

**SACHS**  
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Annual  
**Sachs Immuno-Oncology:  
BD&L and Investment  
Forum**

**29<sup>th</sup> May 2015**  
Hyatt Chicago Magnificent Mile • USA

**Conference Guide**

[www.sachsforum.com](http://www.sachsforum.com)



Sachs Associates are delighted to welcome you to the:

## INAUGURAL

# Sachs Immuno-Oncology: BD&L and Investment Forum

29<sup>th</sup> May 2015 • Hyatt Chicago Magnificent Mile • USA

Sachs Associates, building upon its many years of expertise in organizing premier partnering and investor meetings in Europe and the United States, is proud to welcome you to the **Inaugural Sachs Immuno-Oncology: BD&L and Investment Forum being held on 29<sup>th</sup> May 2015 at the Hyatt Chicago Magnificent Mile**. This forum is designed to bring together thought leaders from cancer research institutes, patient advocacy groups, pharma and biotech to facilitate partnering and funding/investment.

Sachs Associates would like to thank our sponsors and partners who have helped make this event possible.

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### General Information

- The registration desk is open from 8.00am on 29th May although you are welcome to join the event at any time. Please collect a copy of the agenda for information on timing and room allocation for each session.
  - **One-to-one meetings**  
Please bring with you a copy of your diary. Should you have any queries about your schedule, the laptop situated by the meeting tables is available for your assistance.
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### Request for Presentations

Please use the agenda to mark off presentations that you are interested in and email your request to [silvia@sachsforum.com](mailto:silvia@sachsforum.com) after the conference. We will endeavour to send you the requested presentations as soon as we have been granted permission to do so by that specific presenter. Please note that we DO NOT have copies of the slides that are shown during the conference.

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## Events Diary

For regular updates, sponsorship, presenting and attending opportunities and further information regarding any of our future events please contact Silvia Kar on [Silvia@sachsforum.com](mailto:Silvia@sachsforum.com)

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### 3rd Annual Medtech & Diagnostics Summit For Technology & Healthcare Innovation

28th September 2015 • Congress Center Basel • Switzerland

The Summit is designed to bring together a specialist audience from leading and growth companies focused on M+A, alliances and Investment. The program will feature keynotes from industry leaders and plenary panels on industry acquisitions; public markets, venture investment and growth, company finance, and diagnostics. The subjects of regulation and reimbursement will also be covered.

The program will also feature public and private company presentations focused on innovation and alliances/investment opportunities. The MedTech and Device companies track will cover; Oncology, Cardiovascular, Imaging, Surgical Devices & Implants, with a separate track for Diagnostics.

Event details available at: [www.sachsforum.com/mdis15](http://www.sachsforum.com/mdis15)

### 15th Annual Biotech in Europe Forum For Global Partnering & Investment

29th – 30th September 2015 • Congress Center Basel • Switzerland

The forum is recognised as the leading international stage for those interested in investing and partnering in the biotech and life science industry and is highly transactional. The Forum draws together an exciting cross-section of early-stage/pre-IPO, late-stage and public companies with leading investors, analysts, money managers and pharma licensing executives. Supported and designed by leading figures within Europe's bio industry, this event will once again be covered by our regular media partners. We expect over **600 delegates** and **100 presenting companies**.

The 15th Annual is again being held in Basel to be close to the largest biopharma hub in Europe and the Congress Center provides meeting space capable of handling several thousand one-to-one meetings as well as significant exhibition space. The Programme will feature plenary panels/workshops covering BD & Licensing in the main therapeutic areas. There will be significant networking opportunities at the Forum and receptions.

Event details available at: [www.sachsforum.com/basel15](http://www.sachsforum.com/basel15)

### 9th Annual European Life Science CEO Forum & Exhibition Partnering & Investing in Biotech & Pharma Industry

1st – 2nd March 2016 • Hilton Zurich Airport Hotel • Switzerland

Back for its ninth year, this exclusive and highly transactional partnering event is a must for companies wishing to meet with their peers, engage with leading investors and forge new partnerships.

Building on the success of this year's event, the forum will provide an excellent platform to gain insight into partnering and investment trends in the Biotech and Pharma industry. Networking at the Forum is facilitated by our **online 1-2-1 meeting system**, which is available to all participants.

The conference will feature up to 80 presentations by large to mid size pharmaceutical companies looking for strategic alliances/partners. Do not miss out on this great opportunity to meet emerging companies, leading global investors and Big Pharma representatives!

Review the 8th Annual, 2015 Forum at: [www.sachsforum.com/zurich\\_elsceo15](http://www.sachsforum.com/zurich_elsceo15)

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## Speakers



**Ali Fattaey**, *Chief Executive Officer, Curis, Inc.*

Dr. Fattaey is the President and Chief Executive Officer of Curis since 2014, having joined the Company as President and Chief Operating Officer in February 2013. Prior to Curis, Dr. Fattaey was President and Chief Executive Officer of ACT Biotech, Inc., an oncology-focused privately-held biotechnology company he co-founded in 2008. From 2006 until 2008, Dr. Fattaey served as the Director, Science and Technology at the Melanoma Therapeutics Foundation, a non-profit organization. Dr. Fattaey has served in various roles in the biotech industry since 1994, including as Chief Scientific Officer at privately-held Sagres Discovery from 2001 until 2004, as the Senior Vice President of Discovery Research at Chiron Corporation following Chiron's acquisition of Sagres Discovery, as Vice President of Discovery Research at Onyx Pharmaceuticals from 1998 through 2001, and as Senior Scientist at Onyx Pharmaceuticals since January 1994. Dr. Fattaey received his Ph.D. in microbiology from Kansas State University in 1989 and was a Research Fellow in Medicine at Harvard Medical School, Massachusetts General Hospital Cancer Center.



**André Choulika**, *Chairman and CEO, Cellectis, Inc.*

André is the Chairman, CEO, and founder of Cellectis. Dr Choulika is a pioneer in the analysis and use of meganucleases to modify complex genomes. After receiving his PhD in molecular virology from the University of Paris VI (Pierre et Marie Curie), he completed a research fellowship in the Harvard Medical School Department of Genetics. Later, while working in the Division of Molecular Medicine at Boston Children's Hospital, he developed the first approaches to meganuclease-based human gene therapy. Dr Choulika also has management training from the HEC (Challenge +).



**Arie Beldegrun**, *Chairman, President & CEO, Kite Pharma*

Dr Beldegrun has been closely involved with the founding and advancement of several successful private and public biopharmaceutical companies. In 1996 he founded Agensys, Inc., a biotechnology company, and served as its founding Chairman of the board of directors and as a board member until 2007, when it was acquired by Astellas Pharma Inc. Dr. Beldegrun was also the founding Vice-Chairman of the board of directors and Chairman of the scientific advisory board of Cougar Biotechnology, Inc., a biotechnology company, from 2003 to 2009 when it was acquired by Johnson & Johnson. He currently serves as Chairman of Arno Therapeutics, Inc., Two River Group, and TheraCoat Ltd., and as a board member of Teva Pharmaceutical Industries Ltd.

Dr. Beldegrun is Professor of Urology, holds the Roy and Carol Doumani Chair in Urologic Oncology, and is Director of the UCLA Institute of Urologic Oncology at the David Geffen School of Medicine at UCLA. Prior to joining UCLA, he was at the National Cancer Institute/NIH as a research fellow in surgical oncology and immunotherapy under Dr. Steven A. Rosenberg.

Dr. Beldegrun completed his M.D. at the Hebrew University Hadassah Medical School in Jerusalem, his post graduate studies in Immunology at the Weizmann Institute of Science, and his residency in Urologic Surgery at Harvard Medical School. He has authored several books in Oncology and more than 400 scientific and medical papers related to urological cancers, immunotherapy, gene therapy, and cancer vaccines. He is certified by the American Board of Urology, and is a Fellow of the American College of Surgeons and the American Association of Genitourinary Surgeons (AAGUS).

## Speakers



**Behzad Aghazadeh**, *Managing Partner, venBio, LLC*

Dr. Aghazadeh is a Managing Partner of venBio, and Portfolio Manager of the venBio Select Fund. Dr. Aghazadeh has over 16 years of experience in the healthcare sector as an investor, management consultant, and bench scientist. Before joining venBio, Dr. Aghazadeh was a Partner with Sio Capital Management and previously, Vice President and Senior Analyst with Bernstein Value Equities.

