional patient outcomes and patient safety. Without careful attention to critical quality attributes, a product could fail to meet the intended effectiveness or result in patient harm, up to and including the potential loss of sight. For that reason, Glaukos is focused on excellence in design, manufacturing, and supply chain management of our products, optimizing performance and patient outcomes.

## Management Approach

Glaukos assures excellence in product quality through our Quality Management System (QMS). Our QMS entails an effective and independent quality organizational structure, Quality Manual, policies, operational guidance documents, robust processes, and sufficient resources to deploy and oversee compliance to our QMS effectively. Our Quality Assurance teams closely monitor our suppliers, incoming materials, in-process manufacturing, and finished products to ensure released products meet all established quality and safety specifications. Our Quality Engineers work to ensure all design elements, supplier oversight, and software systems operate in a state of control.

Glaukos continues to invest in and grow our in-house analytical and microbiological laboratories and the automated technologies necessary to assure strong data integrity.

Glaukos continues to invest in our QMS, assessing the systems used across our sites, and moving forward in the next stage of integration. Glaukos strives to optimize compliance efforts and is

progressing toward alignment on a single, common platform across our sites for several QMS elements.

In preparation for the new drug product application for *iDose TR*, Glaukos QMS was upgraded with new software tools, experienced Quality personnel with both pharmaceutical and combination product experience, and additional systems that address the unique pharmaceutical regulatory expectations.

## NEW DRUG MANUFACTURING FACILITIES

Glaukos invested in significant manufacturing expansion at its San Clemente facility in preparation for the *iDose* platform scale up and anticipated launch of *iDose TR*. Expansion encompassed 44,000 square feet and includes 25,000 square feet of new ISO7 cleanroom. The cleanroom expansion includes dedicated rooms for drug

formulation and filling. It also includes the development of highly innovative equipment and processes designed to overcome the challenges of handling micro-size devices and drug fill, such as precision micro-fluidic dispensing equipment and proprietary drug micro-container closure equipment.





# PRODUCT QUALITY AND PATIENT SAFETY

In 2022, Glaukos deployed a new, custom configured TrackWise Digital platform to manage all the key QMS elements of a hybrid pharmaceutical and medical device QMS. With this tool, Glaukos is well positioned with a scalable, compliant platform that allows the teams to easily identify, escalate, and drive key investigations to root cause. Correctly resolving the root cause of events ensures effective corrective and preventive actions are performed and tracked to completion, thereby identifying and eliminating variation, waste, and risk in the manufacturing processes. Further, this software enables digital analytics tools and use of a centralized data lake to allow efficient analysis of data for management review and escalation.

In 2022, Glaukos successfully harmonized the complaint management process for Glaucoma and Corneal Health with establishment of a global call center to intake customer complaints, adverse events, medical information requests, and other customer feedback. In addition, integrations between sales and the complaint management system were completed which have significantly streamlined global complaint and adverse event reporting and processing. Upgrades to the complaint management system also include the ability to process product inquiries and customer feedback harmonizing such processes for Glaucoma and Corneal Health. In 2022, Glaukos also integrated into one common electronic QMS software across business units. Both systems are

validated electronic platforms that will enable state-of-the-art trending and oversight for our internal operations. These systems will continue to serve our employees and patients for years to come.



Employee training is a key factor in successfully implementing the QMS. All Glaukos employees receive comprehensive, ongoing training throughout the year specific to their role to ensure they uphold the highest quality and safety standards.

Employees undergo periodic re-training that requires learners to demonstrate their comprehension and capability. Glaukos uses a combination of traditional and on-the-job training to provide employees with a well-rounded understanding of their roles.

In 2022, we implemented an upgraded training management system that went live in January 2023. These system upgrades allowed us to add visibility to training compliance with the creation of dashboards and reports and improved overall useability of the system for trainees while ensuring training compliance.

Glaukos currently performs several in-house analytical tests using robust, validated analytical methods. We rely on qualified third-party laboratories to test the remaining samples for raw material acceptability, finished product stability, and environmental monitoring and product microbiological testing. As our business continues to grow, so does the demand for more analytical and microbiological testing, which is why we are expanding our in-house testing capabilities.

In 2022, Glaukos began construction on a substantial laboratory expansion that will double our available square footage and increase our capacity to perform in-house testing. We purchased additional analytical instrumentation that will be qualified when the expansion is completed in Q1 2023.

With these investments, Glaukos can execute method transfer studies enabling the Quality Control Laboratory to insource raw material, in process, and finished product testing, where appropriate. Shifting some testing in-house will reduce our costs per test and turnaround time on

# PRODUCT QUALITY AND PATIENT SAFETY

results reporting and reduce the environmental burden of shipping samples from each incoming raw material and finished goods batches to various third-party laboratories for testing.

## Post-Approval Quality Management

Exceptional patient outcomes and safety are our primary focus. We provide validated pathways for patients or clinicians to report any complaint or adverse event to our team of medically trained professionals. These same systems are used by distributors, field service personnel, and our sales teams to efficiently capture all the essential information that enables Glaukos to thoroughly investigate reports and ensure all necessary actions are taken. A few examples of these actions include, but are not limited to, advancing product design, further optimizing the materials used in the construction of our products, enhancing manufacturing processes to prevent or reduce the likelihood of recurrence, enhancing our robust surgical training program, and ensuring clarity of labeling and instructions for use.

Glaukos hosts several routine inspections by governing health authorities to ensure our programs comply with applicable regulations. In 2022, all inspectional authorities who evaluated Glaukos' post-marketing surveillance programs concluded no incidents of non-compliance with established

regulations. We use customer feedback and clinician use experiences, in addition to reported patient and clinician safety information, to improve our products and, ultimately, patient safety. Glaukos invests in tools to capture customer feedback and analyze the data.

Glaukos has established a reputation for exceptional patient safety. Based on the detailed analysis of the post-marketing surveillance data for 2022, that success continues. In 2022, there were no significant negative trends in patient safety observed for Glaukos' portfolio of products.

True to our mission, we use the data to assess and improve existing product designs and next-generation products, ensuring ongoing innovation in product development for chronic eye diseases. In 2023, as a result of our investments, Glaukos plans to deploy a global patient safety signal detection system designed to analyze customer feedback and patient safety data in all the markets we serve. While we currently carefully monitor and report on this data, this critical element of our post-market surveillance and patient safety programs



# ZERO

- Product recalls
- Fatalities related to products
- Products on the FDA's MedWatch Safety Alerts
- FDA enforcement actions taken in response to violation of cGMP



# 100%

Percentage of significant product and service categories for which health and safety impacts are assessed for improvement

# PRODUCT QUALITY AND PATIENT SAFETY

will be automated and allow us to streamline existing global statistical trending activities.

From the first stages of R&D, we use design controls to minimize the risk of product defects. If we find a defect, R&D collaborates with our engineering team to remedy the issue. By embedding product quality into every stage of our design process, we can detect and address flaws early and mitigate long-term risks. We also continuously assess the usability and efficacy of our products as part of a robust sustaining engineering program. We perform formative evaluations early in the product's life cycle and summative studies on commercial-ready products considering safety, usability, and efficacy. Post-market data is reviewed to ensure the continued safety and efficacy of Glaukos products that are commercially distributed.

Medical complaints undergo an extensive evaluation process, including gathering information from

the complainant, physician, patients, and any other relevant parties. Once we complete the assessment, we evaluate the complaint for "reportability." If appropriate, we report it to the FDA as a Medical Device Report (MDR) or include it in the Periodic Adverse Drug Experience Report, an electronic report filed with the FDA quarterly for the first three years after a drug is approved and annually thereafter. Glaukos has implemented a fully functional complaint management program that adheres to all pharmaceutical and device regulatory requirements in global markets in which we distribute our products

The Medical Safety team collaborates with the engineering department to evaluate the case and identify the root cause during the complaint process. Once we identify the root cause, the Quality team works with R&D to mitigate future risks. Glaukos regularly reviews all complaints,

monitors trends data, and analyzes the data for all products on an ongoing basis.

Should a safety or quality event occur that could cause a significant compliance or safety risk, our highly trained, cross-functional team would carefully assess the event's potential compliance and/or safety risk. Per Glaukos' established procedures, we ensure prompt assessment and notification to the appropriate government, regulatory, and health authorities in those countries where there could be an impact.

**While Glaukos has had zero recalls, should the need arise, we have an established process to promptly evaluate, document, and execute recalls for all markets in which we distribute the product.**



Glaukos is committed to providing the highest-level customer experience, including effectively managing complaints. We track and thoroughly investigate every product complaint we receive as part of our quality management system and medical safety infrastructure.

In collaboration with the regulatory authorities, Glaukos would notify impacted customers and provide written information on the event and instructions on what actions are recommended. Actions may include providing clinicians and/or patients with additional information, performing a corrective action on the product or clarifying labeling, or, when appropriate, requesting the product be returned to Glaukos.

Glaukos will ensure the recalled product is tracked

# PRODUCT QUALITY AND PATIENT SAFETY

and reconciled against what was shipped to each impacted customer when we perform a recall. Once all recall activities are complete, and health authorities are satisfied with the actions taken, the recall will be closed. Along with any necessary field actions, Glaukos would conduct a thorough investigation into the event's root cause and identify corrective actions that will reduce or prevent the likelihood of recurrence of the issue. We actively work to optimize our QMS and manufacturing processes to improve the quality and safety of our products continuously.

## Progress Toward our Goals

### 2022 Goal

Zero product recalls

Rooted in our commitment to patient safety, Glaukos' robust manufacturing processes, high level of Quality oversight, and strong culture of continuous improvement enabled the Company to again achieve no quality or safety events requiring a product recall in 2022. We aim to reach this goal again in 2023.

One element that helps us achieve superior product quality and safety is robust training. This year, we set a new annual target; we are aiming for 100% of employees to complete Quality Compliance and Patient Safety training. Our new goal will strengthen our commitment to product quality and patient safety.





# PRODUCT INNOVATION

*Pursuing new customer solutions through innovative, competitive product offerings by allocating resources to research and development, and strategically aligning acquisitions with innovation and development needs.*

GRI 3-3; SASB HC-BP-000.B

Product innovation is core to Glaukos' mission to transform vision by pioneering novel, dropless platform technologies that meaningfully advance the standard of care and improve outcomes for patients suffering from chronic eye diseases and disorders. If Glaukos is not able to consistently innovate, we may struggle to provide life-changing products and reduce our ability to compete in the marketplace.

## Management Approach

Product innovation fuels Glaukos' success and is determinative in achieving our goal to be a vision care leader. Our internal and external stakeholders expect our developments to improve patient outcomes. From inception, Glaukos' ethos has focused on innovation, seeking to transform vision for patients suffering from chronic eye diseases. Continuing to innovate successfully will provide a competitive advantage and create sustainable revenue growth, allowing us to further invest in our R&D programs, clinical initiatives, people, systems, and infrastructure to support long-term value creation and success.

Glaukos' senior management is intimately involved with the oversight of our product innovation process. Senior management coordinates innovation efforts between our R&D programs, clinical trials, and commercialization teams through various quality, regulatory, operational, and patient

safety processes. Our R&D and Clinical departments continuously track and monitor pipeline program developments.

Our current projections for the commercialization of our pipeline platform technologies forecast a cascade of new product launches designed to significantly improve patient care options. Collaboration with our key stakeholders, including eye care providers and patients, is an important element of our product innovation process, including through continued input and feedback.

As of December 31, 2022, we had 14 active disclosed pipeline programs across various R&D and clinical stages, along with additional undisclosed programs (see table on page 36). Of our 14

publicly disclosed pipeline programs, 12 of them are primarily pharmaceutical (drug) programs. The exact number of drugs in R&D is confidential. We have one commercially available drug. Please see our filings with the U.S. Securities and Exchange Commission for a more detailed discussion regarding these products, accessible [here](#). We are continuing to successfully invest in and advance our fulsome pipeline of promising innovations of core novel platforms, supported by over \$400 million of self-funded investment into our R&D programs since 2018.

In 2021, we updated our product innovation process. The first step in the revised process was to complete our product prioritization exercise to

## COMMITMENT TO INNOVATION

**\$400M**

Invested in research and development since 2018

**14**

Disclosed pipeline products, including 12 pharmaceutical programs

**7**

Currently commercialized products, compared to one in 2012

# PRODUCT INNOVATION

determine which products we will pursue in the coming years. This process involves evaluating risks and opportunities as well as patient needs. When we begin introducing a new product, we assign a project manager to guide the development of the product through the pipeline. The project manager is responsible for identifying and managing any challenges throughout the product innovation process. These efforts have taken Glaukos from a single commercialized product, the *iStent*, in 2012 to seven in 2023, adding the *iStent inject*, *iStent inject W*, *iLink Epi-off*, *iPRIME*, *iAccess*, and *iStent infinite*.

