
AURINIA PHARMACEUTICALS INC.
WHISTLEBLOWER POLICY

(Approved June 21, 2018)

AURINIA PHARMACEUTICALS INC.

WHISTLEBLOWER POLICY

Policy Summary:

1. To encourage the reporting of any concerns or violations of the Company's Code of Ethics &

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A. GENERAL

The Aurinia Pharmaceuticals Inc. (“**Aurinia**” or the “**Company**”) Code of Ethics & Conduct (“**Code**”) requires directors, officers and employees (hereinafter collectively referred to as the “**Employees**”) to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As Employees and representatives of the Company, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

B. RESPONSIBILITY TO REPORT

It is the responsibility of all Employees to comply with the Code and to report violations or suspected violations in accordance with this Whistleblower Policy.

C. NO RETALIATION

No Employee who in good faith reports a confirmed violation of the Code shall suffer harassment, retaliation or adverse employment consequence. An Employee who retaliates against someone who has reported a confirmed violation in good faith is subject to discipline up to and including termination of employment.

D. ACTING IN GOOD FAITH

Anyone filing a complaint concerning a violation or suspected violation of the Code must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of the Code. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

E. REPORTING VIOLATIONS

In most cases, an Employee’s supervisor/manager is in the best position to address an area of concern. However, if you are not comfortable speaking with your supervisor/manager or you are not satisfied with their response, you are encouraged to speak with anyone in management whom you are comfortable in approaching.

If an Employee is not satisfied with the action taken by management, such Employee can also bring their concerns to the attention of an independent whistleblower hotline (*In Touch*) as detailed below. *In Touch* will, on a confidential basis, provide the information to the Chair of the Audit Committee for further action as deemed appropriate. Should the suspected violation involve the Chair of the Audit Committee directly, *In Touch* will provide the information directly to the Chairman of the Board.

To report a concern or issue, contact *In Touch* as follows:

- Dial toll-free **1-844-727-2481** 24 hours a day, 7 days a week; **OR**
- Email to: AuriniaEthics@getintouch.com

The Chair of the Company’s Audit Committee is responsible for investigating and resolving all reported complaints and allegations concerning violations of the Code and, at his/her discretion,

shall advise the Chief Executive Officer, the Chief Financial Officer, the Chief Operating Officer and the Audit Committee. The Chair of the Audit Committee has access to the Audit Committee of the Board of Directors and is required to report to the Committee at least annually on compliance activity.

Individuals who have experienced any form of retaliation subsequent to reporting suspected violations should immediately contact *In Touch* in the manner described above. For suspected fraud or securities law violations, individuals should refer to the Company's Fraud Policy.

F. ACCOUNTING AND AUDITING MATTERS

The Audit Committee of the Board of Directors shall address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Chair of the Audit Committee shall immediately notify the Audit Committee of any such complaint and work with the Committee and the Board of Directors for the Company until the matter is resolved.

G. CONFIDENTIALITY

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate and effective investigation.

H. HANDLING OF REPORTED VIOLATIONS

The Chair of the Audit Committee will notify the sender and acknowledge receipt of the reported violation or suspected violation within five (5) business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

I. INTERPRETATION AND REVIEW

Any questions regarding the application of this policy should be first directed to the Chair of the Audit Committee. However, the Audit Committee has final authority to interpret and resolve any questions regarding the application of the contents and spirit of this policy.

The Audit Committee will review this policy on an annual basis and implement any changes as necessary.

The Chief Executive Officer shall review this policy annually with Employees to answer any concerns or questions with regard to such policy.