Prior to Bernstein, Dr. Aghazadeh was a Principal in the healthcare practice of Booz Allen (now Booz & Co.), serving corporate executive teams across healthcare verticals on strategic and operations issues. He also led a program at the US Food and Drug Administration to enhance the productivity of the drug review and approval process. Dr. Aghazadeh was co-lead of Booz Allen's Pharma R&D effectiveness platform.

Dr. Aghazadeh conducted basic research at Memorial Sloan-Kettering Cancer Center and Ludwig-Maximilians University, and has published in leading peer-reviewed journals. Dr. Aghazadeh received a PhD in Biophysics and Biochemistry from Cornell University, and a Masters in Physics from the Ludwig-Maximilians-University in Munich, Germany.



**Biren Amin**, *Managing Director and Senior Equity Research Analyst, Jefferies, LLC*

Biren joined Jefferies in 2011 and is Managing Director and Senior Research Analyst covering the U.S. biotechnology sector. Prior to Jefferies, Mr. Amin spent the last seven years in equity research and has spent time at several equity research firms. Mr. Amin started his sell-side career at Prudential. He also spent five years in the competitive intelligence group at Aventis Pharmaceuticals (now Sanofi). Mr. Amin is a licensed pharmacist, and holds a B.S. in Pharmacy from University of Sciences at Philadelphia. He also holds an M.S. in Pharmacy from Arnold and Marie Schwartz College of Pharmacy, and an M.B.A. from New York University.



**Boris Peaker**, *Managing Director, Cowen and Company*

Boris is a managing director and senior research analyst covering emerging growth biotechnology companies. Prior to re-joining Cowen in 2014, Dr. Peaker was a senior analyst at Oppenheimer & Co. and Rodman & Renshaw, covering large-, mid-, and small-cap biotechnology stocks. Dr. Peaker holds a BS in physics and chemistry from SUNY Stony Brook and a Ph.D. in biophysics from Stanford University. He is a CFA charter holder.



**Charles Nicolette**, *Chief Scientific Officer & V.P. R&D, Argos Therapeutics*

Charles Nicolette Ph.D. has served as Argos' Chief Scientific Officer since December 2007 and as our Vice President of Research and Development since December 2004. Dr. Nicolette served as Vice President of Research from July 2003 to December 2004. Prior to joining Argos, Dr. Nicolette served in various positions at Genzyme Molecular Oncology, Inc., a biotechnology company, from 1997 to 2003, most recently as Director of Antigen Discovery. Dr. Nicolette received a B.S. from the State University of New York at Stony Brook and a Ph.D. in biochemistry and cellular and developmental biology from the State University of New York at Stony Brook, completing his doctoral dissertation and post-doctoral fellowship at Cold Spring Harbor Laboratory.

## Speakers



**Cynthia Koons**, *Healthcare Reporter, Bloomberg News*

Cynthia is a healthcare reporter for Bloomberg News, where she covers big pharma and the industry at large. She worked previously as a foreign correspondent in Hong Kong and Sydney for The Wall Street Journal where she covered mergers and acquisitions, private equity and wrote the Heard on the Street column. She started her business reporting career writing about credit during the boom and bust of the last decade.



**David Donabedian**, *Vice President & Head, Ventures and Early Stage Collaborations, AbbVie, Inc.*

David is Vice President and Head of Ventures & Early Stage Collaborations for AbbVie. David is responsible for leading a global team of investment professionals to identify and execute minority investments in biotech companies, licensing/acquiring pre-Phase 1 compounds and expanding academic partnerships. David currently serves on the Boards of AM Pharma, Avaxia, Kala, Virobay and the iBIO institute.

Prior to joining AbbVie, Dr. Donabedian was Senior Vice President, Locust Walk Partners, where he led strategic transactions and engagements for biotech and pharmaceutical companies. He has over 17 years of experience in the life sciences industry and has held a number of senior leadership roles related to business development, fundraising, strategy and research, including Vice President, Global New Deal Strategy & Development at GlaxoSmithKline's Centre of Excellence for External Drug Discovery; Vice President of Business Development for Surface Logix; and Senior Manager in Accenture's Strategic Services Consulting Group. Dr. Donabedian began his career as a research scientist with Dow Chemical and Boston Scientific.

He holds a bachelor's degree in chemistry from St. Anselm College, a Ph.D. in polymer chemistry from the University of Massachusetts, Lowell and an MBA from the University of North Carolina at Chapel Hill.



**David H. Howard**, *Associate Professor, Department of Health Policy and Management, Emory University*

David is a faculty member in the Department of Health Policy and Management at Emory University. A health economist by training, Dr. Howard's research employs economics and statistics to better understand physician decision-making and its implications for public policy. Dr. Howard's current focus is on how negative results from clinical trials and "do less" recommendations from guidelines influence practice patterns. Dr. Howard has acted as an advisor or consultant to the Center for Medicare & Medicaid Services, MEDPAC, the American Cancer Society, the Division of Transplantation in the Department of Health and Human Services, and the Institute of Medicine. He is currently a member of CMS's Medicare Evidence Development & Coverage Advisory Committee and chairs the advisory board of the National Living Donation Assistance Center. Dr. Howard received his doctorate in health policy from Harvard University in 2000.



**Elma Hawkins**, *President and CEO, Lion Biotechnologies*

Dr Hawkins has more than 30 years of experience in biotechnology drug development, corporate development, fundraising and general management, with a special focus on oncology. For the past eight years, she has consulted for various biotechnology companies and financial institutions, and she also served as president of Viridian Pharmaceuticals. Previously, Dr. Hawkins was president and CEO of Advanced Viral Research, vice chairman of Antigenics and director of corporate development at Genzyme Corporation. Earlier in her career, she held preclinical, clinical and regulatory positions at Warner-Lambert/Parke-Davis Pharmaceuticals and at the Center for the Study of Drug Development at Tufts University. She holds multiple degrees, including a PhD in organic chemistry and an MBA.

## Speakers

**Eva Jack, CBO, Mersana Therapeutics**

Ms Jack joined Mersana in November 2013, bringing a wealth of business development and financial experience in the biotech industry. Prior to Mersana, she served as an advisor to biotech companies and investors on business and financing strategies. From 2010 to 2012, she served as Chief Business Officer of Pulmatrix. She also spent six years at MedImmune, the worldwide biologics unit of AstraZeneca, as Managing Director of MedImmune Ventures, overseeing investments in private biotechnology companies, and as a Director in MedImmune's Business Development group. Earlier in her career, Ms. Jack held a variety of positions at Intel Corp. in venture investments, corporate strategy and public policy. Ms. Jack received a B.A. from the University of Virginia and a master's in health sciences from The Johns Hopkins University.

**Ferran Prat, VP, Strategic Industry Ventures, MD Anderson Cancer Center**

Ferran helps the faculty and researchers at MD Anderson develop collaborative opportunities with pharmaceutical, biotech, diagnostics, imaging, laboratory medicine and other industry partners. He is responsible for establishing a direct line of contact with pharmaceutical companies to understand their needs in terms of pre-clinical and Phase 1 activities, and internally convey them so that the researchers and clinicians at MD Anderson can follow-up and establish personal relationships with such companies.

Prior to joining MD Anderson he worked at Alere Inc., an international firm dedicated to developing health management services and solutions, including diagnostic tools and tests. At Alere, Ferran led a business turnaround and integrated three businesses in São Paulo and Belo Horizonte, Brazil. He also served as the head of the Oncology and Women's Health Divisions in San Diego, where he was responsible for all pre-commercialization activities and post-launch product management.

Prior to Alere, Ferran held a number of industry and academic positions, including vice president for licensing at Biosite Inc., management consultant at McKinsey & Co., engineer at Chromogenia-Units and researcher at the University of California – Los Angeles. In these roles, he in-licensed and out-licensed new technologies, led and executed strategic plans, coordinated intellectual property agreements among private and public sector entities, and conducted basic science research that led to multiple peer-reviewed articles.

Prat has a Ph.D. in organic chemistry from the University of California – Los Angeles and a J.D. from the University of San Diego School of Law.

**Gregory Frost, Senior Vice President, Health Sector, Intrexon Corporation**

Dr. Frost brings more than 20 years of biotechnology industry and research experience in the areas of biochemistry, molecular pathology, pharmacology, and drug delivery. Previously, Dr. Frost was Chief Executive Officer of Halozyne Therapeutics, a company he co-founded in 1999, and has also served on the Board of Directors and in numerous operational roles, including Chief Scientific Officer. For more than 15 years, Dr. Frost led the research and development efforts at Halozyne from discovery through commercialization for a number of internal and partnered biotechnology products, as well as facilitating broad alliances with pharmaceutical companies such as Roche and Pfizer. Prior to Halozyne, Dr. Frost conducted research at the Sidney Kimmel Cancer Center, and also led foundational studies to purify, clone, and characterize an enzyme gene family of human hyaluronidases while in the Department of Pathology at the University of California, San Francisco. He is an inventor in several key patents and has published multiple peer-reviewed articles in the hyaluronidase field. Dr. Frost is a member of the American Association for Cancer Research and the American Society of Clinical Oncology and a board member of BIOCOM, a life science industry organization based in Southern California. Dr. Frost received a B.A. in biochemistry and molecular biology from the University of California, Santa Cruz, and a Ph.D. in the Department of Pathology at the University of California, San Francisco.