**We are planning for a robust cadence of new platform and product introductions over the coming years that have the potential to fundamentally improve eye care treatment options and transform Glaukos over time.**

## **iStent Micro-scale Surgical Devices**

In August 2022, we announced FDA 510(k) clearance for *iStent infinite*, our novel three-stent injectable system designed to provide foundational, 24/7 IOP control for glaucoma patients uncontrolled by prior medical and surgical therapy.

The commercial availability for *iStent infinite* repre-

sents a significant milestone for our company and the MIGS market as the first-ever micro-invasive implantable device indicated for use as a standalone glaucoma treatment.

## **iSTENT INFINITE**

We believe *iStent infinite* will spearhead our long-held mission to create a new Interventional Glaucoma marketplace that seeks an alternative treatment paradigm to advance patient care and halt the progression of this chronic sight-threatening disease.



## **iDose Sustained-release Pharmaceuticals**

In September 2022, we announced topline data for both Phase 3 pivotal trials of *iDose TR* that successfully achieved pre-specified primary efficacy endpoints through three months and demonstrated a favorable tolerability and safety profile through 12 months.

In addition to the Phase 3 pivotal data, in January 2023, we were delighted to announce results for the *iDose TR* exchange trial, which included a second administration of *iDose TR* and removal of

the original *iDose TR* implant, with the second *iDose TR* demonstrating a favorable safety profile over a 12-month evaluation period. Additionally, no subject in the exchange trial exhibited a greater than 30% endothelial cell loss over the extended evaluation period of more than five years on average. Based on the combined efficacy and safety results from both Phase 3 pivotal trials along with the exchange trial, we submitted an NDA to the U.S. FDA for *iDose TR* in February 2023, and are targeting an FDA approval decision by the end of 2023.

We are pleased to see the data clinically support the safety and tolerability of redosing *iDose* patients over time and further add to our market-leading body of clinical evidence supporting the best-in-class benefit-to-risk calculus for our micro-invasive technologies over the competitive alternatives.

## **iDOSE TR MILESTONE**

The submission of the *iDose TR* NDA represents a significant milestone for our company, resulting from more than a decade of our teams' unrelenting research, development, and clinical efforts to bring this potential game-changing therapy one step closer to patients who may need a new glaucoma treatment alternative.



# PRODUCT INNOVATION

## iLink Bio-activated Pharmaceuticals

Following our pre-NDA meeting with the FDA in 2022 for *Epi-on*, our next-generation CXL therapy, the Agency recommended that we run a second confirmatory pivotal study to support an NDA submission for *Epi-on*. The Agency did confirm that the first *Epi-on* completed Phase 3 study, which met the pre-specified primary efficacy endpoint, would support submission and be accepted for review of an NDA in conjunction with this second study.

Our understanding is that the FDA's request for a second study, which was unexpected to us and has caused our submission and approval timelines to be delayed versus previous expectations, was driven by earlier-stage clinical studies associated with other companies' unproven therapies that generated less than favorable efficacy data.

In response, in January 2023, we commenced subject enrollment in a second Phase 3 confirmatory pivotal trial for *Epi-on*. We plan to randomize approximately 290 subjects in this trial and are targeting enrollment completion by the end of 2023.

As we continue to advance our clinical plans for *Epioxa*, we remain well-positioned to serve keratoconus patients with our first-generation CXL therapy, *Photrexa*, or *Epi-off*, which remains the only FDA-approved treatment shown to slow and halt the progression of keratoconus.

In March 2022, we commenced a Phase 2 clinical program for a third-generation *iLink* therapy, a CXL treatment designed to customize the therapeutic capabilities, streamline the patient experience, and build upon Glaukos' *iLink* platform therapies.

## iLution Transdermal Pharmaceuticals

In January 2022, we announced the commencement of patient enrollment in two Phase 2 clinical trials, including GLK-301 for the treatment of signs and symptoms of dry eye disease (DED) and GLK-302 for the treatment of presbyopia. These are the first two investigational drug candidates utilizing our *iLution* platform, each of which utilizes pilocarpine as its active pharmaceutical ingredient. The commencement of these Phase 2 trials represented a significant milestone in the development of our *iLution* platform and for our Company, as we explore what these drug candidates can do for these respective large and underserved patient populations.

In January 2023, we announced promising topline results from our Phase 2a first-in-human clinical trial for GLK-301 for the signs and symptoms of DED

that demonstrated improvement in the quality of tear film (tear break-up time) with corresponding improvement in quality of vision (reduction in blurred vision). Based on these encouraging observations, we plan to advance GLK-301 into a Phase 2b clinical trial targeted to begin in 2023.

## Progress Toward our Goals

### 2022 Goal

FDA submission of pipeline technologies that would allow us to meet our publicly stated targets for FDA approvals

Because our products undergo thorough review from the FDA and other regulatory authorities and are subject to other factors outside our control, we may not be able to control the timing of our product approvals. However, we will endeavor to advance our products through the R&D and clinical stages in a manner that would allow us to meet our publicly stated FDA submission timelines.

Overall, we are pleased with our progress toward this goal based on the pipeline developments across our key platform technologies as described above. Specifically, following the NDA submission in February 2023, we remain on track for an FDA approval decision for *iDose TR* by the end of 2023, consistent with our previously disclosed FDA approval target. For *iStent infinite*, the receipt of FDA clearance in August 2022 compares to our

# PRODUCT INNOVATION

previously disclosed approval target for late 2021. And for *Epi-on*, our previously disclosed FDA approval target for late 2023 has been pushed out given the commencement of a second Phase 3 confirmatory trial, as described above.

In addition to our current Product Innovation goal associated with FDA submissions as described above, we are adding the following new Product Innovation goal in 2023: “Advancement of key clinical programs.” We believe the addition of this new goal will help us monitor our progress for a higher percentage of our pipeline programs, including those that are in earlier stages and may still be multiple years away from an FDA regulatory submission.

## GLAUKOS PIPELINE SUMMARY

PRODUCT	PATIENT	STATUS
<b>GLAUCOMA</b>		
<i>iStent/iStent inject/iStent inject W</i>	Mild-to-Moderate Glaucoma with Cataract	FDA Approved
<i>iStent infinite</i>	Glaucoma Standalone (failed on prior therapy)	FDA Cleared
<i>iStent infinite</i>	Glaucoma Standalone (label expansion)	FDA IDE Planned
<i>PreserFlo</i>	Advanced-Refractory Glaucoma Standalone	FDA IDE Planned; Approved OUS
<i>iDose TR</i>	OHT-Glaucoma Standalone	FDA NDA Submitted
<i>iDose TREX</i>	OHT-Glaucoma Standalone	Pre-clinical
<i>iDose ROCK</i>	OHT-Glaucoma Standalone	Pre-clinical
GLK-311	OHT-Glaucoma	FDA IND Open
<b>CORNEA</b>		
<i>Photrexa (Epi-off)</i>	Keratoconus	FDA Approved
<i>Epioxa (Epi-on)</i>	Keratoconus	2nd Phase 3 Trial Underway
<i>iLink Third-Generation</i>	Keratoconus	Phase 2
<i>iVeena</i>	Keratoconus	Phase 1
GLK-301	Dry Eye	Phase 2
GLK-302	Presbyopia	Phase 2
<i>iLution Blepharitis</i>	Demodex Blepharitis	Pre-clinical
<b>RETINA</b>		
GLK-401 (IVT Multi-Kinase Inhibitor)	AMD, DME, RVO	Pre-clinical
GLK0411 (IVT Triamcinolone)	DME	Pre-clinical
<b>OTHER SURGICAL</b>		
<i>iAccess</i>	Precision Goniotomy	FDA Cleared
<i>iPRIME</i>	Viscodelivery	FDA Cleared



# ACCESS, AFFORDABILITY, AND PRICING

*Pricing products according to the value they deliver while employing flexible pricing approaches and support programs to ensure patient access.*

GRI 3-3; SASB HC-BP-240b.2

Glaukos believes that our mission to create transformative ophthalmic products that enrich the lives of and provide innovative treatment alternatives for patients suffering from sight-threatening chronic eye diseases encompasses a responsibility to promote broad access to and thoughtful consideration of the affordability and pricing of our products. We believe all individuals should have access to affordable, high-quality care.

**Without access to Glaukos' glaucoma and keratoconus treatments, certain patients may be at risk for vision loss.**

Failure to access adequate vision care can limit the quality of an individual's life, which is why we are committed to providing broad access to our sight-saving therapies through pricing on the basis of value while creating meaningful support programs and donating our products to underserved populations. As our business continues to expand, so will our ability to profoundly impact ophthalmic clinical outcomes and the quality of our patient's lives.

## Management Approach

Our Access, Affordability, and Pricing programs are overseen by the Global Marketing, Global Medical Affairs, Market Access, and Patient Services

organizations. We carefully consider various factors when determining how best to price our products, including patient total direct medical costs and out-of-pocket costs, lifetime cost-savings generated by our products, the potential improvement of a patient's quality of life, and the investment amount required to bring our products to market.

We also provide funding for research projects to determine whether our products continue to represent good value for patients. We regularly review the research findings examining the economics of the various ophthalmic care options and weigh the costs and efficacy of other therapies

against those of our own. For example, we commissioned a study that was published in the *Journal of Medical Economics*<sup>1</sup> that compared the cumulative cost of a two-stent glaucoma treatment using our *iStent* technologies with that of laser trabeculoplasty or medications only.

The study found that over five years the cost of our innovative *iStent* technologies is lower than that of the alternative treatments studied. Studies such as this demonstrate the value created and relative affordability of our *iStent* technologies for both our patients and the healthcare system.

## INCREASING ACCESS AND AFFORDABILITY

In 2022, Glaukos launched a patient services program to help keratoconus patients navigate the journey from suspicion of having this rare disease to diagnosis and treatment. Glaukos Patient Services (GPS) works with patients, their legal guardians, and eye care providers to provide high-quality patient education to explain the importance of early detection and intervention. GPS also helps patients understand their individual insurance benefits and inform the patient of financial assistance offerings for which they may qualify, which at times can be challenging

given the rare nature of the disease. GPS also helps patients avoid treatment delays that may result in worsening keratoconus, as well as unnecessary financial burdens to patients.



Welcome to  
Glaukos Patient Services

GLAUKOS



# ACCESS, AFFORDABILITY, AND PRICING

Similarly, in connection with the 2020 price increase of our *iLink* therapies to treat the rare disease of keratoconus, we evaluated the value our CXL therapies provide to both an individual keratoconus patient as well as the broader healthcare system. For example, a Glaukos supported 2020 study published in the *Journal of Medical Economics*<sup>2</sup> modeled the cost-effectiveness of CXL versus no CXL for 2,000 U.S. keratoconus patients (4,000 eyes). The findings included:

- The CXL group was 25.9% less likely to undergo penetrating keratoplasty (corneal transplantation) and spent 27.9 fewer years in advanced disease stages.
- CXL had lower total direct medical costs (\$30,994 vs. \$39,671, a savings of \$8,677 or 22%).
- CXL was associated with a lifetime cost-savings of \$43,759 per patient. CXL was cost-effective within 2 years and cost-saving within 4.5 years.
- Patient quality of life was improved in the CXL group. CXL was associated with a 9% improvement (gain of 1.88 quality adjusted life years) compared to no CXL over the patient's lifetime.

Based on these findings and similar internal evaluations, we modestly increased the list price of our U.S. CXL product, *Photrexa*, over the last few years (~5% annual average since January 2018). Based upon the investment made to bring this orphan

## HELPING PATIENTS IN NEED

*"On November 17, I had cross-linking surgery. Glaukos waived the fee for the protein drops. I am so grateful for your generosity. I am a single teacher who teaches part time at two schools and runs a piano studio. For the first time in my life, I am on [government programs], which is humbling. It is temporary, yet it is nice to be cared for. When I received the news of your grant, I shed tears. Thank you! You touched my heart."*

—Anonymous patient, Montana



drug to market, the continued efforts to expand access to patients with this rare disease, and the researched economics described above, we believe that our pricing strategies are well-supported and will benefit patients.

We provide written communications regarding price increases to customers and relevant insurance payors, emphasizing the significant investments we continue to make to broaden patient awareness and access to CXL therapies and to develop next-generation technologies designed to provide less invasive treatment options.

We also offer discounts and /or rebates to customers based on volume or other metrics and have pricing schemes that differ depending upon the site of service and the reimbursement environment in a

particular geography. Our pricing terms are considered confidential information and our customers agree contractually to maintain such confidentiality. Lastly, we educate optometrists on keratoconus and partner with the leading patient advocacy organization, National Keratoconus Foundation, to help improve patient awareness.

Additionally, Glaukos has reinvested approximately 35% of global sales into research and development activities over the last five years to relentlessly advance the treatment of ophthalmic diseases and disorders. Furthermore, given the significant lifetime cost-savings per patient and the broad reimbursement available for our products, we are confident that Glaukos' therapies represent valuable treatment options for patients suffering from chronic eye diseases.