## Speakers



**Guillaume Vignon**, *Director Business Development Oncology, Global Licensing & Business Development, Merck Serono SA*

Guillaume Vignon is Director of Business Development Oncology at Merck/EMD Serono, responsible for leading business development initiatives, designing deal structures, and negotiating terms of strategic partnerships in the field of Oncology.

Guillaume hold several positions within Global Business Development and Licensing with increasing responsibilities in all aspects of deal making. During his career at Merck/EMD Serono, Guillaume closed successfully several complex transactions and forged key partnerships in the fields of Oncology, Companion Diagnostic, and Antibody Discovery, strengthening Merck/EMD Serono's portfolio of innovative products and enhancing R&D capabilities in the field of Biologics.

Recently, Guillaume was the business development lead of the collaboration between Merck and Intrexon in the field of CAR-T. Guillaume holds an MBA from Hult International Business School, Cambridge, USA, and a Ph.D. in Biochemistry and Molecular Biology from the University of Paris 6/ Pasteur Institute, Paris, France.



**Hamza Suria**, *President & Chief Executive Officer, AnaptysBio, Inc.*

Hamza was appointed CEO in 2011 and has since led AnaptysBio's transformation from its early platform technology focus to the development of a robust antibody product pipeline across key therapeutic areas. Prior to AnaptysBio, Mr. Suria was at Maxygen, where he was responsible for partnering and alliance management of next-generation protein therapeutics in oncology supportive care, hematology and autoimmunity, including partnerships with Roche, Sanofi-Aventis, Bayer and Astellas. Mr. Suria holds a B.Sc. in biochemistry from Kalamazoo College, an M.S. in immunology from the University of Western Ontario and an Executive MBA from the Richard Ivey School of Business.



**Henry H. Ji**, *Director, President and CEO, Sorrento Therapeutics, Inc.*

Henry H. Ji Ph.D. co-founded and has served as a director of Sorrento since January 2006, and as its Chief Executive Officer and President since September 2012. Dr. Ji served as Sorrento's Chief Scientific Officer from November 2008 to September 2012, and as its Interim Chief Executive Officer from April 2011 to September 2012.

In 2002, Dr. Ji founded and was President of BioVintage, a biopharmaceutical company. From 2001 to 2002, Dr. Ji served as a VP of CombiMatrix, and was responsible for strategic technology alliances. From 1999 to 2001, Dr. Ji served as Director of Business Development, and in 2001 as VP of Stratagene (later acquired by Agilent Technologies), a biotechnology company. In 1997, Dr. Ji co-founded Stratagene Genomics, a wholly-owned subsidiary of Stratagene Corporation, and served as its President and Chief Executive Officer from its founding until 1999. Dr. Ji obtained his Ph.D. in Animal Physiology from the University of Minnesota and a B.S. in Biochemistry from Fudan University.



**Howard J. Fingert**, *Senior Medical Director, Internal and External Innovation for Oncology TA, Takeda Pharmaceuticals*

Howard J. Fingert M.D, Senior Medical Director, Internal and External Innovation, Takeda Pharmaceuticals, has over 20 years Industry experience managing clinical development, regulatory affairs, business development, leading to therapies globally registered for numerous adult and pediatric oncology indications. Board-certified in Hematology and Medical Oncology, he served on faculties at Harvard and Tufts Medical Schools. Dr. Fingert has managed numerous Industry and academic partnerships designed to support cancer sciences and new product development, and he currently serves as the Industry Representative to the FDA Oncology Drugs Advisory Committee and on the AACR Regulatory Science and Policy subcommittee.



## Speakers



**Ioannis Sapountzis**, *Global Head, Oncology Business Development and Licensing, Boehringer Ingelheim GmbH*

Ioannis is the Global Head for Oncology Business Development and Licensing at Boehringer Ingelheim. Ioannis is responsible for global scouting and licensing activities for Oncology and leads a cross-functional team for the evaluation from pre-clinical molecules to marketed products.

Ioannis joined Boehringer Ingelheim in 2005. Prior to his current role he worked in oncology research in Vienna as a medicinal chemist and project leader for several oncology and as a director of external innovation for integrated research programs and technology platforms across therapeutic areas.

Ioannis has a PhD in organic chemistry from the University in Munich, Germany. Following his graduation, he moved to Harvard University as a postdoctoral fellow working with David Evans on total synthesis of antibiotics.



**Issi Rozen**, *Senior Director, Strategic Alliances, Broad Institute of MIT and Harvard*

Issi is head of strategic alliances at the Broad Institute of Harvard and MIT, is responsible for partnering with the pharmaceutical industry and venture investors and developing innovative scientific and business collaborations. He is also responsible for initiating and establishing new ventures around novel research projects and for licensing the institute's intellectual property portfolio. He joined the Broad in 2011 after a career in the pharmaceutical industry. Before joining the Broad Institute, Rozen was director of corporate development at Resolvyx Pharmaceuticals, a venture-backed biotech start-up, where he headed business development efforts. Before that, he led the business analysis group at EMD Serono where he was responsible for evaluations of in-licensing and M&A opportunities as well as commercial analytics and forecasting. In addition, Issi is also a co-founder of a number of biotech start-ups and an accomplished jazz guitarist and has released three recordings. He earned his M.B.A. at MIT's Sloan School of Management.



**James Mulé**, *Associate Center Director for Translational Research, Michael McGillicuddy Endowed Chair of Melanoma Research and Treatment, and Director of Cell-based Therapies, Moffitt Cancer Center*

James is the Associate Center Director for Translational Research, the Michael McGillicuddy Endowed Chair for Melanoma Research and Treatment, and Director of Cell-based Therapies at the Moffitt Comprehensive Cancer Center, Tampa, Florida.

Dr. Mulé is recognized for his research and clinical trial contributions to cancer immunotherapy, particularly in solid tumors. His clinical research group is involved in developing and validating genomic signatures of immunotherapy response, as well as vaccine strategies and other approaches (e.g., adoptive T cells) to recognize and destroy tumors. The translational work in these areas has helped to develop new treatments for advanced cancer patients.

Dr. Mulé serves on Advisory Boards of numerous biotechnology companies and publicly held companies. He remains a long-standing special government employee to the FDA (CDER and CBER) and the NCI. He was Chair of the Cellular, Tissue, and Gene Therapy Advisory Committee of CBER, FDA. He currently serves on the advisory boards of several NCI-designated Cancer Centers and was a member of the NCI Director's Board of Scientific Counselors (BSC-A, clinical). Dr. Mulé also serves on the Editorial Boards of several peer-reviewed journals, including Nature - Scientific Reports (nature.com) and Cancer Immunology Research (AACR). He has published nearly 200 articles in the areas of cancer vaccines and cancer immunotherapy, and is a continuously funded investigator for over 20 years.

Dr. Mulé received a special individual Ph.D. degree in Tumor Immunology from the University of Washington and the Fred Hutchinson Cancer Research Center, Seattle, Washington. He then received his formal post-graduate training at the Surgery Branch, Division of Cancer Treatment, National Cancer Institute, NIH, Bethesda, Maryland, where he became a Senior Investigator with tenure. Dr. Mulé then moved to Palo Alto, CA, where he helped to launch and scientifically direct two biotechnology companies. He then moved to Ann Arbor, Michigan to become the Director of the Tumor Immunology and Immunotherapy Program at the University of Michigan Comprehensive Cancer Center, the Maude T. Lane Endowed Professor of Surgery with tenure, Department of Surgery, and Professor in the Department of Internal Medicine.

## Speakers



**Jarett Rieger**, *Director, OTMC & Associate General Counsel, Moffitt Cancer Center*

Jarett oversees the Office of Technology Management and Commercialization ("OTMC") at Moffitt Cancer Center. This department is responsible for patenting and licensing; startup support; and forging industry collaborations and strategic alliances. Mr. Rieger spearheaded the initial design and growth of the office, which was established in 2003 and grew the office from 3 FTEs in 2004 to 11 FTEs. He currently manages an annual operating budget greater than 1 million dollars. His office has executed 150 licenses, formed 13 startups, filed 250 original patent applications, and signed more than 3,000 research agreements.

Mr. Rieger redesigned the department internship program in 2012, which has been recognized in various publications; the department has hosted over 40 internal and external interns. He has chaired the annual Business of Biotech Conference for the past 8 years. The conference showcases Moffitt innovation and draws more than 300 attendees. Additionally, he led the preparation and execution of a 3-year department strategic plan.

Mr. Rieger was promoted from Technology Transfer Associate to Manager in 2005; promoted from Manager to Director in 2006. Prior to joining Moffitt, Mr. Rieger practiced as a patent attorney at Breed Technologies in Lakeland, Florida.

With regards to leadership community programs, Mr. Rieger is a graduate of Leadership Tampa, Class of 2012, and Leadership Hillsborough, Class of 2010. Mr. Rieger earned his Juris Doctor and Master of Business Administration degrees from Stetson University College of Law in Saint Petersburg, Florida; he received his Bachelor of Arts in Chemistry from Rollins College in Winter Park, Florida.



**Jason Coloma**, *Vice President, Head of Oncology and Cancer Immunology Partnering, Roche*

Jason Coloma is the Head of Oncology and Cancer Immunology in Roche Partnering responsible for (1) finding partners bringing first- and best-in-class therapeutics in the fields of angiogenesis, antibody conjugates and therapeutic antibodies and (2) expanding the field of cancer immunotherapy, looking for therapeutic modalities such as antibodies, small molecules and cancer vaccines to complement and synergize with the existing pipeline in the modulation of the tumor microenvironment, in providing tumor targeted immunomodulation and ultimately engineer a systemic modulation of immunity against cancers.

Jason originally joined RP in 2013 as Head of Venture and Innovation Partnering, where he has since led or oversaw over 90 agreements including the acquisitions of Santaris and Dutalys, as well as the majority acquisition and alliance with Foundation Medicine. Jason was previously Head of the Diagnostics Program Office responsible for supporting the Diagnostics Chief Operating Officer in various strategic initiatives and partnering activities.

Prior to his time at Roche, Jason worked in the biopharmaceutical industry both as a strategy consultant and working in operational roles. As a strategy consultant, he primarily worked with biotechnology start-up companies, venture capital and private equity firms working on a range of issues including partnering deal support, evaluating the business opportunity of innovative discoveries and implementing external innovation models. Jason also held research and business positions at Amgen, the University of California, San Francisco as well as biotechnology startups.

Jason completed his graduate studies in Immunology at the University of California, Berkeley as well as his MBA from the Tuck School of Business at Dartmouth.



**Jeffrey Bacha**, *President & CEO, Del Mar Pharmaceuticals*

Jeffrey is a seasoned executive leader with nearly twenty years of life sciences experience in the areas of operations, strategy and finance. His background includes successful public and private company building from both a start-up and turn around perspective; establishing and leading thriving management and technical teams; and raising capital in both the public and private markets. Mr. Bacha serves as a Director of Sernova Corp. (TSX-V: SVA), was the founding CEO of Inimex Pharmaceuticals Inc and co-founder of XBiotech and Urogen Holdings Inc. He has also held positions as an Exec. VP Corporate Affairs & Chief Operating Officer at Clera Inc., VP Corporate Development at Inflazyme Pharmaceuticals Ltd. (TSE: IZP) and Senior Manager & Director at KPMG Health Ventures. Mr. Bacha has been recognized as a "Top 40 under 40" executive by Business in Vancouver magazine and is active in the community through volunteerism with the Leukemia & Lymphoma Society's Team in Training program and as Chairman of the Board for Covenant House Vancouver, an organization dedicated to assisting at-risk and homeless youth to re-enter society. He received his MBA(honors) from the Goizueta Business School at Emory University and a B.Sc. in BioPhysics/Premed from the University of California, San Diego.

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**Ji Li**, *Vice President, Business Development and Licensing*, **Merck Research Laboratories**

Ji joined Merck in 2013 as VP BD&L and Head of Late stage Assessment. In this position, Dr. Li is overseeing Merck's global effort in the assessment of all late stage partnering opportunities across all TAs. Prior to joining Merck, Dr. Li held the position of Executive Director, External R&D at Amgen where he was leading the company's search and evaluation function for all product-related business development transactions worldwide. Prior to his business development career, Dr. Li was a discovery scientist at Amgen in the area of bone, inflammatory and metabolic diseases. Dr. Li holds a B.S. from Shanghai Medical University in China and Ph.D. from Mount Sinai School of Medicine in NYC.



**John DeYoung**, *Vice President, Worldwide Business Development*, **Pfizer, Inc.**

John is Vice President of Worldwide Business Development for Pfizer's Oncology Business Unit. In addition to leading oncology business development, John also has corporate business development responsibilities. John leads a team that provides search and evaluation and transaction support for oncology. John joined Pfizer in 1991 in U.S. Pharmaceutical Finance. After three years in Finance, John joined the U.S. Marketing organization supporting Norvasc, Procardia XL, and New Product Development (NPD). In 1997, John became the U.S. Team Leader of NPD and in 2000 his role was expanded to Group Leader of Worldwide Pharmaceuticals. In 2006, John joined Worldwide Business Development. He is a member of the Oncology Leadership Team and Worldwide Business Development Leadership Team.

John received his bachelor's degree in Business from Michigan State University in 1985 and his MBA from the University of Chicago in 1990.



**Jonathan Pachter**, *VP, Head of Research*, **Verastem, Inc.**

Dr. Pachter has over 25 years of experience in leading discovery and translational research for small molecule and monoclonal antibody anti-cancer therapeutics. Verastem is focused on development of FAK and PI3K/mTOR inhibitors that preferentially target Cancer Stem Cells. He was previously Head of Cancer Biology at OSI Pharmaceuticals where his team was responsible for development of models of tumor cell EMT (epithelial-mesenchymal transition) and discovery of drugs disrupting this process. At OSI, he advanced five small molecules into development for treatment of cancer, including OSI-906 – a selective IGF-1R/ insulin receptor kinase inhibitor which progressed to phase III clinical trials and OSI-027 – a selective mTOR kinase inhibitor. Prior to OSI, Dr. Pachter held positions of increasing responsibility at Schering-Plough where he progressed three agents into development including the monoclonal antibody robatumumab which advanced to phase II clinical evaluation in cancer patients. Dr. Pachter also made key contributions to the regulatory approval of temozolomide for treatment of glioblastoma. He is an author of over 50 peer-reviewed publications and inventor on numerous patents. Dr. Pachter did his postdoctoral work in Pharmacology at Yale University School of Medicine and he holds a Ph.D. from Baylor College of Medicine.



**Joseph Sum**, *Director of Research*, **EcoR1 Capital, LLC**

Joseph has spent the past eight years hunting for promising investments that may lead to solutions for devastating diseases. As the Director of Research at EcoR1 Capital LLC, Mr. Sum identifies and assesses opportunities to fund talented management teams in pursuit of novel therapeutic drugs and technologies. He was previously a biotech specialist at a \$15B asset management firm, and worked as an Analyst for BVF Partners, where he led the successful spin off of Ziarco Pharma from Pfizer. Mr. Sum serves on the board of the New York-based Breast Cancer Task Force, which provides early cancer detection and treatment services to patients without health insurance, and has served on the boards of Ziarco Pharma and Airmid, Inc. He has Bachelor of Science degrees in Chemical Engineering and Materials Engineering from the University of California, Berkeley, and is a CFA Charterholder.

## Speakers



**Kevin Slawin**, *Founder, Chief Technology Officer, Bellicum Pharmaceuticals, Inc.*

Kevin founded Bellicum Pharmaceuticals with David Spencer, Ph.D. in 2004, and was the Founding CEO until 2006, when Tom Farrell joined the Company. He has previously served as Bellicum's Executive Chairman and Chief Medical Officer. He is currently Chief Technology Officer. Previously, Dr. Slawin had a long tenure in academic medicine at Baylor College of Medicine, where he most recently was the Dan Duncan Professor in Prostate Cancer and Prostatic Diseases, and Director, The Baylor Prostate Center, until 2007. He is a pioneer in the field of robotic surgery, co-inventor of P2PSA, the basis of the new FDA approved "prostate health index" prostate cancer screening test, and a thought leader in the diagnosis and treatment of prostate cancer. He received his B.A. and M.D. at Columbia University, where he was inducted into Phi Beta Kappa and Alpha Omega Alpha, and completed an American Foundation of Urologic Diseases Scholar Fellowship in Urologic Oncology at Baylor College of Medicine.