# ACCESS, AFFORDABILITY, AND PRICING

## Access, Volunteerism, and Charitable Giving

In the United States, Glaukos is committed to providing patients access to our Glaucoma and Corneal Health technologies by:

- Ensuring that payers understand the social and economic value of preserving sight and including Glaukos' treatments in their members' benefits;
- Collaborating with patient advocacy organizations to educate and empower their members to seek and receive sight-preserving treatment options;
- Helping patients understand their diagnosis and assist with navigating their treatment journey;
- Offering a Patient Savings Program (PSP) to assist commercially insured patients' with their out-of-pocket cost burden; and
- Providing donated products via programs for qualifying under-insured and uninsured patients who fall below 400% of the Federal poverty income level.

Internationally, Glaukos is committed to providing access to our technologies by:

- Donating devices to surgeons doing missions in 48 different countries in collaboration with 120 charity organizations in order to help underserved glaucoma patients;
- Fostering and expanding a robust network of ophthalmologists who do surgical missions and, where applicable, connecting them with local international resources; and
- Establishing surgical training opportunities for untrained surgeons in international countries who often become the first MIGS surgeons in previously unreachable countries and regions.

We began to distribute our *Photrex* kits through specialty pharmacy channels in 2022 and utilize vendors to help administer and streamline our PSP. Those changes resulted in greater access to the PSP for patients and in some cases, provided patients with a zero out-of-pocket cost burden for this product. Glaukos partners with high-risk patient groups to provide support and raise awareness. For example, in April 2022, Glaukos provided monetary support for pediatric screening programs for Syrian refugees in Jordan.

## ASSISTING UNDERSERVED REGIONS

The Glaukos Foundation helps to preserve vision for individuals in underserved regions around the world through donation of our products to humanitarian organizations.



120

Organizations we have partnered with to assist underserved regions



48

Countries where our donations have helped patients in need



8,398

Glaukos products donated for use in underserved regions through 2022

# ACCESS, AFFORDABILITY, AND PRICING

Because individuals with Down Syndrome have a higher risk of developing keratoconus, Glaukos partners with the National Down Syndrome Society to raise awareness and encourage early diagnosis and treatment.

Further, volunteerism and charitable giving are inextricably tied to our Company culture and an emphasis on the accessibility of our products. One of the main components of Glaukos' ethos is giving

back. Company employees receive 16 hours of paid Volunteer Time Off (VTO) annually to encourage giving back to the communities that we serve. Additionally, employees can donate their Paid Time Off (PTO) to a general PTO bank that we use to assist employees in need but who may not have PTO available to use. As of December 31, 2022, over 3,000 hours of PTO have been donated and over 560 of those donated hours have been distributed to employees who were seriously ill or injured or experienced hardship, including the loss of a loved one, since we introduced the program in 2017. This program allows us to support each other in times of need.

## Glaukos Charitable Foundation

The Glaukos Charitable Foundation (Glaukos Foundation), a qualified 501c (3) tax-exempt organization, supports our charitable endeavors. The Foundation's mission is to support charitable organizations and programs designed to improve the well-being of humanity worldwide.

It administers Glaukos' philanthropic activities and creates a systematic and efficient process to distribute philanthropic dollars, aligned with our mission. Through various outreach programs, the Glaukos Foundation also connects Glaukos

## MISSION DONATIONS

Since 2012, the Haiti Eye Mission has conducted annual mission trips to Haiti's Pignon region. It is the only eye care team that travels to this region of approximately 250,000 people with an average annual per capita income of \$200. The team, led by Dr. Lance Bergstrom, treats more than 1,400 residents each year, providing eye screenings, cataract and glaucoma surgeries, and medical care for a range of eye diseases. The effort requires approximately \$2 million in donated medicines, medical devices, and supplies. Glaukos is proud to support the Haiti Eye Mission's vital, sight-saving work through donations of *iStent* and *iPrism* Glaucoma technologies.

Quoting Dr. Bergstrom, *"It is difficult to put into words the great need and relay the impact we are able to make in just a few short days. When we hear the stories of each person, it is energizing to see how lives are being changed right in front of us. The excitement and pure gratitude expressed by the patients is the reason we know our mission needs to continue. We can't stop until every need is met and every patient served. Haiti Eye Mission is about our team, volunteers, and sponsors alike, making a measurable difference!"*



# ACCESS, AFFORDABILITY, AND PRICING

employees with opportunities to volunteer or contribute to the improvement of the lives of others.

## Progress Toward our Goals

### 2022 Goal

Increase communication and education efforts around Glaukos' Patient Assistant Program in the U.S., as well as donations of our products to underserved patients globally

To ensure that our sight-preserving products are accessible to patients from underserved populations, Glaukos has established a culture of giving through our Glaukos Patient Assistance Program. In 2022 Glaukos provided about 2,000 *Photrexa* kits to uninsured individuals for the treatment of keratoconus.

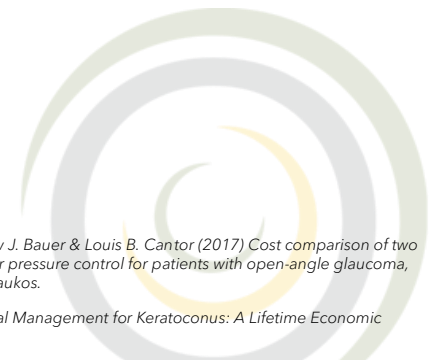
In conjunction with the launch of our GPS, we were able to increase our direct communications with patients about available assistance programs. We also donated more than 500 *iStents*, as well as related accessories, to benefit underserved glaucoma patients across the globe. Additionally, we have partnered with 120 humanitarian organizations in 48 different countries, through which we supply Glaukos products and other financial contributions.

Through outreach to ophthalmological charity organizations at academic conferences, as well as

individual meetings with physicians affiliated with ongoing mission trips, we were able to organically grow the number of countries served and partnerships with humanitarian organizations. We also increased our internal communication with employees to better educate them on the availability of these philanthropic efforts.

Our overall goal with respect to Access, Affordability, and Pricing is to continue to support multiple assistance programs by providing products to support underserved patient populations as well as to donate our employees' time and Company resources to institutions that focus on the betterment of humanity.

1. John P. Berdahl, Anup K. Khatana, L. Jay Katz, Leon Herndon, Andrew J. Layton, Tiffany M. Yu, Matthew J. Bauer & Louis B. Cantor (2017) Cost comparison of two trabecular micro-bypass stents versus selective laser trabeculoplasty or medications only for intraocular pressure control for patients with open-angle glaucoma, *Journal of Medical Economics*, 20:7, 760-766, DOI: 10.1080/13696998.2017.1327439. Funded by Glaukos.
2. R. Lindstrom, J. Berdahl, E. Donnenfeld, V. Thompson, et al. Corneal Cross-Linking versus Conventional Management for Keratoconus: A Lifetime Economic Model. *J Med Econ* 2020. Funded by Glaukos.





## SOCIAL



Our people are the greatest asset we have. We are committed to making Glaukos an engaging, diverse, and safe place to work.



Completed
  On Track
  Partially Completed

New 2023 goals in bold

	GOALS SET IN 2022	YE 2022 STATUS	GOALS SET IN 2023
TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION	Based on the 2022 Great Place to Work engagement survey results, identify areas of opportunity; communicate and measure progress against improvement areas in 2023	<span style="display: inline-block; width: 10px; height: 10px; background-color: #34495e; border-radius: 50%; border: 1px solid #34495e; margin-left: 10px;"></span>	Based on this year's Great Place to Work engagement survey results, identify areas of opportunity; communicate and measure progress against improvement areas in the following year
	Implement flexible work arrangements in 2022	<span style="display: inline-block; width: 10px; height: 10px; background-color: #34495e; border-radius: 50%;"></span>	<b>Expand leadership and employee development for targeted employee groups with the addition of at least three new programs; report employee hours of training globally and learning outcomes for applicable programs by 2024</b>
DIVERSITY AND INCLUSION	As led by DEI forum, identify and implement at least two company-wide initiatives and success measures that will expand Glaukos' approach to diversity, equity, and inclusion by 2024	<span style="display: inline-block; width: 10px; height: 10px; background-color: #34495e; border-radius: 50%; border: 1px solid #34495e; margin-left: 10px;"></span>	As led by our DEI Forum, identify and implement at least two company-wide initiatives and success measures that will expand Glaukos' approach to diversity, equity and inclusion by 2024
WORKFORCE HEALTH AND SAFETY	Conduct an annual health and safety risk assessment and implement at least one new initiative annually to mitigate the top identified risk	<span style="display: inline-block; width: 10px; height: 10px; background-color: #34495e; border-radius: 50%;"></span>	Conduct an annual Health and Safety risk assessment and implement at least one new initiative annually to mitigate the top risk identified

# TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

*Developing and implementing global strategies for attracting, developing, and retaining workers, including offering market-competitive compensation, bonuses, benefits, and equity at all levels in the Company for eligible employees, providing career path opportunities and promoting employee satisfaction.*

GRI 3-3; GRI 401-1; GRI 401-3; GRI 404-2; GRI 404-3

Glaukos' success depends on the attraction, development, engagement, and retention of talented individuals in the global markets where we compete. We foster a culture of diverse and engaged people, and we promote an inclusive and collaborative environment that is critical to achieving our strategic plan and business success.

## Management Approach

Glaukos is a rapidly growing company. Creating and maintaining a positive workplace culture is vital to attracting and retaining talented employees. Our ability to execute our strategic vision depends upon the talented individuals we employ. Glaukos seeks to create an experience that enables our employees to focus on our shared goal of improving the lives of patients and developing transformative technologies. For more information on our efforts to create a comprehensive, cohesive, and positive employee experience, please see our [2022 Form 10-K](#).

Glaukos' leadership team and our Human Resources department use two frameworks to influence and advance our talent strategies and actions. The first model, which we refer to as the People/Talent Wheel, considers how business strategy impacts five people-related approaches: Talent Acquisition, Onboarding, Development, Engagement, and Retention. The second model, the Talent Ecosystem, collects information on our quarterly Career and Performance Check-Ins. The Talent Ecosystem helps leaders represent employees at Talent Calibration meetings, which influences how we identify successors and prepare them for future roles.

In 2022, Glaukos developed and implemented a People and Talent Strategy designed to support and directly align with our business strategy. Each focus area helps prioritize supporting programs, resources, and leadership to provide an exceptional employee experience in which people want to work, grow, and stay. In 2022, we also designed our Job Leveling Framework, which will be implemented in 2023. This process uses a common set of criteria to consistently

## PEOPLE/TALENT WHEEL



assign job titles and levels and calibrate each job in the company. The guide contains detailed criteria for each level in our framework and is used as a guidepost to provide managers and employees with criteria to create a pathway towards development and promotion. This process supports many Glaukos values and business objectives including career development and competitive compensation and helps maintain a high caliber of talent at each level. Job Leveling is expected to support improved employee engagement, satisfaction, retention, and overall productivity. We regularly seek input and feedback from internal and external stakeholders to make



# TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

changes and improvements to our people and talent strategy, programs, and tools. For example, we surveyed and led focus groups with new employees to discuss their orientation and onboarding experience.

Through this engagement, we gathered valuable feedback on how to improve onboarding for new employees. Additionally, when designing major learning and development programs such as Launch and Leader Lab – two global leadership development programs designed to strengthen leader effectiveness – we use target audience employee input and focus groups to create strong and engaging programs. We engaged a third-party consultant to work with past participants of our Leader Lab and gather feedback to improve the content and design of the program. Senior leaders review people, talent statistics, and programs with

our Board of Directors at least twice per year. Members of management participate in shareholder outreach calls and meet with our top institutional investors. Additionally, the annual Great Place to Work survey provides rich qualitative and quantitative data and has influenced several changes and additions to benefits, training, and workplace amenities.

## The Glaukos Culture

In 2022, Glaukos proudly formalized and launched our company Values. Aligned with external branding, the three Values – Dream, Lead, and Care – describe and embody the spirit and behaviors uniquely important to Glaukos. Our Values are incorporated and referenced throughout the Talent cycle, from recruiting to onboarding to engagement and retention. The quarterly DARE

Awards recognize Glaukos employees whose actions, behaviors, and achievements exemplify Dream, Lead, and Care. Sponsored by CEO, Tom Burns, the Senior Leadership Team reviews and approves award winners. Since its inception in May, 100 DARE Award nominations have been submitted, and 32 employees have received recognition and cash bonuses at quarterly All Hands meetings.

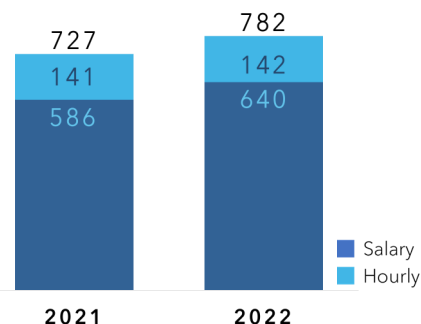
Glaukos values employee feedback, which is why, for the second year, Glaukos participated in the Great Place to Work employee survey. Eighty-three percent of our employees completed the survey. Eighty-nine percent the respondents said Glaukos is a great place to work compared to 57% of employees at a typical U.S.-based company. Based on the survey results, our top strengths include pride in our company, fairness and how people are treated, management and leadership integrity, and employees feeling they can be their true selves. Conversely, while the score for learning and development increased from 2021 results, employees continue to seek additional learning, training, and career opportunities. Based on quantitative data and qualitative employee comments, Glaukos implemented several improvements and changes in 2022 benefits, PTO, and workplace amenities.

## Employee Wellness, Benefits, and Compensation

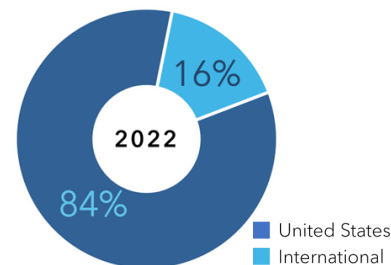
Glaukos recognizes that our nearly 800 employees

### EMPLOYEE STATISTICS

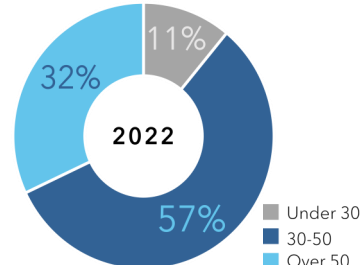
Total:



By Geography:



By Age:



# TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

have a wide range of needs and wants related to benefits and wellness; therefore, we regularly review, modify, and add a suite of competitive employee wellness, benefits, and compensation approaches. Our Global Total Rewards approach plays a vital role in attracting, maintaining, and retaining a healthy and satisfied workforce.

**Compensation.** We apply the following principles to help achieve consistent fair compensation packages that reward performance:

- Base salaries, discretionary bonuses and benefits packages are based on, competitive

in, and appropriate for, each of the markets where we compete for talent.

- Individual performance with balance of short- and long-term objectives.
- Compensation that encourages behaviors that are consistent with our values.
- Processes to ensure consistency in compensation across similar roles in relevant markets regardless of race, ethnicity, or gender. Please visit the Diversity and Inclusion section of this report to learn more about our commitment to pay equity.

Glaukos executive compensation programs are designed to attract and retain high-caliber executives. The executive compensation programs link the executive management team to shareholder interests. Glaukos executives receive base salaries and employee benefits that are market competitive. A significant portion of the annual compensation for our executive leadership team is based on the Company's annual business performance and everyone's contribution to that performance. The executive compensation programs provide the opportunity for our executive leadership to be rewarded for achieving short- and long-term results. For more information about our executive compensation program, please see our most recent [Proxy Statement](#).

## VALUES IN ACTION



The Glaukos DARE awards recognize employees whose actions, behaviors, and achievements exemplify the Company's core values of *Dream, Lead, and Care*. For example, in August, a team received a *Dream* award to recognize their approach to innovation. The group of five bonded to find a collaborative solution between microbiology, engineering, CMC (chemistry, manufacturing and controls), analytical testing, and quality control. The team was able to develop new engineering tools and test methods to develop and validate a successful test that was reviewed and accepted by the FDA.

Another important component of our total compensation approach is to enable employees to build an ownership stake in our Company.

We operate with several programs to enable ownership in the Company:

- Glaukos' long-term incentive program provides for grants of restricted stock units (RSUs) to eligible employees. Over time, when the awards vest, they are paid out in shares of Glaukos common stock (country specific exceptions may apply). In the United States,

# TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

## SPECIAL EVENTS



The Glaukos culture is defined and shaped in small but historically important ways through contests, games, and recognition like Halloween costume contests, Friday Food Trucks at the U.S. offices, holiday decorating, a day off on *Glaukos Day*, and Blueboard awards for milestone service anniversaries. Employees regularly cite these special, fun events as part of what attracts and keeps them at Glaukos.

*CEO Tom Burns (aka Santa) greets a child at a 2022 employee event.*

employees at every level within the organization received a new hire grant when they were hired and are eligible for additional RSUs during our annual merit cycle.

- Glaukos offers employees the opportunity to purchase Glaukos stock at a discount through the Employee Stock Purchase Plan (ESPP). The ESPP is available to any employee or personnel hired through a professional employer organization worldwide who customarily works at least 20 hours per week. As of December 2022, 69% of eligible personnel participated in the ESPP program.

**Wellness and Benefits.** Glaukos takes a holistic approach to employee well-being that is tailored to each market in which we have employees. We offer programs that support a work-life balance and

promote good health and mental well-being. Glaukos offers an Employee Assistance Program (EAP) to all global employees and their family members. EAP provides health and wellness resources including:

- Counseling services for emotional care.
- Ways to manage stress and anxiety during uncertainty.
- Financial and legal planning resources.
- Local resources, including where to find childcare and elder care.

We review our global programs periodically to ensure competitiveness within our industry. International employee eligibility for non-salary benefits follows local regulations and practices.

We offer the following benefits in the U.S.:

- Healthcare Benefits that are designed to support the wellness of our employees. This includes medical, dental and vision insurance, Health Savings Account (HSA) with an employer contribution, limited purpose flexible spending accounts, and the ability to access virtual health services. Glaukos pays 100% of vision insurance in the U.S. and provides a second pair of glasses or contact lenses annually.
- Insurance Benefits to ensure that those that rely on Glaukos employees for support can help protect their family financial security. This includes Company paid Life/AD&D and long-term disability, paid short-term disability, voluntary supplemental life, critical illness, and hospital indemnity insurance.
- Retirement Benefits to allow employees a tax-advantage way to save money so they can achieve their retirement goals. Glaukos offers a 50% match of the first 6% of annual salary that employees contribute.

In addition to our Wellness Reimbursement Account, other wellness initiatives included onsite COVID-19 and flu shots for 92 employees in our U.S. offices, biometric screenings, and implementation of Wellness Wednesday massage therapy.

As we continue to expand outside the U.S., Glaukos regularly reviews and enhances our benefits to be competitive with much larger companies. In 2022



# TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

we improved pension benefits in the UK, launched pension benefits in Germany and France, and introduced supplemental health insurance in the UK and France. Depending on their role and the country in which they work, employees across the world have access to flexible and hybrid work options. Globally, we offer Time Off Programs that allow employees to refresh and spend time in the community volunteering, paid Company holidays, Company-paid bereavement, maternity and parental leave as well as Company-paid Leaves of Absence for employees and their dependents with qualifying disabilities.

Inspired by feedback from the Great Place to Work survey, in 2022 Glaukos implemented a global week-long shutdown the week of December 26-30 with no PTO required, in most countries, to be used. Employees in certain functions were required to work during the shutdown and were issued

**We also expanded parental leave to all regular full- and part-time employees globally. In 2022, we eliminated the minimum eligibility requirement of one year of employment with Glaukos, making this benefit more accessible.**

equivalent holiday credits to be used at another time. Glaukos supplements disability insurance proceeds, PTO, and leave-related payments to provide up to 12 weeks of paid disability, maternity, and baby bonding for adoptive parents. Employees returning from a qualified paid leave of up to 12 weeks are given full merit, bonus, and equity consideration and will not have their compensation automatically pro-rated. In addition, we offer two weeks of parental leave for baby bonding for a

non-birthing parent, which includes state-registered domestic partners.

## Employee Attraction

In 2022, Glaukos continued to use our unique culture, product pipeline, and ever-expanding benefits to attract the best people. The competition for skilled talent remains high, and our employee value proposition allows Glaukos to compete successfully against much larger medical device and pharmaceutical companies. Glaukos implemented a hybrid/remote work policy, and we offer fully remote work for certain roles. Our Talent Acquisition team works directly and closely with business leaders and hiring managers to develop sophisticated talent pipelines, candidate pools, and interviewing approaches. Our job postings and outreach efforts include diversity- and minority-focused groups and organizations, veterans, and women-focused groups and associations. In 2022 we began partnering with a veteran's organization that helps match veterans with employers.

## Employee Growth, Development, and Retention

We work to provide employees with the skills and tools needed to reach their career goals. Formal learning and development are available in functional and technical areas like departmental and functional training in Clinical, Commercial, and



**In September 2022, Glaukos implemented a Wellness Reimbursement Account designed to promote a healthy lifestyle and support employee well-being. The program reimburses members for eligible health and wellness-related activities, including gym membership fees, fitness activities and equipment, mental health support, and financial wellness support.**

# TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

## CULTURE OF VOLUNTEERISM AND GIVING

In 2022, employees around the globe volunteered for a variety of organizations, many using the Glaukos benefit of 16 hours of PTO. In total, employees raised over

\$75,000 for worthy organizations. Several examples of employees giving back are highlighted here.

### UNITED STATES AND CANADA

Adopted 68 families through Families Forward, Beyond Blindness, and other organizations

Packaged 9,500 meals for children for distribution by Rise Against Hunger

Packed 1,750 food boxes for the OC Food Bank and fed over 277 families through volunteer events at Serra's Pantry

Donated backpacks for Boson-area schoolchildren filled with notebooks, sanitizer, and other necessities



### EUROPE

Adopted 60 families in the UK through Variety, the Children's Charity

Prepared holiday boxes filled with gifts of clothes, tea, soap, books, card games, and candies for distribution to people in need by French social services organization, L'île de Solidarité

Donated 1,200 cans of food to local charities following a team-building content to create replicas of famous monuments with the cans



### AUSTRALIA / NEW ZEALAND

Adopted 50 families and donated to The Food Bank Australia, The Salvation Army, Brisbane Basket Brigade, RizeUp Australia, The Auckland City Mission, and others



# TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

Quality. iLearn, our global Learning Management System, is available in seven languages and offers over 15,000 learning activities for employees to enhance their skills. In 2022, Glaukos employees engaged in over 3,200 hours of documented learning and development across activities and programs in a variety of business, financial, technical, interpersonal, and leadership topics. A variety of Good Practices Quality and Compliance training was completed by 954 employees, temporaries, and contractors.

Research indicates that the quality of orientation and longer-term onboarding has a significant, positive impact on employee engagement, retention, and productivity. Based on new employee feedback surveys and focus groups conducted in late 2021 and mid-2022, Glaukos significantly improved its orientation and onboarding. Highlights include improvements to the look and content of the interactive orientation, a customizable onboarding guide for new employees and their managers, one-on-one assistance with benefits enrollment, and a pilot of an improved "Glaukos Product and Disease State Training," a class that provides all employees with useful information on Glaukos' unique products.

Within certain departments, we offer formal on-the-job training. Our commercial organization requires all sales representatives globally to complete and be certified on a multi-day basic training. As part of their ongoing product knowledge, Sales personnel

receive regular product training live and through our Learning Management System, iLearn. Our Clinical team has dedicated trainers to support consistency across those employees monitoring our studies. As part of our commitment to quality, all employees directly involved in the manufacturing process complete quality-specific training to ensure we maintain the highest-quality product.

**Glaukos' signature leadership development programs, Leader Lab and Launch, continued in 2022. Leader Lab was offered to four cohorts of experienced managers through senior directors to strengthen their ability to facilitate performance, career, and development discussions effectively.**

In Leader Lab, leaders learn, practice, and apply facilitative coaching and two models for giving and receiving feedback. Launch was offered to three cohorts of leaders new to management. Launch offers both basic leadership development skills and management skills related to employee relations and legal requirements. A third-party consultant had one-on-one calls with prior Leader Lab participants and gained valuable insight about the program's strengths and areas to improve.



We also support our employees' growth by offering them opportunities to pursue continuing education through Glaukos' Tuition Reimbursement Program. U.S. employees who work 32 hours or more per week are eligible to be reimbursed for a qualified degree or certificate programs.

Since its implementation in 2020, employees have received \$150,000 in tuition reimbursement. In 2022, 18 employees received over \$65,000 in reimbursement towards MBAs, Associate's and Bachelor's degrees, and Certifications.

# TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

Leader Lab 2.0 will be launched in May 2023 using that insight. In 2023, we will add five new leadership and interpersonal skill development classes and resources and pilot Lift, a high-potential development program for emerging leaders.

At Glaukos, our performance management philosophy focuses on current and forward-looking discussions that take place, at a minimum, quarterly to give employees and managers a formal time to talk. We refer to this as our Check-In Process.

During Check-Ins, managers and employees discuss performance goals and personal career and development goals. All employees and their managers have access to tools and templates to create and update their performance, development, and career goals. One module in Leader Lab focuses on teaching people leaders how to better facilitate Check-In conversations. To keep a pulse on Check-Ins, we conduct quarterly surveys that ask if employees have had meaningful Check-In conversations with their managers. In 2022, 88% of employees who completed the survey indicated they had a meaningful discussion with their supervisor.