**Kuldeep Neote**, *Senior Director, New Venture and Scout, J&J Innovation Center-Boston*

Kuldeep Neote Ph.D., is Senior Director at J&J Innovation Center-Boston, and is responsible for New Venture and Scouting opportunities in the areas of Oncology and Immunology in the East Coast.

Dr. Neote is trained as a Molecule Biologist with an extensive background in drug discovery. He has been focused in the area of Immunology, Inflammation and Oncology and has a passion for implementing cutting edge scientific discoveries into practical drug discovery programs. Throughout his career, he has looked at creative scientific and business development collaborative and partnering opportunities that have resulted in tangible clinical translation of new scientific discoveries working in conjunction with academic and biotech companies.

Formerly, Dr. Neote was Research Advisor/Director in Global External R&D at Eli Lilly in Indianapolis, IN. Prior to Eli Lilly, he was a Discovery Scientist in Pfizer Inc. in Groton, CT. Dr. Neote initiated the Chemokine Receptor Drug Discovery platform that led to several clinical candidates, and also discovered novel chemokines. Earlier in his career, Dr. Neote cloned one of the first chemokine receptors during his post-doctoral studies in Genentech.

Dr. Neote earned his BSc. in Microbial and Cellular Biology at the University of Calgary, Calgary, Canada, and a Ph.D. in Human and Molecule Genetics at the University of Toronto, Toronto, Canada, where he was a major contributor in the understanding of the molecular basis of lysosomal storage diseases, in particular Tay Sachs and Sandhoff's disease.



**Lee Greenberger**, *Chief Scientific Officer, The Leukemia and Lymphoma Society*

Lee Greenberger has over 25 years of experience in Oncology Research and Development. Since September 2013, Lee has been Chief Scientific Officer of the Leukemia and Lymphoma Society. His responsibilities focus on planning and executing the strategy for all LLS research programs, including a grant portfolio with 320 active projects, the Therapy Acceleration Program (TAP) with over 15 opportunities, as well as other research initiatives.

Dr. Greenberger guides LLS's efforts to translate innovative research into clinical trials that ultimately will pave the way for new therapies to treat blood cancers. The total annual budget for these activities is approximately \$75 M. Immediately prior to LLS, Dr. Greenberger was global head of search and diligence for oncology and immunology at Bristol-Myers Squibb where he examined opportunities for over 200 oncology companies and helped set the business strategy for oncology and immunology. Prior to that, he served for six years as vice president for research at Enzon Pharmaceuticals where he was responsible for pre-clinical pharmacology, toxicology, process development, and analytical chemistry efforts associated with the discovery and development of oncology assets. Prior to Enzon, Lee held positions of increasing responsibility in the research organizations of Johnson & Johnson and Wyeth Pharmaceuticals, where he began his industry career in 1990 at American Cyanamid/Lederle Laboratories, which was later acquired by Wyeth. He was given the President's Award for his work at Wyeth.

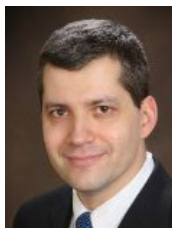
Dr. Greenberger holds a bachelor's degree from the University of Rochester and a Ph.D. from Emory University. He has done post-doctoral work at Columbia University and was on faculty at the Albert Einstein College of Medicine. Dr. Greenberger has produced more than 85 publications, mostly focused on oncology, during his research career.

## Speakers



**Margarita Chavez**, *Director, Ventures & Early Stage Collaborations, AbbVie, Inc.*

Margarita has over 15 Years of dealmaking experience. She has been in her current role since June 2010 (then Abbott Biotech Ventures), leading investments and managing portfolio companies in the US and Europe. Before joining AbbVie Ventures, Ms. Chavez was a Director in Abbott's Global Pharmaceutical Licensing & Acquisitions Division. Margarita was previously Senior Counsel in Abbott's Legal Division. Before joining Abbott, Margarita practiced as a corporate and securities lawyer in Silicon Valley with the firm of Brobeck Phleger & Harrison, advising startups, venture funds and investment banks in financings, M&As and IPOs. Santa Clara University JD 1997; BS 1994 .



**Maxim Jacobs**, *Senior Health Analyst, Edison Group*

Maxim is Senior Healthcare Analyst at Edison Investment Research with 15 years' worth of healthcare equities experience. He joined Edison in December from from Guidepoint Global where he was a Director of Survey & Tracker Research, conducting extensive primary research across healthcare markets. Prior to this he was a senior healthcare analyst and the therapeutic sector head at Ridgemark Capital, Broadfin Capital and a healthcare analyst at Mehta Partners. Maxim is a CFA Charter holder and graduated Magna Cum Laude with a BA in Economics from the University of Pennsylvania.



**Mike Attar**, *Executive Director, Business Development, Celgene*

Mike joined Celgene's Business Development team following the company's acquisition of Abraxis BioScience in the fall of 2010. In the 4+ years Michael has been with Celgene, he has successfully completed 11 transactions and has taken the lead from a BD perspective in putting in place the company's biologics collaborations, including deals announced with OncoMed, Adimab, AnaptysBio, Inhibrx, Sutro Biopharma and Zymeworks. The Inhibrx and Sutro Biopharma collaborations were specifically focused on immuno-oncology. Michael joined Abraxis in early 2008, and among other accomplishments, helped establish the Abraxis commercial presence in China and helped lead the commercial launch of Abraxane in that market. Prior to joining Abraxis, Michael was involved in the tech / telecom area, working for two technology companies in southern California. Prior to these engagements, Michael was a sell-side Research Analyst at Morgan Stanley covering the wireless telecom space. Michael received his undergraduate degree from the Johns Hopkins University and his MBA from the Kellogg School of Management at Northwestern University.



**Mike Rice**, *Senior Consultant, Defined Health*

Since joining Defined Health in 2005, Mike Rice has participated on project teams and managed projects pertaining to cardiovascular disease, oncology and a variety of other therapeutic areas, as well as those focused on complex therapeutics such as protein and gene based therapies for monogenetic diseases. Mike brings to Defined Health over 10 years of experience as a biotech entrepreneur. Most recently, as Strategic Business Development Analyst for Tapestry Pharmaceuticals, Mike combined technical knowledge and business analytics to evaluate early stage development pipelines for partnering and licensing efforts. He was previously involved in translational research and technology transfer as Project Leader in Genomics at the Delaware Biotechnology Institute. Mike gained exposure to the venture capital community as a technological founder and New Product Development Manager of the genomics and gene therapy firm, Kimeragen, Inc.

Mike studied the molecular basis of cancer at the Kimmel Cancer Institute and is recognized for his extensive intellectual property and publication portfolio pertaining to cancer genetics, DNA repair, human gene therapy, molecular diagnostics, and agricultural trait improvement.

Mike holds an MBA, New Venture Creation, Biotechnology Degree from the Alfred Lerner School of Business and Economics, an MS in Molecular Pharmacology from Thomas Jefferson University and a BS in Biology from the University of Delaware.

## Speakers



**O. Prem Das**, *Chief Business Development Officer, Dana-Farber Cancer Institute*

O. Prem Das PhD, is Chief Research Business Development Officer at Dana-Farber Cancer Institute (DFCI) and heads DFCI's Office of Research and Technology Ventures (ORTV). ORTV is responsible for patenting and licensing discoveries made by DFCI researchers to outside company to create income. ORTV also works with DFCI faculty and Integrative Research Centers to enhance relationships with the corporate sector, generating sponsored research agreements and collaboration opportunities in both clinical and preclinical research.

Prem's background includes around eight years of experience in managing academic technology transfer offices, twelve years in biotechnology business development, and fifteen years in basic research. Prior to joining DFCI in 2012, Prem was involved in starting up companies and consulting for biotechnology companies and the NCI. From 2006 to 2007, he served as Senior Vice President for Technology Alliances at Praecis Pharmaceuticals, where his business development efforts led to the acquisition of the company by Glaxo SmithKline. Prem directed the Office of Technology Licensing at Harvard Medical School from 2003 to 2006 and the Office of Industrial Affairs at Memorial Sloan-Kettering Cancer Center from 2000 to 2003. He co-founded Heartland BioTechnologies and was Director of Business Development at Cadus Pharmaceuticals in the '90's.

During his academic research career, Prem has published in diverse areas of biology and chemistry. He received his MSc in chemistry from IIT/Kanpur in India and his PhD in biological chemistry from MIT.