To further support our employees, we also provide a Career and Performance Check-In job aid that has tips and suggestions about how to write and

update goals and how to have meaningful career discussions. Employees and managers work together to create goals that help employees pursue career development and promotion. Where appropriate, Glaukos does regular skills assessments to identify potential skill gaps within specific departments. If we identify a gap, we work with leaders to address it either through succession planning or targeted external recruitment efforts. The Succession and Talent Calibration process identified critical roles and successors and the continually updated data was used to influence promotions and development. We continue to enhance and update Succession and Talent Calibration processes and intend to facilitate a formal update in early 2023.

## CAREER DEVELOPMENT



Johnny Le joined Glaukos in February 2014. Hired as a shipping clerk, he was promoted several times, ultimately to Lead Manufacturing Technician. While Johnny loved what he was doing, he decided that his longer-term career goal was in Sales or Marketing. After career and development conversations with peers and senior leaders, Johnny created a two-part career and development plan that included a shift in his role from Manufacturing to Commercial and to obtaining a

*Johnny Le, Glaukos Customer Service Representative*

college degree. In May 2022, he received his Bachelor's in Business Administration and started a new job in Customer Service to give him direct exposure to his new field.

Johnny notes that the financial and career support he received from Glaukos helped him achieve his goal. *"The Tuition Reimbursement Program paid for nearly my entire degree. And the coaching, mentoring, and encouragement from colleagues – HR, peers, and leaders – was invaluable."*



# TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

The Board of Directors reviews Executive Succession Planning annually and some employee level Succession and Talent Calibration outcomes were highlighted during the annual, robust executive succession program communicated to the Board of Directors in June. In April, we executed several promotions and executive changes that had been anticipated and planned as part of the Executive Succession Planning process. Despite a very competitive global talent market, Glaukos' overall global retention improved by 1.9% from 2021, to 88.4%. We believe that our focused efforts to develop talent, enhance employees' skills, and pay competitively, in addition to the variety of ways to seek and act on employee feedback, have offered Glaukos an advantage to retain the top talent that works here.

## Progress Toward Our Goals

### 2022 Goals

Based on the 2022 Great Place to Work engagement survey results, identify areas of opportunity; communicate and measure progress against improvement areas in 2023

Implement flexible work arrangements in 2022

As a result of our annual Great Place to Work survey, Glaukos took several actions in 2022 in support of employee feedback. We implemented Wellness Reimbursement Accounts, expanded leadership development, enhanced maternity and medical leave, implemented a company-wide Holiday Shutdown and enhanced amenities at headquarter locations.

In April 2022, we officially moved into our new Aliso Viejo headquarters and implemented our hybrid work policy for eligible positions. To support the return to the office, we supported employees with a toolkit in iLearn, our Learning Management System, called "Working in a Hybrid World." This training was available to all employees globally.

In 2022, Glaukos offered all supervisors through senior directors to participate in its two leadership development programs – Launch and Leader Lab. In 2022 we invited and tracked those individuals. Sixteen of 25 eligible leaders completed Launch and 45 of 78 eligible leaders completed Leader Lab.

We are proud of the progress we made in 2022 and aim to continue that progress by continuing implementing feedback from our Great Place to Work survey in 2023 and expanding leadership and employee development opportunities.





# DIVERSITY AND INCLUSION

*Create and implement a lens of diversity, inclusion, and non-discrimination across the company and throughout the talent lifecycle.*

GRI 3-3; GRI 405-1

At Glaukos, we believe that broader perspectives increase our ability to drive innovation. We have sought to create a culture that positively impacts our employees' lives and understands the power of diversity and the importance of an environment that respects everyone's identity. We aim for all employees to feel valued for who they are and the unique perspectives they bring.

## Management Approach

Each Glaukos employee brings a different background, set of skills, and perspective. Our diversity propels creativity and innovation, resulting in increased value for Glaukos.

The DEI Forum, created in 2021, is comprised of 10 employees who represent a mix of genders, ethnicities, geographies, and functional areas.

The Forum met six times in 2022 and is sponsored by our CEO Tom Burns and chaired by our Senior Vice-President, Human Resources, and our Chief Development Officer. The Forum is a community of colleagues who embrace the rich perspectives and experiences that arise from racial, ethnic, socio-economic, sexual, gender, physical, and religious diversity. The Forum exists as an advisory group to:

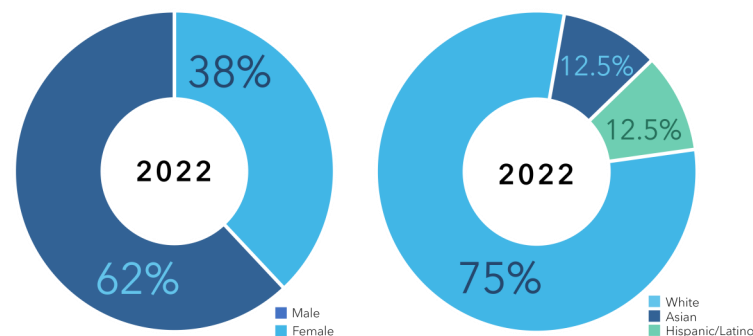
- Understand our current Diversity, Equity, and Inclusion culture.
- Discuss and recommend new and better resources, tools, and behaviors that nourish a rich Diversity, Equity, and Inclusion culture—one in which everyone is comfortable at work as their authentic selves.
- Act as visible Diversity, Equity, and Inclusion ambassadors across Glaukos.

The Glaukos Human and Workforce Rights policy and Affirmative Action and Equal Opportunity (EEO) Policy ensure every employee feels safe and welcome at Glaukos. In the EEO Policy, we affirm that Glaukos is an equal opportunity employer and that we will take the following steps to pursue a diverse and equitable workforce: Glaukos recruits, hires, assigns, promotes, sets compensation, and takes all other employment actions without regard to race, national origin, religion, age, color, sex, sexual orientation, gender identity, disability, protected veteran status, or any other characteristic protected by local, state, or federal laws, rules, or regulations.

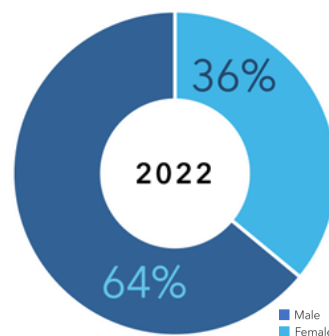
Glaukos uses the lens of DEI throughout the recruitment process. We participate in targeted recruitment of minority, women, veteran, and

## DIVERSITY STATISTICS

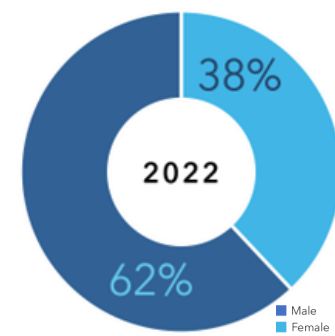
Board of Directors by Gender and Race/Ethnicity:



Senior Management by Gender:

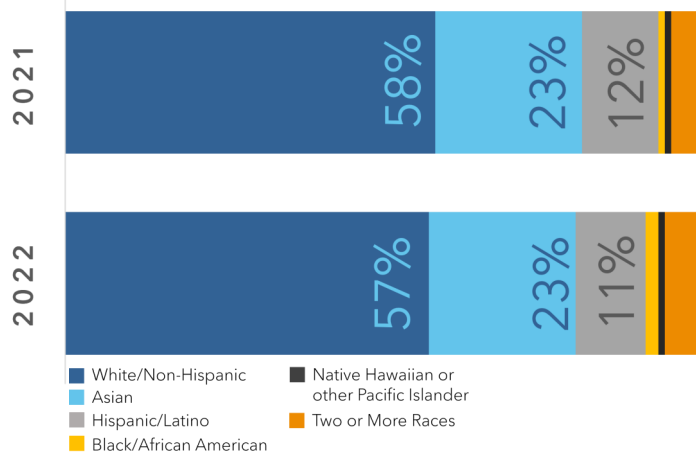


Global Workforce by Gender:



# DIVERSITY AND INCLUSION

## U.S. WORKFORCE BY RACE/ETHNICITY



disabled job seekers by funding online efforts. We also partner with a third-party service, Circa, to pull job openings from our website and disperse them through its Community and Diversity Outreach Program to encourage diverse applicants in our hiring process. Additionally, when creating job ads, we use a gender decoder to maintain gender neutrality and increase accessibility for diverse groups. Through these efforts, we seek to increase representation in the applicant pool for all workforce levels, including senior management. These efforts help us achieve our commitment to appropriate gender and minority representation within the workforce.<sup>1</sup>

Research indicates that new hires, especially those who consider themselves a minority, are more likely to be slow to acclimate or potentially leave a company if orientation and onboarding are weak. To increase minority employee retention, we enhanced orientation and onboarding systems and processes, utilizing the expertise of a cross-functional team of colleagues responsible for the end-to-end

onboarding process. Glaukos believes effective onboarding and orientation are particularly critical to DEI initiatives.

Our compensation approach promotes similar pay across similar roles in relevant markets. As a result, Glaukos is focused on compensating employees based on the work they do, regardless of race, ethnicity, or gender.

We are committed to equal pay for equal work. To advance our commitment to internal pay equity and transparency, Glaukos conducts an annual pay equity analysis to evaluate the distribution of merit, bonus, and RSUs. We regularly evaluate pay practices in connection with new hires, promotions, and our annual affirmative action program. If we identify any gaps in pay equity, that information is shared with business leaders and addressed accordingly. Starting Jan. 1, 2023, California employers with 15 or more employees are required to include a position's salary or hourly wage range (not including bonuses or equity-based compensation) in any internal or external job posting. For increased transparency Glaukos discloses wage ranges for all posted positions in the U.S. To cultivate an inclusive environment for all employees, in the U.S., we offer benefits that support a range of employee living situations, personal needs, ages, genders, and orientations. Our comprehensive wellness, healthcare, and other benefit offerings support DEI through:

- Fertility and family planning
- Parental leave policies
- Healthcare for common-law partners and spouses
- Subsidized backup childcare
- Child and elder care resources
- Flexible work options

# DIVERSITY AND INCLUSION

We designed the Aliso Viejo buildings to meet the Americans with Disabilities (ADA) code requirements as well as the current California Building Code (CBC). The workstations and private offices were designed to have the same features (height adjustability, ergonomic chairs, and dual monitors) throughout. We provided ample collaboration and a variety of meeting spaces to provide optionality for the employees and give them a variety of workspaces to choose how and where they want to work while on campus. The Wellness Rooms are in common areas and accessible for all employees to utilize and can be used for various reasons (nursing mothers, meditation, prayer, quiet space, etc.). The common areas of the building are centrally located for ease of use by all the occupants.

Glaukos is committed to embedding diversity and inclusion into the culture of

our organization and our employee development opportunities. Our Senior Director, Talent and Learning is a Certified Diversity Professional (CDP) and is responsible for overseeing our development programs. Our global Learning Management System, iLearn, has dozens of DEI-specific courses in multiple languages available free of charge to all employees. Additionally, our leadership development program, Leader Lab, focuses on coaching leaders to be more inclusive. Through this program, leaders learn facilitative leadership skills and feedback tools to create a more inclusive workplace. Our commitment to DEI is evident in the 2022 Great Place to Work survey results. Glaukos demonstrated especially strong performance with a 94% positive rating for two DEI-related statements: "People are treated fairly regardless of their sexual orientation" and "People are treated fairly regardless of their race." We aim to continue being a place where employees feel welcomed and included.

## WOMEN AT GLAUKOS

Using insights and data from the Great Place to Work survey, Glaukos hosted two events focused on women. The first was a lunch held in August for all women attending the Glaukos European Sales Meeting. Diane Biagianti, Senior Vice President, General Counsel, and Michele Allegretto, Senior Vice President, Human Resources hosted 16 women from

eight countries. Also featured were four female Vice Presidents. Participants broke into small groups to network, discuss a range of relevant topics, and exchange ideas.

In December, we hosted a second event for and by women, with more than 100 in-person and virtual attendees. Our female board members – Denice Torres, Aimee Weisner, and Dr. Leana Wen – conducted a panel discussion entitled *Women and Careers*. In a lively, interactive forum, the board members shared their insights and experiences on navigating career management, managing work-personal life balance, gaining

sponsorship, finding your voice, and asking for what you want. Based on the success of these events, in 2023 we will offer more enhanced programs and resources for women globally to share, learn, and grow.



Dr. Leana Wen



Denice Torres



Aimee Weisner



# DIVERSITY AND INCLUSION

## Progress Toward our Goals

### 2022 Goal

As led by DEI forum, identify and implement at least two company-wide initiatives and success measures that will expand Glaukos' approach to diversity, equity, and inclusion by 2024

In 2022, the DEI Forum analyzed and identified three primary focus areas to concentrate on:

- **Why DEI.** A formal communication led by our CEO and Forum co-chairs to explore and describe what DEI means and why it is important to Glaukos. "Why DEI" will begin in February 2023.
- **DEI Communication.** The Forum will work with corporate communications and colleagues to share progress and updates internally and externally about Glaukos' unique approach to DEI beginning in 2023.
- **DEI Learning and Training.** The Forum will identify and sponsor a variety of learning and development resources and tools for employees to understand and apply important DEI-related concepts and behaviors at work that will be implemented in 2023 and regularly updated.

We aim to implement these initiatives in 2023 and 2024 to create positive change in our organization.

1. Our EEO-1 report for 2021 is available [here](#).



# WORKFORCE HEALTH AND SAFETY

*Creating a company-wide culture of diversity, inclusion, and non-discrimination, including in the hiring process. Supporting healthy habits and building policies that promote occupant health and well-being holistically to help enhance performance and attendance.*

GRI 3-3; GRI 403-2; GRI 403-3; GRI 403-5; GRI 403-7; GRI 403-9

The health and safety of our workforce is a top priority to Glaukos. Through strong management of workforce health and safety, we can continue to avoid injury and illness, while fostering an environment that promotes physical safety and overall well-being to positively impact the lives of our employees.

## Management Approach

We take great pride in creating a safe environment for our employees and prioritizing proper oversight to ensure the health and safety of our workforce. We believe a safe working environment will improve employee retention, productivity, and satisfaction. Our Senior Manager of Environmental Health & Safety (EH&S) is responsible for overseeing daily responsibilities related to employee health and safety. The EH&S Senior Manager reports directly to the Senior Vice President of Operations. All our facilities, which include administrative, laboratory, and manufacturing space, are designed to ensure safety for our employees and visitors. Glaukos enacted and enforces the following policies intended to promote safety for our employees:

- Hazardous Waste Handling and Disposal
- Laser Safety
- Injury and Illness Prevention Program
- Chemical Hygiene Program

## Ergonomic Assessments

Our Injury and Illness Prevention Program is the foundation of our overall workplace health and safety programs. It is aligned to OSHA's Title 8 of the California Code of Regulations (CCR), section 3203. While the program is not required in Massachusetts, we do require elements of it for our Corneal Health Burlington location. The program defines key elements for the organization as it relates to health and safety. These elements include management responsibilities, worker participation (communication), hazard identification and assessment, hazard prevention and control, compliance, and training.

Training our employees on the proper hazard identification and prevention protocols associated with the hazards they may encounter while working with Lasers, handling chemicals, or disposing of hazard waste, is essential to their health and safety. Our Hazardous Waste Handling and Disposal Program, Laser Safety Manual, and our Chemical Hygiene Program provide safety guidance and proper handling techniques when working with Lasers or handling hazardous materials or waste. These programs are compliant with federal, state, and local regulations.

We established a cross-departmental Safety Committee to communicate safety information to their respective teams, act as their department's liaison to bring up safety concerns or questions, and work

in collaboration with the Glaukos EH&S Senior Manager to improve safety within the organization. The Glaukos EH&S Senior Manager conducts risk assessments and institutes controls intended to eliminate hazards and minimize risks.

**Glaukos' dedication to workforce health and safety is reflected in the Company's overall OSHA Recordable Rate (<0.5) and Zero Lost Time incidents since 2020.**

Glaukos is committed to minimizing the risk of employee or contractor fatalities, high-consequence work-related injuries, and recordable work-related injuries, evidenced by our low lost time incident rate. In accordance with Glaukos' Incident Investigation Program, Glaukos investigates the cause and effect of any injury that occurs in the workplace and takes corrective action designed to avoid similar incidents from happening in the future. Root cause analysis is performed using the "5-Whys" process with the goal of identifying the corrective action most likely to prevent reoccurrence.

Comprehensive training is imperative to keep our workforce safe and prevent potential incidents. Every Glaukos employee completes foundational safety training, and many employees receive



# WORKFORCE HEALTH AND SAFETY

additional safety training that is specific to their role. The safety training includes hazard communication, the use of personal protective equipment, injury and illness prevention, emergency response, and standard operating procedures. We train each employee to identify unsafe conditions and encourage them to report safety concerns to their supervisor, Human Resources, or the Glaukos EH&S Senior Manager immediately. We promote an open-door policy, so our workforce feels comfortable reporting safety concerns. We will continue to review measures we can take to maintain our workplace safety and ensure a healthy environment for our employees.

In 2022, we formalized our EH&S inspections focused on high-risk areas such as in clean rooms, warehouse areas, and wet labs within our manufacturing facilities in San Clemente. We have completed 100% of monthly inspections since implementation in February 2022. We currently inspect about 20 areas monthly, paying attention to emergency procedures, general safety areas, and electrical safety. We also conduct safety risk assessments in our highest risk areas, and assess processes and tasks to teach each group how to identify and mitigate risk.

Through these efforts, we increase our focus on taking a proactive approach to health and safety. The program has been successful for the San Clemente site. We've had 100% completion monthly from each of the areas. We will be

expanding the inspection process to our Aliso Viejo site and our Burlington site in 2023.

To maintain a healthy work environment, Glaukos implemented a Communicable Disease and Illness policy. Since 2020, we require all employees upon beginning employment to sign this policy acknowl-

edging their responsibilities as well as the Company's commitment to prevent the potential spread of communicable diseases/illness in the workplace and protect the wellness of our employees.

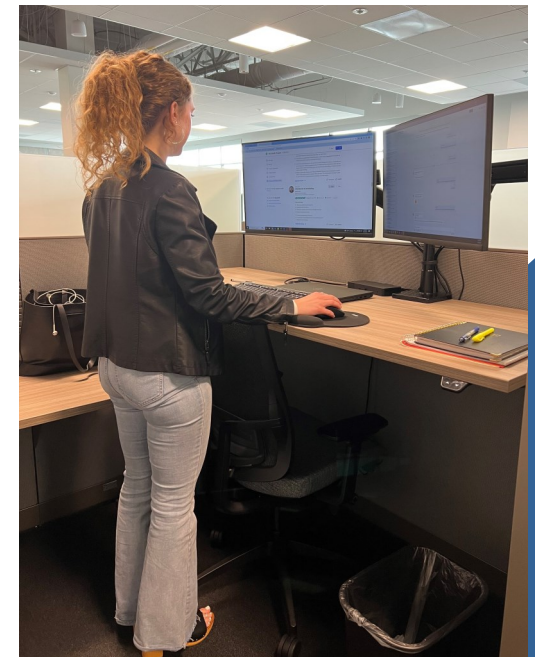
## ERGONOMIC WORKSTATIONS

As part of the remodeling of our Aliso Viejo and Burlington offices, we incorporated ergonomic features into all workstations. Each newly renovated office and cubical received an adjustable-height desk, dual adjustable monitors and ergonomic chair. Similar upgrades are planned for our San Clemente facility.

The Environmental Health and Safety Department conducts ergonomic assessments by request. When conducting these assessments, an ergonomic evaluation form that covers the five major areas of impact is used to provide a comprehensive assessment.

These areas include adjustability of the employee's chair, height and location of the employee's monitors, type and placement of the employee's keyboard and mouse, the employee's work practices and the

employee's environment (i.e., lighting and placement of frequently used items).



# WORKFORCE HEALTH AND SAFETY

We have maintained our increased cleaning frequency at each of our sites and continue to run our heating, ventilation, and air conditioning (HVAC) systems with higher rated MERV 13 filters.

While COVID-19 is not as prevalent as it was in 2021, it remains in the background of our daily business activities. To help limit the spread among our workforce, we have provided onsite COVID-19 vaccinations, continue to follow local requirements for anyone who tests positive, and conduct contact tracing for anyone exposed.

Glaukos continues to focus on the health and safety of its employees, both at work and in their daily lives. In addition to providing its employees in our headquarter locations with onsite vaccination for COVID and the flu, Glaukos partnered with Kaiser to provide participants biometric testing for blood pressure, total cholesterol, glucose, and BMI calculations. Biometric screenings help participants establish a baseline against other potential health issues and provide a clear picture of their overall health.

## Progress Toward our Goals

### 2022 Goal

Conduct an annual health and safety risk assessment and implement at least one new initiative annually to mitigate the top identified risk

In 2022, we set a new goal to implement at least one new initiative each year to mitigate the top risk identified in our annual health and safety risk assessment. As we reviewed past injuries and potential safety risks, we identified our current process of handling and mixing concentrated acids to be an ideal candidate for mitigation.

After receiving regulatory approval, our San Clemente site has begun to use a new pre-mixed, less concentrated acid solution to determine its viability. This target allows us to minimize as much risk as possible to ensure the health and safety of our workforce, which is why we aim to reach this goal again in 2023.



ENVIRONMENTAL



Environmental impact is a fundamental consideration across all Glaukos operations.

GRI 3-3; SASB HC-MS-410a.1



Completed On Track Partially Completed

GOALS SET IN 2022

YE 2022 STATUS

GOALS SET IN 2023

Expand ISO 14001 Certification to Burlington site by 2024



Expand ISO 14001 Certification to Burlington site by 2024

Create GHG inventory for Scope 1 and 2 GHG emissions data by 2023



Create GHG inventory for Scope 1 and 2 GHG emissions data by 2023

# ENVIRONMENTAL

*Decreasing direct and indirect energy usage, improving energy efficiency, sourcing renewable energy, and reducing greenhouse gas emissions generated throughout the value chain. Minimizing operational waste, increasing recycling and reuse rates, and responsible management of hazardous waste. Increasing water efficiency and reducing overall impact on water sources.*

GRI 3-3; SASB HC-MS-410a.1

Environmental impact is a fundamental consideration across all Glaukos operations. From formal initiatives and goals to promoting a culture of environmental consciousness, Glaukos has progressed in our aim to increase awareness of environmental impact while simultaneously decreasing our relative impact.

## Management Approach

Glaukos' Environmental Health and Safety Policy outlines our commitment to protect the environment and comply with applicable regulations and our established internal company management systems. We aim to reduce our impact on natural resources and drive continuous improvement to enhance our environmental performance.

To mitigate our environmental impact, we continue to strive for efficiency throughout our operations, particularly in energy usage in our California facilities which accounts for most of our impact. We comply with California's Title 24 Building Energy Efficiency Standards for new construction and when making building modifications. Our Senior Manager of EH&S is responsible for overseeing environmental compliance associated with waste, emissions, and discharge of chemicals. The Senior Manager of EH&S provides regular reports on environmental-related information to the Senior Vice President of Global Operations.

Glaukos conducts environmental risk assessments

to identify and mitigate risk proactively. We monitor risks to ensure we are in the best position to avoid negative impacts. Environmental risk assessments are part of Glaukos' commitment to continuous improvement. Most of the environmental risks identified by our assessments are negligible and immaterial to our current operations. Nevertheless, we continue to monitor them and assess how our continued growth, as an organization and business, will impact or have already gone through impacts by environmental risks. We also utilize our

Environmental Management System (EMS) to minimize the effect our operations have on the environment. Our San Clemente facility is certified to ISO 14001 Environmental Management System (EMS).

## Climate Change Risks

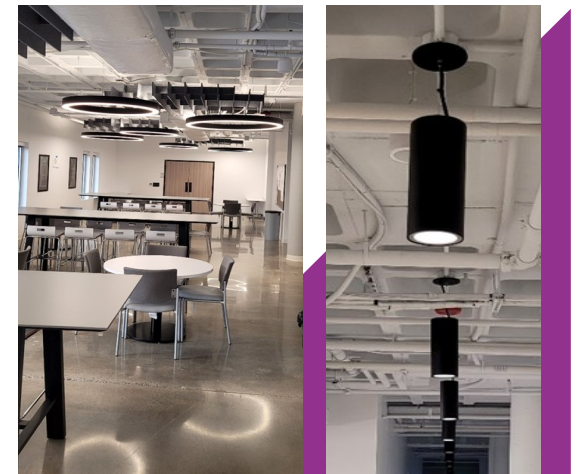
At Glaukos, we are looking to maximize our positive impact on patients with our innovative products while minimizing our environmental footprint.

## EFFICIENT LIGHTING

As part of the recent renovation of our Burlington facility, we launched an initiative to upgrade all interior and exterior lighting to meet current LEED and energy savings programs.

At the end of 2022, all internal lighting had been updated to LED fixtures, which can typically be up to 90% more energy efficient than conventional fluorescent or incandescent light sources. In addition, to further reduce energy consumption, all internal lighting is now controlled through a central, computerized system and the vast majority of the new fixtures include motion sensors. Over the course of 2023, we will work with the property's owner to remove approximately 20

high-powered metal halide fixtures on the building and in the parking lot, and replace them with energy-efficient LED fixtures.