**Peter Emtage**, *Vice President, Immunology Research, Intrexon Corporation*

Peter Emtage, Ph.D. is the VP of Synthetic Immunology at Intrexon. Prior to joining Intrexon, Peter was the VP of Immune Mediated Therapy at MedImmune and held senior positions at Femta Pharmaceuticals and Nventa Biopharmaceuticals. Peter is an immunologist by training and over the past 20 years has focused on developing drugs to modulate the immune response in humans. His work in oncology and infectious disease has included the utilization of viral and non-viral delivery systems, chimeric antigen receptor and TCR adoptive T cell modalities, and monoclonal antibody development. His career started with a post-doctoral fellowship at the National Institutes of Health followed by his role as Research Scientist at Aventis Pasteur and then Instructor in Medicine at Harvard Medical School.



**Peter Hoang**, *Senior Vice President, Business Development & Strategy, Bellicum Pharmaceuticals, Inc.*

Peter Hoang is the Senior Vice President, Business Development & Strategy at Bellicum Pharmaceuticals, where he is head of business development, corporate development and business strategy. He has over 18 years of finance and deal experience in investment banking and venture capital. Prior to Bellicum, he was the Managing Director, Innovations for The University of Texas MD Anderson Cancer Center and headed the institution's new venture formation and development effort.

Prior to MD Anderson, he was a senior investment banker, most recently as Managing Director and head of healthcare mergers & acquisitions advisory for CIT Group. Previously, he also served in the M&A departments at Oppenheimer, J.P. Morgan, Merrill Lynch and Deutsche Bank. He earned high honors distinction with an M.B.A. from the Anderson School of Management at UCLA and a B.A. from Yale University.

## Speakers



**Peter Sandor**, *Vice President, Global Marketing Oncology, Amgen*

Peter is the Vice President, Global Marketing Oncology at Amgen. He is responsible for the successful realization of the commercial potential for Amgen's oncology assets.

Peter has 19 years of progressive marketing experience. Prior Amgen, he has held different positions at Bayer Healthcare, including Head of Strategy and Portfolio Management Specialty Medicine, Commercial Development and Life Cycle Management Global Oncology. He also worked for Berlex Laboratories as the lead of the global launch team for a key oncology compound, and held multiple marketing roles with Schering AG in Germany and Hungary.

Peter started his career in bench research as a scientific advisor of the Hungarian Academy. He received his MDS Marketing and MBA from Middlesex University, London and Faculty of Business and Economy, University of Pécs, Hungary, and his MD from University of Pécs, Hungary.



**Peter Thompson**, *Private Equity Partner, OrbiMed Advisors, LLC*

Peter Thompson, M.D., is currently a Private Equity Partner with OrbiMed who brings over 20 years of industry experience. He co-founded and was CEO of Trubion Pharmaceuticals (NASDAQ: TRBN), co-founded Cleave BioSciences, is an executive of Chiron Corporation and Becton Dickinson and serves as a Director on several public and private company Boards. Dr. Thompson is an Ernst & Young Entrepreneur of the Year awardee, an Affiliate Professor of Neurosurgery at the University of Washington, an inventor on numerous patents, and a board-certified internist and oncologist. He was on staff at the National Cancer Institute following his internal medicine training at Yale University.



**Reginald Seeto**, *Vice President, Head of Partnering & Strategy, MedImmune*

Dr Seeto rejoined MedImmune's executive team in 2013 to lead the Partnering and Strategy Group. He is responsible for MedImmune's Business Development and Strategy teams that will deliver our external partnership strategy including academic collaborations, licensing of innovative assets and technologies and government alliances/partnerships and for all therapy area strategies. During the last 12 months, he and his team have completed several key acquisitions (Amplimmune, Spirogen), licensing deals (ADCT, Immunocore, NGM) and academic collaborations (JHU and University of MD).

During 2011-12 Dr. Seeto was on an expatriate assignment as the President of AstraZeneca Thailand, where he was the first MedImmune executive to participate in a talent exchange and development program with AstraZeneca. Under his leadership, Thailand achieved its sales targets for the first time in 5 years and was awarded the RVP Award for Leadership for management of the country's worst floods in more than half a century.

Dr. Seeto originally joined MedImmune in 2008 as the Vice-President of Global Strategic Marketing and Portfolio Management where he worked closely with the R&D leadership team. He was later promoted to MedImmune's executive team, where he led the Corporate Development and Strategy Group which included the following departments: business development, corporate strategy, corporate projects, MedImmune Ventures and portfolio management.

Prior to MedImmune, Dr. Seeto was Vice President of Global Marketing for Schering Plough/Organon Biosciences and Executive Director of US Marketing for Boehringer Ingelheim Pharmaceuticals. Earlier in his career he was a consultant at McKinsey & Company and started his career as a medical doctor involved in both clinical practice and research. He has also published first author publications in peer reviewed journals. Dr. Seeto holds his medical degree (with honors) from the University of Sydney, Australia.

## Speakers



**Richard Gregory**, *EVP & Chief Scientific Officer, ImmunoGen, Inc.*

Dr Gregory received his Ph.D. in Biochemistry from the University of Massachusetts at Amherst in 1986, followed by post-doctoral research in cancer genetics at the Worcester Foundation for Experimental Biology in Shrewsbury MA. In 1989 he joined Genzyme Corporation, where he was responsible for a number of discovery projects in the molecular biology department. In 1990, his group at Genzyme was the first to express the cystic fibrosis transmembrane conductance regulator (CFTR) protein and to determine the molecular defect caused by the most common mutation of CFTR. From 1993 to 1995 he was Director of Molecular Biology at Canji, Inc. in San Diego, where he led research and development of therapeutics based upon tumor suppressor genes. Richard returned to Genzyme in 1995 as Vice President for Gene Therapy. Efforts under Dr. Gregory's direction during this period included programs in cancer immunotherapy, gene therapies for genetic diseases and cardiovascular gene therapy. In 2003 Richard became Senior Vice President and Head of Research for Genzyme Corporation where he was responsible for early R&D, from discovery to development, in all therapeutic areas at Genzyme. In 2011, following the acquisition of Genzyme by Sanofi, Richard was appointed Head of the Sanofi Genzyme R&D Center, overseeing R&D in rare diseases, multiple sclerosis, immune disorders and tissue protection/regenerative medicine. In January of 2015 Dr. Gregory joined ImmunoGen, where he is responsible for research leading to new antibody based therapeutics to address the unmet needs of patients with cancer. He is the co-author of over 60 peer-reviewed publications and 23 issued U.S. patents in the area of biotechnology. Richard is a Fellow of the American Institute for Medical and Biological Engineering.



**Robert Petit**, *Chief Scientific Officer, Executive Vice President, Advaxis, Inc.*

Dr Robert Petit has 23 years of experience in all medical and scientific aspects of pharmaceutical development. He has led programs in discovery, translational development and intellectual property development and has designed and conducted U.S. and international clinical evaluation programs from phase I to IV. Dr. Petit joins Advaxis from Bristol Myers Squibb where he was the U.S. Medical Strategy Lead for the Ipilimumab program, director of Medical Strategy for New Oncology Products, and director of Global Clinical Research. Prior to joining Bristol Myers-Squibb, Robert served as vice president of Clinical Development at MGI Pharma and also at Aesgen Inc. His scientific focus has been to develop immunologic based therapies with a particular emphasis on immunologic oncology treatment. Robert has had significant FDA experience and has contributed to five NDA/BLA filings. Dr. Petit has a Doctorate from the Ohio State University College of Medicine and a B.S. from Indiana State University.



**Sharon Benzeno**, *Senior Director, New Product Development, Adaptive Biotechnologies*

Sharon is an expert in cancer medicine, diagnostics, clinical development and alliance management. Sharon is currently Senior Director, New Product Development at Adaptive Biotechnologies. Sharon is responsible for product and business development of Adaptive's immuno-oncology clinical diagnostics pipeline. Prior to Adaptive, Sharon was at Elsevier R&D Solutions leading business development and global strategy of Elsevier's bioinformatics portfolio. Before Elsevier, Sharon was Co-Leader of the oncology business unit of Capgemini Consulting's pharmaceutical and biotechnology practice. Prior to Capgemini, Sharon was Alliance Manager and Senior Regional Scientific Manager at AstraZeneca developing strategic partnerships to accelerate AstraZeneca's innovative drug discovery and clinical development programs. Sharon has a BA in Biochemistry from New York University, a PhD in Biomedical Sciences from New York University School of Medicine and an MBA in Finance from New York University Stern School of Business. Sharon completed her postdoctoral fellowship at the Abramson Cancer Center of the University of Pennsylvania.