# ENVIRONMENTAL

## EV CHARGING



California, where Glaukos is based, leads the nation in electric vehicle (EV) use, representing 39% of EV registrations nationwide. According to the U.S. Environmental Protection Agency, the GHG emissions associated with an EV over its lifetime are typically lower than those from an average gasoline-powered vehicle, even when accounting for manufacturing.

To support the increasing number of employees in our home state who are reducing the environmental impact of their daily commute by driving EVs, we recently installed six EV charging stations, capable of charging 11 electric vehicles at our Aliso Viejo headquarters facility. This investment is consistent with our innovation-driven culture and underscores our commitment to continually make Glaukos a greener, more environmentally friendly place to work.

To achieve this, we've identified and calculated our Scope 1 and Scope 2 GHG Emissions. Understanding our environmental footprint will help us identify opportunities for improvement. While we evaluate how we can minimize our impact on the environment, we are also looking at how to mitigate impacts on our facilities due to climate change.

Our California sites could be susceptible to brush fires due to droughts and earthquakes as a result of global warming. To help address these concerns, the organization has created business continuity plans, established redundant IT servers in geographically dispersed data centers with a data recovery process and provided employees with

laptops to allow for remote access. Our Burlington site is designed with the same data protection as all our other servers.

## Energy and GHG Emissions

We have a Building Management System (BMS) in place at our Aliso Viejo facility with several features to reduce our environmental impact. Our BMS allows us the ability to schedule and control heating and air conditioning in the building and limit the use of natural resources to when the building is occupied. The system takes away the use of local thermostats which allows the BMS to adjust, so each area is working together to achieve a comfortable temperature. This eliminates one area from being in cooling mode while another adjacent area is heating.

The site also has Mechoshades and Cooper Lighting Systems. Mechoshades are window shades that track sunrise and sunset times with the use of three sensors mounted on the building roof. This system allows for optimum window shade control to reduce radiant heat into the office spaces. The Cooper Lighting Controls system allows for time scheduled and motion sensor control of building lighting. This eliminates using electricity in spaces that are unoccupied.

We plan to expand our BMS to our San Clemente facility this year. We also planned to conduct a GHG inventory of Scope 1 and 2 emissions to establish a



# ENVIRONMENTAL

baseline and develop strategies for reduction in 2023. The organization completed an inventory of its equipment that contributes to its Scope 1 emissions and calculated our GHG emissions from Scope 1 and Scope 2 sources in Q1 2023. Final GHG emissions calculations will be evaluated to identify and prioritize any opportunities for reduction.

## Waste

Glaukos aims to reduce the amount of waste to landfills through recycling. All our sites recycle cardboard and paper. We also have recycling receptacles in break rooms to capture aluminum and plastic containers. We do not produce significant amounts of electronic waste at our San Clemente or Burlington sites, but we collect batteries and legacy fluorescent tubes for proper disposal.

We periodically train our employees in the proper way to collect, handle and dispose of hazardous waste to prevent contamination. This year, we implemented bulking our flammable liquids waste stream onsite to minimize the frequency of waste disposal pickup trips and containers used for collection and disposal. In addition, our Burlington site is evaluating the use of compostable shipping containers and biodegradable cold packs for shipping our pharmaceutical products. Please visit the Responsible Procurement Practices section of this report for more information.

## Water

Our water consumption is minimal as it is not a significant part of any of our manufacturing processes. We utilize water at our facilities for washrooms and landscaping. We expect our water use to rise slightly when we convert one of our San Clemente buildings to a new pharmaceutical manufacturing site and begin operation in mid-2023. The building will utilize chillers to provide cooling to the new clean room areas.

## Progress Toward our Goals

### 2022 Goal

Expand ISO 14001 Certification to Burlington site by 2024

Create GHG inventory for Scope 1 and 2 GHG emissions data by 2023










In 2021, Glaukos achieved ISO 14001 certification at our San Clemente site. This year, we planned to begin working toward earning the certification at our Burlington site, with the goal of being certified by 2024. Communication about our intent to certify the Burlington site to the ISO 14001 standard started with a general overview meeting with the management team in December 2022. We will begin active implementation for the certification in Q1 2023.

Our 2022 goal to create GHG inventory for Scope 1 and 2 GHG emissions data by 2023 was completed in early 2023 for the San Clemente, Aliso Viejo, and Burlington sites, as well as for our international office sites in Germany, England, and Japan. Our aim is to establish a baseline for future GHG emissions reduction efforts.












# APPENDIX

# SUSTAINABILITY PROGRAM GOALS

GOALS SET IN 2022 <sup>1</sup>		YE 2022 STATUS	GOALS SET IN 2023 <sup>1</sup>
<b>GOVERNANCE</b>			
<b>Ethics and Compliance</b>	Completion of anti-bribery/anti-corruption training by 100% of new or renewing third-party distributors		Completion of anti-bribery/anti-corruption training by 100% of new or renewing distributors
	Annual certification of Code of Conduct by 100% of employees		Annual certification of Code of Conduct by 100% of employees
<b>Responsible Procurement Practices</b>	In 2023, reduce percentage of Glaucoma medical device product transported via air by developing 2 <sup>nd</sup> site distribution center (2021 as baseline)		In 2023, reduce percentage of Glaucoma medical device product transported via air by developing 2 <sup>nd</sup> site distribution center (2021 as baseline)
	In 2022, incorporate standards into 100% of new and renewing supplier agreements		<b>In 2023, convert Corneal Health Photrexa cross linking kits' packaging and shipment materials to biodegradable materials, reducing waste and implementing cost savings</b>
<b>Cybersecurity and Data Privacy</b>	By 2025, formally track alignment of the information security program to relevant components of the NIST security framework based upon the risk to Glaukos and industry best practices		By 2025, formally track alignment of the information security program to relevant components of the NIST security framework based upon risk to Glaukos and industry best practices
<b>PRODUCTS</b>			
<b>Product Quality and Patient Safety</b>	Zero product recalls		Zero product recalls
			<b>100% of employees complete Quality Compliance and Patient Safety training</b>
<b>Product Innovation</b>	FDA submission of pipeline technologies that would allow us to meet our publicly stated targets for FDA approvals		FDA submissions of pipeline technologies that would allow us to meet our publicly stated targets for FDA approvals <b>Advancement of key clinical programs</b>
<b>Access, Affordability, and Pricing</b>	Increase communication and education efforts around Glaukos' Patient Assistant Program in the U.S., as well as donations of our products to underserved patients globally		<b>Increase number of patients who receive assistance from one of Glaukos' assistance programs</b>
<b>Protection of Intellectual Property</b>	Annual review of existing IP rights and IP strategy		

<sup>1</sup> Where no year is mentioned, the goal is an annual goal to be pursued ad infinitum.

# SUSTAINABILITY PROGRAM GOALS

GOALS SET IN 2022 <sup>1</sup>		YE 2022 STATUS	GOALS SET IN 2023 <sup>1</sup>
<b>SOCIAL</b>			
<b>Talent Attraction, Development, Engagement, and Retention</b>	Based on the 2022 Great Place to Work engagement survey results, identify areas of opportunity; communicate and measure progress against improvement areas in 2023		Based on this year's Great Place to Work engagement survey results, identify areas of opportunity; communicate and measure progress against improvement areas in the following year
	Implement flexible work arrangements in 2022		<b>Expand leadership and employee development for targeted employee groups with the addition of at least three new programs; report employee hours of training globally and learning outcomes for applicable programs by 2024</b>
<b>Diversity and Inclusion</b>	As led by DEI forum, identify and implement at least two company-wide initiatives and success measures that will expand Glaukos' approach to diversity, equity, and inclusion by 2024		As led by our DEI Forum, identify and implement at least two company-wide initiatives and success measures that will expand Glaukos' approach to diversity, equity and inclusion by 2024
<b>Workforce Health and Safety</b>	Conduct an annual health and safety risk assessment and implement at least one new initiative annually to mitigate the top identified risk		Conduct an annual Health and Safety risk assessment and implement at least one new initiative annually to mitigate the top risk identified
<b>ENVIRONMENTAL</b>			
	Expand ISO 14001 Certification to Burlington site by 2024		Expand ISO 14001 Certification to Burlington site by 2024
	Create GHG inventory for Scope 1 and 2 GHG emissions data by 2023		Create GHG inventory for Scope 1 and 2 GHG emissions data by 2023
 Completed  On Track  Partially Completed New 2023 goals in bold			

<sup>1</sup> Where no year is mentioned, the goal is an annual goal to be pursued ad infinitum.

# METRICS AT-A-GLANCE

These metrics represent a good faith estimate by the Company of Glaukos' historical calendar year data using methodology and processes we currently believe are appropriate. These methodology and processes are periodically reviewed and evaluated. The metrics include all Glaukos locations globally unless otherwise stated.

TOPIC	METRIC	2022	2021	2020	2019	2018
GOVERNANCE						
Ethics and Compliance	Percentage of new or renewing third-party distributors who completed our anti-bribery/anti-corruption training	100%	100%	±	±	±
	Percentage of employees who completed annual certification of our Code of Conduct	100%	100%	±	±	±
Cybersecurity and Data Privacy	Percentage of employees who completed annual cybersecurity training	100%	100%	±	±	±
PRODUCT						
Product Quality and Patient Safety	Number of product recalls or take-backs	0	0	0	0	0
	Number of products listed on the FDA's Med-Watch Safety Alerts for Human Medical Products database	0	0	0	0	0
	Number of fatalities related to products	0	0	0	0	0
	Number of FDA enforcement actions taken in response to violations of current Good Manufacturing Practices (cGMP)	0	0	0	0	0
	Percentage of significant product and service categories for which health and safety impacts are assessed for improvement	100%	100%	100%	100%	100%
Product Innovation	For information regarding currently anticipated new product launches, please see our filings with the U.S. Securities and Exchange Commission, <a href="#">accessible here</a> .					
Access, Affordability, and Pricing	Value of Product donations (amount in USD of products donated to benefit underserved patients)	\$9.6 million	\$7.4 million	\$3.5 million	±	±
	Cumulative number of countries with patients benefitting from product donations	48	45	45	±	±
	Cumulative number of partnerships with humanitarian organizations	120	110+	107	±	±

± Information not tracked for these years.





# METRICS AT-A-GLANCE

TOPIC	METRIC	2022	2021	2020	2019	2018
SOCIAL						
Talent Attraction, Development, Engagement, and Retention (continued)	Total promotions	80	98	51	±	±
	United States	90%	95%	±	±	±
	International	10%	5%	±	±	±
	Female	41%	37%	35%	±	±
	Male	59%	63%	65%	±	±
	From underrepresented communities (in the U.S.) <sup>1</sup>	33%	53%	±	±	±
	Turnover <sup>2</sup>					
	Voluntary turnover rate (%)	11%	12.95%	9.01%	±	±
	Involuntary turnover rate (%)	.7%	0.74%	7.46%	±	±
	Turnover by age					
	Under 30	17.3%	16.5%	19.4%	±	±
	30-50	11.4%	14.0%	15.4%	±	±
	50+	10.2%	12.3%	19.2%	±	±
	Turnover by gender					
	Male	10.0%	10.6%	16.4%	±	±
	Female	14.4%	18.8%	18.1%	±	±
	Parental leave statistics					
	Eligible	14	31	8	±	±
	Used	14	31	8	±	±
	Returned during the year (%)	100%	81%	100%	±	±
	Continues to be employee at year end (%)	93%	84%	100%	±	±
	Male	64%	42%	50%	±	±
	Female	36%	58%	50%	±	±
	Percentage of employees who completed the annual employee survey (%)	83%	82%	± <sup>3</sup>	±	±
	Percentage of employees covered by collective bargaining agreements in the United States (%)	0%	0%	0%	0%	0%

1. Underrepresented communities are defined as including persons who self-identify as Black, African American, Hispanic, Latino, Asian, Pacific Islander, Native American, Native Hawaiian, and Alaska Native.

2. Turnover data for 2020 includes layoffs related to the Avedro acquisition.

3. Data previously reported for 2020 related to participation in our performance check-in process

± Information not tracked for these years.

# METRICS AT-A-GLANCE

TOPIC	METRIC	2022	2021	2020	2019	2018
SOCIAL						
Diversity and Inclusion	Equal opportunity policy which can be found here (Y/N)	Yes	Yes	Yes	Yes	Yes
	Board makeup by gender (%)					
	Female	38%	38%	14%	14%	14%
	Male	62%	62%	86%	86%	86%
	Board makeup by age (%)					
	Under 30	0%	0%	0%	0%	0%
	30-50	12%	12%	0%	14%	29%
	50+	88%	88%	100%	86%	71%
	Senior management by gender <sup>1</sup> (%)					
	Female	36%	36%	36%	30%	30%
	Male	64%	64%	64%	70%	70%
	Workforce by gender (%)					
	Female	38%	37%	37%	40%	37%
	Male	62%	63%	63%	60%	63%
	U.S. workforce by race/ethnicity <sup>2</sup> (%)					
	White/Non-Hispanic	57%	58%	61%	±	±
	Asian	23%	23%	21%	±	±
	Hispanic/Latino	11%	12%	14%	±	±
	Black/African American	2%	1%	1%	±	±
	Native Hawaiian or other Pacific Islander	1%	1%	0%	±	±
	Two or more race	6%	5%	3%	±	±
	Workforce by age <sup>3</sup> (%)					
	Under 30	11%	11%	10%	±	±
	30-50	57%	57%	58%	±	±
	50+	32%	32%	32%	±	±

1. Senior management includes members of senior management that participate in senior leadership weekly meetings. Most, but not all, of these individuals report to Tom Burns, CEO and Chairman of the Board. Data for 2018-2020 has been restated for consistency.