## Speakers



**Stephen Rubino**, *Global Head, Business Development and New Products Marketing, Cell & Gene Therapy Unit, Novartis Pharmaceuticals Corporation*

As Global Head of Business Development and New Product Marketing, Stephen is responsible for building the product pipeline for Novartis' newly created Cell & Gene Therapy Unit. Stephen has over 20 years of pharmaceutical experience, predominantly in US and Global commercial, strategy and business development roles. Since joining Novartis in 2001, Stephen has served in a number of different roles which include head of Investor Relations for North America; head of Strategic Planning & Business Development for US Gen Meds; and head of New Product Marketing for the US Gen Meds business. Prior to joining Novartis, Stephen spent 10 years at Schering –Plough where his last role was head of the Global Solid Tumor Oncology & Autoimmune Business Unit.

In addition, Stephen is published in the scientific literature and a holder of US patents. Stephen received a PhD in Microbiology/Virology from Cornell University, Masters in Business Administration and Policy from Baruch College, and a BS in Biology from Muhlenberg College.



**Tanja Weber**, *Strategy & Business Development, VP Oncology Corporate Licenses, Sanofi*

Tanja has more than 18 years of experience in the pharmaceutical industry in various Legal and Business Development (BD) functions. Ms. Weber started her career at Hoechst AG in Frankfurt, Germany (one of Sanofi's predecessor companies) where she rapidly joined the legal team supporting BD and M&A. Following the creation of Aventis, Ms. Weber moved in 2000 to Bridgewater, New Jersey to become a member of Aventis' legal team supporting global business development. In 2003 Ms. Weber transferred from the legal function to business development and joined the Aventis US BD department. With the acquisition of Aventis by Sanofi, Ms. Weber moved in 2005 to France to join Sanofi's corporate BD department at the headquarter offices in Paris assuming responsibility for global BD opportunities related to North America. In 2009, Ms. Weber took over responsibility for the BD activities of Sanofi's then newly created Oncology Division. In this function, Ms. Weber relocated to Cambridge, MA in 2013.



**Thilo Schroeder**, *Partner, Nextech Invest Ltd*

Before joining Nextech Invest Ltd. in 2012, Schroeder has gained in-depth experience in protein engineering and biotechnology. Schroeder holds a PhD in biochemistry of the University of Zurich, Switzerland, specializing on the development of Designed Ankyrin Repeat Protein (DARPs) as specific protein inhibitors. Earlier he acquired expertise in molecular biology as an Intern at Micromet Ltd. and during his MSc thesis at the University of Sydney. Thilo Schroeder is president of SIROP, a web based technology which connects leading universities in Europe and world-wide.

Mr. Schroeder is responsible for the following Nextech Invest portfolio companies: Kura Oncology, ImaginAB, TRACON, Peloton, Blueprint



## Abzena plc

www.abzena.com

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### YEAR FOUNDED

2014

### FINANCIAL SUMMARY

The Group's strategy is to continue its growth as a provider of services and technologies to address critical R&D issues to enable the development of better biopharmaceuticals. Growth of the service revenues will be driven through leveraging of our brands and cross-selling to existing and new customers. Additional longer term revenue growth will be realised through the receipt of milestone payments and royalties as customers' products that have been enhanced by Abzena's technologies progress through development to the market.

The total raised at Admission to AIM for the Company was £20.6 million with £20.0 million raised on the issue of new equity and £0.6 million raised through the exercise of warrants. After all costs and expenses, the net proceeds of the IPO were £19.0 million.

Abzena currently had eight products derived from its Composite Human Antibody platform disclosed as being in clinical development. These were the most advanced products created using the Group's technologies under development by its partners and are part of the portfolio of more than 30 licence and licence option agreements granted by the Group.

### COMPANY PROFILE

Abzena provides proprietary technologies and complementary services to enable the development of better biopharmaceuticals. The Group comprises PolyTherics and Antitope which have established a broad suite of services and technologies that are designed to improve the chances of successful development of antibodies and proteins with enhanced therapeutic benefits.

Antitope provides bespoke immunology studies for immunotherapy, vaccine design, and immunogenicity assessment. Further to this Antitope provides protein engineering to create humanized antibodies, deimmunised therapeutic proteins and offers bespoke engineering programs to assist in enhancing immune responses. Antitope also has a strong background in cell line development for manufacturing biotherapeutics.

PolyTherics specializes in proprietary site-specific conjugation technologies for antibody drug conjugate development and solutions for optimization of the therapeutic properties of biopharmaceuticals.

The Group has built a global customer base over the past decade which includes the majority of the top 20 biopharmaceutical companies, many large and small biotech companies, and academic groups.

### MANAGEMENT

**John Burt**, *Chief Executive Officer*

**Julian Smith**, *Chief Financial Officer*

**Matthew Baker**, *Chief Scientific Officer*

**Sally Waterman**, *Senior VP Corporate Development*

**Neil Butt**, *VP Business Development*

**Donna Hackett**, *VP Intellectual Property, Commercial and Legal Affairs*

**Jim Mills**, *VP Technical Operations*

**SACHS**  
ASSOCIATES

Sachs  
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**YEAR FOUNDED**

2002

**FINANCIAL SUMMARY**

Current Assets:	Cash \$ 30,577,964 \$ 17,606,860 Prepaid Expenses 51,037 182,978 Income Tax Receivable 1,731,317 Other Current Assets 8,182 8,182 Deferred Expenses - current 882,467 964,724 Total Current Assets 31,519,650 20,494,061 Property and Equipment (net of accumulated depreciation) 70,467 77,369 Intangible Assets (net of accumulated amortization) 2,920,929 2,767,945 Other Assets 38,438 38,438 TOTAL ASSETS 34,549,484 23,377,813
Current Liabilities:	Accounts Payable 1,524,694 1,411,058 Accrued Expenses 1,257,260 1,241,796 Short-Term Convertible Notes and Fair Value of Embedded Derivative 62,882 62,882 Total Current Liabilities 2,844,836 2,715,736 Common Stock Warrant Liability 304,331 32,091 Total Liabilities 3,149,167 2,747,827 Commitments and Contingencies
Shareholders' Equity:	Preferred Stock, \$0.001 par value; 5,000,000 shares authorized; Series B Preferred Stock; issued and outstanding 0 at January 31, 2015 and October 31, 2014. Liquidation preference of \$0 at January 31, 2015 and October 31, 2014. Common Stock - \$0.001 par value; authorized 45,000,000 shares, issued and outstanding 24,021,955 at January 31, 2015 and 19,630,139 at October 31, 2014. 24,021 19,630 Additional Paid-In Capital 125,401,303 107,601,493 Accumulated Deficit (94,025,007) (86,991,137) Total Shareholders' Equity 31,400,317 20,629,986 TOTAL LIABILITIES AND SHAREHOLDERS' EQUITY \$ 34,549,484 \$ 23,377,813

**COMPANY PROFILE**

Advaxis is a clinical-stage biotechnology company focused on developing cancer immunotherapies that use the body's natural immune system to redirect the immune response to kill cancer. For decades, cancer researchers have been trying to stimulate the body's immune system to identify and kill cancer cells, with the goal of creating a standard "immunologic" treatment against tumors that is more effective and more tolerable than traditional chemotherapy or radiation. Our clinical programs, are evaluating the ability of Advaxis cancer immunotherapies to improve survival and reduce the frequency and severity of side-effects commonly associated with standard chemotherapy and radiation.

Advaxis's technology was discovered at the University of Pennsylvania and is based on live attenuated bioengineered gram positive bacteria that stimulate the patient's own immune system to selectively target cancer cells for elimination, while reducing tumor defenses in the microenvironment. Capitalizing on the body's ability to still recognize and attack a "perceived" bacterial infection, Advaxis's technology - like a Trojan Horse - delivers an army of genetically engineered bacteria to "trick" the patient's immune system into thinking that the cancer cells are bacterially infected cells and should therefore be eliminated. Advaxis is developing the only cancer immunotherapies shown to actively suppress the key components in the tumor microenvironment (Treg's and MSDCs) that protect the tumor from immunologic attack and contribute to tumor progression.

Advaxis has validated the versatility of its platform technology by demonstrating preliminary clinical safety and efficacy with two different immunotherapies - ADXS-HPV in women with recurrent cervical cancer and with ADXS-cHER2 in pet dogs with bone cancer (osteosarcoma). Advaxis is progressing both of these product candidates to the next stage of clinical development with the goal of regulatory approval and commercialization. Advaxis has three commercial partnerships with major biopharmaceutical companies for the development and commercialization of Advaxis immunotherapies: ADXS-HPV for HPV-associate cancers in countries outside the U.S. and ADXS-cHER2 and other cancer immunotherapies for the animal-health global oncology market. Advaxis has created more than 20 distinct immunotherapies based on its proprietary platform technology and continues to add new constructs to the development pipeline. Advaxis has established several strategic collaborations with recognized cancer centers of excellence, such as the University of Pennsylvania, Georgia Regents University Cancer Center, University of California San Francisco, Brown University and Mount Sinai's Icahn School of Medicine.