2. 2021 and 2020 data for these categories reflect US-only workforce information, self-reported by our employees. The numbers presented in the 2020 Sustainability report also represented US -only data, rather than global workforce data.

3. We have restated our 2020 numbers to more accurately reflect tracking the employee population from the Avedro acquisition; the 2021 numbers use the same consistent methodology.

± Information not tracked for these years.

# METRICS AT-A-GLANCE

TOPIC		METRIC	2022	2021	2020	2019	2018
SOCIAL							
Workforce Health and Safety	Number of employee fatalities		0	0	0	0	0
	Number of contractor fatalities		0	0	0	0	0
	Number of high-consequence work-related injuries		0	0	0	0	0
	Lost time incident rate (total incidents per 200,000 hours worked/ per 100 full time equivalent employees)		0	0	0.20	±	±
	Recordable incident rate (total incidents per 200,000 hours worked/per 100 FTE)		0.14	0.17	±	±	±
	Number of fatalities as a result of work-related ill health		0	0	0	0	0
	Number of cases of recordable work-related ill health		0	0	0	0	0
ENVIRONMENTAL							
Energy	Total energy consumption (kwh)		5,681,902 <sup>1</sup>	1,733,293	1,583,630	1,487,364	1,235,180
	Energy intensity (kWh/\$100,000 of sales)		2,008	590	704	628	682
	Renewable sources of energy <sup>2</sup> (%)		40%	45%	45%	±	±
Emissions <sup>3</sup>	Scope 1 GHG emissions (metric tons "mt")		569.4	±	±	±	±
	Scope 2 GHG emissions (metric tons)		1,360.2	±	±	±	±
	GHG Emissions Intensity (mt/\$100,000 of sales)		.68	±	±	±	±
Water	Water consumption (gallons)		1,318,724	1,455,608	1,152,668	1,577,741	1,332,936
	Safe disposal of wastewater (y/n)		Yes	Yes	Yes	Yes	Yes
	Water consumption intensity (Gal/\$100,000 of sales)		466	628	643	683	736
Hazardous Waster	Hazardous waste (lbs.) <sup>4</sup>		11,004	11,277	9,561	8,974	6,145
	Safe disposal of electronic waste (y/n)		Yes	Yes	Yes	Yes	Yes
Gas	Total usage (therms)		102,315	9,325	8,207	4,691	2,327
	Gas intensity (therms/\$100,000 of sales)		36.16 <sup>1</sup>	3.16	3.65	1.98	1.29

1. Our gas intensity increased significantly in 2022 due to the addition of our Aliso Viejo site as well as the return of remote employees back to the office on a hybrid schedule.

± Information not tracked for these years.

2. We are unable to track the exact percentage of our energy that derives from renewable sources. However, our energy provider for San Clemente, San Diego Gas & Electric, has indicated that it obtains 40% of its electrical generation from renewable sources: <https://www.sdge.com/more-information/environment/americas-best-energy-company#:~:text=We%20deliver%20about%2040%20percent,highest%20in%20California%20and%20America>

3. Emissions include Aliso Viejo, San Clemente and Burlington facilities. Invoices were not available for our Germany, UK, and Japan sites. Natural gas and electricity usage estimates were made based on climate zone, square footage, and usage factors from the U.S. Energy Information Administration's Commercial Buildings Energy Consumption Survey (CBES).

4. Hazardous waste data includes our San Clemente, Aliso Viejo, and Burlington facilities.

# GRI AND SASB CONTENT INDEX

Summarized below are the GRI and SASB disclosures included in the Glaukos 2022 Sustainability Report. The report is informed by GRI and SASB standards but is not currently intended to align with them. The SASB Sustainability Accounting Standards that are referenced herein are drawn from the Biotechnology & Pharmaceuticals (HC-BP) and Medical Equipment & Supplies (HC-MS) industry standards.

Framework	Disclosure	Location/Response
<b>General Disclosures 2022</b>		
<i>The Organization and its Reporting Practices</i>		
GRI	2-1 Organizational details	Glaukos
	2-2 Entities included in the organization's sustainability reporting	Our Report
	2-3 Reporting period, frequency and contact point	Our Report
	2-4 Restatements of information	Any restatements of information have been footnoted within the report
<i>Activities and Workers</i>		
GRI	2-6 Activities, value chain and other business relationships	Glaukos, Patient Focus and Novel Platforms; Responsible Procurement Practices; 2022 Form 10-K p. 6-7; No significant changes to Glaukos' operations and its supply chain in 2022
	2-7 Employees	Metrics at-a-Glance
<i>Governance</i>		
GRI	2-9 Governance Structure and composition	Sustainability Governance and Sustainability Program Design; 2023 Proxy Statement p. 18-22
	2-10 Nomination and selection of the highest governance body	2023 Proxy Statement p. 23
	2-11 Chair of the highest governance body	2023 Proxy Statement p. 17
	2-13 Delegation of responsibility for managing impacts	Sustainability Governance; Sustainability Program Design
	2-14 Role of the highest governance body in sustainability reporting	Sustainability Program Design
	2-15 Conflicts of interest	Ethics and Compliance; Code of Business Conduct and Ethics, p. 3-4
	2-18 Evaluation of the performance of the highest governance body	Compensation, Nominating and Governance Committee Charter; Audit Committee Charter
	2-19 Remuneration policies	2023 Proxy Statement p. 13-14, 47-57
	2-20 Process to determine remuneration	2023 Proxy Statement p. 33-46; Compensation, Nominating and Governance Committee Charter
	2-21 Annual total compensation ratio	2023 Proxy Statement p. 59
<i>Strategy, Policies and Practices</i>		
GRI	2-22 Statement on sustainable development strategy	CEO Message
	2-23 Policy commitments	Ethics and Compliance
	2-25 Processes to remediate negative impacts	Responsible Procurement Practices; Ethics and Compliance
	2-26 Mechanisms for seeking advice and raising concerns	Ethics and Compliance
<i>Stakeholder Engagement</i>		
GRI	2-29 Approach to stakeholder engagement	Our stakeholders include customers, employee and non-employee workers, suppliers, shareholders and other providers of capital, local communities and civil society Sustainability Program Design
	2-30 Collective bargaining agreements	Metrics at-a-Glance
<i>Material Topics</i>		
GRI	3-1 Process to determine material topics	Sustainability Program Design
	3-2 List of material topics	Sustainability Program Design



# GRI AND SASB CONTENT INDEX

Framework	Disclosure	Location/Response
<b>Topic Disclosures</b>		
<i>Ethics and Compliance</i>		
GRI	3-3 Management of Ethics and Compliance	Ethics and Compliance
SASB	HC-MS-270a.2	Ethics and Compliance, Marketing Practices
	HC-BP-270a.2	Ethics and Compliance, Marketing Practices
	HC-BP-510a.2	Ethics and Compliance
	HC-MS-510a.2	Ethics and Compliance
<i>Responsible Procurement Practices</i>		
GRI	3-3 Management of Responsible Procurement Practices	Responsible Procurement Practices
	308-1 New suppliers that were screened using environmental criteria	Responsible Procurement Practices
	414-1 New suppliers that were screened using social criteria	Responsible Procurement Practices
SASB	HC-BP-430a.1	Responsible Procurement Practices
	HC-MS-430a.1	Responsible Procurement Practices
	HC-MS-430a.2	Responsible Procurement Practices
	HC-MS-430a.3	Responsible Procurement Practices
<i>Cybersecurity and Data Privacy</i>		
GRI	3-3 Management of Cybersecurity and Data Privacy	Cybersecurity and Data Privacy
<i>Product Quality and Patient Safety</i>		
GRI	3-3 Management of Product Quality and Patient Safety	Product Quality and Patient Safety
	416-1 Assessment of the health and safety impacts of product and service categories	Product Quality and Patient Safety; Metrics at-a-Glance
	416-2 Incidents of non-compliance concerning the health and safety impacts of products and services	Product Quality and Patient Safety, Post-Approval Quality Management
SASB	HC-BP-250a.1	Metrics at-a-Glance
	HC-BP-250a.2	Metrics at-a-Glance
	HC-BP-250a.3	Metrics at-a-Glance
	HC-BP-250a.4	Metrics at-a-Glance
	HC-BP-250a.5	Metrics at-a-Glance
	HC-MS-250a.1	Metrics at-a-Glance
	HC-MS-250a.2	Metrics at-a-Glance
	HC-MS-250a.3	Metrics at-a-Glance
	HC-MS-250a.4	Metrics at-a-Glance
	HC-MS-410a.2	Metrics at-a-Glance
<i>Product Innovation</i>		
GRI	3-3 Management of Product Innovation	Product Innovation
SASB	HC-BP-000.B	Product Innovation; Glaukos currently has more than 14 products in R&D. The exact number of drugs in R&D is confidential.

# GRI AND SASB CONTENT INDEX

Framework	Disclosure	Location/Response
<b>Topic Disclosures</b>		
<i>Access, Affordability, and Pricing</i>		
GRI	3-3 Management of Access, Affordability, Pricing	Access, Affordability, and Pricing
	HC-BP-240b.2	Access, Affordability, and Pricing
<i>Talent Attraction, Development, and Retention</i>		
GRI	3-3 Management of Access, Affordability, Pricing	Access, Affordability, and Pricing
	HC-BP-240b.2	Access, Affordability, and Pricing
	401-3 Parental leave	Metrics at-a-Glance
	404-2 Programs for upgrading employee skills and transition assistance programs	Talent, Attraction, Development, and Retention, Employee Growth, Development, and Retention
	404-3 Percentage of employees receiving regular performance and career development reviews	Talent, Attraction, Development, and Retention, Employee Growth, Development, and Retention
<i>Diversity and Inclusion</i>		
GRI	3-3 Management of Diversity and Inclusion	Diversity and Inclusion
	405-1 Diversity of governance bodies and employees	Metrics at-a-Glance
<i>Workforce Health and Safety</i>		
GRI	3-3 Management of Workforce Health and Safety	Workforce Health and Safety
	403-2 Hazard identification, risk assessment, and incident investigation	Workforce Health and Safety
	403-3 Occupational health services	Workforce Health and Safety
	403-5 Worker training on occupational health and safety	Workforce Health and Safety
	403-6 Promotion of worker health	Workforce Health and Safety
	403-7 Prevention and mitigation of occupational health and safety impacts directly linked by business relationships	Workforce Health and Safety
	403-9 Work-related injuries	Workforce Health and Safety; Metrics at-a-Glance
<i>Environmental</i>		
GRI	3-3 Management of Environmental	Environmental
SASB	HC-MS-410a.1	Environmental

# DISCLAIMER

All statements other than statements of historical facts included in this report that address activities, events, or developments that we expect, believe, or anticipate will or may occur in the future are forward-looking statements. Although we believe that we have a reasonable basis for forward-looking statements contained herein, we caution you that they are based on current business aspirations and expectations about future events affecting us and are subject to risks, uncertainties and factors relating to our operations and business environment, all of which are difficult to predict and many of which are beyond our control, that may cause our actual results to differ materially from those expressed or implied by forward-looking statements in this report.

These risks, uncertainties, and factors related to Glaukos, and our business are described in detail under the caption “Risk Factors” and elsewhere in our Annual Report on Form 10-K for the year ended December 31, 2022, which was filed with the Securities and Exchange Commission on February 24, 2023. Our filings with the Securities and Exchange Commission are available in the Investor Section of our website at [www.glaukos.com](http://www.glaukos.com) or at [www.sec.gov](http://www.sec.gov). In addition, information about the risks and benefits of our products is available on our website at [www.glaukos.com](http://www.glaukos.com). Readers are cautioned not to place undue reliance on any estimate, aspirational targets or forward-looking statement contained herein, which speak only as of the date made.

We do not undertake any obligation to update, amend or clarify the statements set forth herein, whether as a result of new information, future events or otherwise, except as may be required under applicable securities

law. In addition, historical, current and forward-looking sustainability-related statements may be based on standards for measuring progress that are still developing, internal controls and processes that continue to evolve, and assumptions that are subject to change in the future. The information included in, and any issues identified as material for purposes of, this document may not be considered material for SEC reporting purposes. In the context of this disclosure, the term “material” is distinct from, and should not be confused with, such term as defined for SEC reporting purposes.



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