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**YEAR FOUNDED**

2002

...continued

**PRODUCT PIPELINE**
**ADX5-HPV ADXS-HPV Clinical Program for Human Papilloma Virus (HPV)-Associated Cancers**
**Cervical Cancer:**

Advaxis has completed a randomized phase II clinical trial evaluating ADXS-HPV +/- cisplatin in patients (n = 110) with recurrent cervical cancer in India. Overall survival rates achieved in this study relative to historical controls treated with standard therapy prompted the US cooperative Gynecologic Oncology Group (GOG) to initiate a 2-stage investigation of ADXS-HPV monotherapy in a similar recurrent cervical cancer population. In January 2015, first results from the GOG-0265 study indicated that stage 1 of the phase II open-label clinical study (n = 29 patients) met the predetermined safety and 12-month survival criteria required to proceed into the second stage of patient enrollment. Additionally, Advaxis and the GOG Foundation, Inc. have entered into a second clinical trial agreement to conduct an adequate and well-controlled phase III clinical trial of concurrent chemotherapy and radiation therapy (CCRT) compared to CCRT combined with ADXS-HPV in women diagnosed with high-risk, locally advanced cervical cancer. Advaxis intends to request a Special Protocol Assessment from the US Food and Drug Administration (FDA) prior to commencing this collaborative study.

ADX5-HPV is being evaluated in 3 additional clinical trials for HPV-associated cervical cancer either alone at higher doses than those utilized to date, or in combination with other immunotherapeutics (MedImmune's MEDI4736 and Incyte's epacadostat).

**Head and Neck Cancer:**

ADX5-HPV is under evaluation in 2 clinical trials for HPV-associated head and neck cancer (HNC). The first is a "window of opportunity" phase I-II study initiated at the Icahn School of Medicine at Mount Sinai investigating the effects of the immunotherapy in patients newly diagnosed with HPV-positive HNC, prior to receiving any chemotherapy or radiation. The second study is being conducted in combination with MedImmune's MEDI4736, and will enroll patients with either HPV-associated advanced head and neck or cervical cancer.

**Anal Cancer:**

The ADXS-HPV development program in anal cancer includes an ongoing phase I-II study assessing the safety and effectiveness of the immunotherapy administered with concurrent standard chemotherapy and radiation treatment. The trial is sponsored and coordinated by Brown University Oncology Research Group. Although a relatively rare tumor, virtually all cases of squamous cell cancer of the anus are caused by HPV infection. The study will seek to enroll 25 patients.

ADX5-HPV has received Orphan Drug Designation from the FDA for cervical cancer, HNC, and anal cancer.

ADX5-HPV is an immunotherapy that is under investigation for targeting cells that have been transformed into dysplastic and malignant tissues by HPV. It is hypothesized that eliminating these cells can eliminate the dysplasia or malignancy. ADXS-HPV is being researched for its potential to gain access to antigen-presenting cells and direct them to generate a cellular immune response to HPV E7. Advaxis is investigating whether the resulting cytotoxic T cells can infiltrate and attack tumors. The Advaxis Lm-LLO technology platform also is being researched for inhibition of T-regulatory cells (Tregs) and myeloid-derived suppressor cells (MDSCs) within tumors without causing autoimmunity.

**HPV as a Therapeutic Target:**

In 2009, the Centers for Disease Control reported that about 45% of women aged 20 to 24 had HPV. Oncogenic HPV has a causal role in nearly all cervical cancers and in many vulvar, vaginal, penile, anal, and oropharyngeal cancers. Two vaccines (bivalent and quadrivalent) are available to protect against HPV types 16 and 18, which are responsible for 70% of cervical cancers. HPV 16 also is the most common HPV type found in the other 5 cancers often associated with HPV. During 2004–2008, an average of 33,369 HPV-associated cancers were diagnosed annually (rate: 10.8 per 100,000 population), including 12,080 among males (8.1 per 100,000) and 21,290 among females (13.2). (<http://www.cdc.gov>)

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**YEAR FOUNDED**

2002

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The American Cancer Society estimates that in 2015 there will be about 12,900 newly diagnosed cervical cancer cases, 45,780 oropharyngeal cancers (of which 72% are believed to be associated with HPV infection).

**ADX-PSA ADXS-PSA Clinical Program for Prostate Cancer**

ADX-PSA is currently in development for the treatment of prostate cancer and has been evaluated preclinically both as a single agent and in combination with other immunotherapies. In December 2014 the FDA cleared Advaxis' Investigational New Drug (IND) application to conduct a phase I-II clinical study to evaluate the combination of ADXS-PSA (ADX31-142) with Keytruda® (pembrolizumab), marketed by Merck & Co., Inc., in patients with previously treated, metastatic castration-resistant prostate cancer. The phase I part of the trial, which will be the first-in-human study of Advaxis' lead Lm-LLO immunotherapy product candidate in prostate cancer, is expected to begin patient enrollment in the first quarter of 2015 and will be a dose-escalating study designed to establish the maximum tolerated dose of ADXS-PSA when used alone and in combination with Keytruda. The phase II portion will assess the safety and efficacy of the combination immunotherapy regimen.

ADX-PSA is an immunotherapy that is under investigation for targeting the prostate-specific antigen (PSA) associated with prostate cancer. By incorporating PSA into the Advaxis live, attenuated vector, Advaxis is studying the delivery of the PSA, fused to the immunostimulant LLO, directly inside antigen-presenting cells that are capable of driving a cellular immune response to PSA-expressing cells. The Advaxis approach is being researched for the inhibition of Treg and MDSC cells that are believed to contribute to immunologic tolerance of prostate cancer.

According to the American Cancer Society, prostate cancer is the most common type of cancer found in American men, other than skin cancer. Prostate cancer is the second leading cause of cancer death in men, behind only lung cancer. One man in 6 will get prostate cancer during his lifetime, and 1 man in 36 will die of this disease. For additional information about prostate cancer, please visit: <http://www.cancer.org/>.

**ADX-HER2 ADXS-HER2 Clinical Program for HER2-Expressing Solid Tumors**

ADX-HER2 is currently in development for the treatment of human epidermal growth factor receptor 2 (HER2)-overexpressing human cancers, including breast, gastric, and esophageal solid tumors and osteosarcoma. In May 2014, ADXS-HER2 was granted Orphan Drug Designation by the FDA for osteosarcoma. In January 2015, the FDA cleared Advaxis' IND application to conduct a phase I clinical study of ADXS-HER2 (ADX31-164) for the treatment of patients with metastatic HER2-expressing solid tumors. The clinical trial, which will be the first-in-human study of Advaxis' lead Lm-LLO immunotherapy product for HER2-expressing cancers, is expected to begin patient enrollment in the first half of 2015 and will evaluate the safety and tolerability of ADXS-HER2 as a monotherapy in patients with metastatic HER2-expressing solid tumors such as breast, gastric, esophageal, and osteosarcoma. Results from the study will be used to determine the future clinical development program of ADXS-HER2.

ADX-HER2 is an immunotherapy that is under investigation for targeting HER2-overexpressing cancers. The antigen in ADXS-HER2 is a combination antigen integrating two 2 external and 3 internal binding epitopes of the HER2 peptide into a truncated combination peptide fused to truncated LLO. By incorporating HER2 into the Advaxis live, attenuated vector, Advaxis is studying the delivery of the HER2 antigen fused to the immunostimulant LLO, directly inside antigen-presenting cells that are believed to drive a cellular immune response to HER2-overexpressing cells. The Advaxis approach is being researched for the inhibition of Treg and MDSC cells specifically in the tumors that have been promoting immunologic tolerance of the cancer.

**Canine Osteosarcoma**

We are currently conducting a Phase 1 study in companion dogs at the University of Pennsylvania, under the direction of Dr. Nicola Mason, evaluating the safety and efficacy of ADXS-HER2 in the treatment of canine osteosarcoma. The primary endpoint of the study is to determine the maximum tolerated dose of ADXS-HER2. Secondary endpoints for the study are progression-free survival and overall survival.

Continued...

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**YEAR FOUNDED**

2002

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The preliminary findings of the Phase 1 clinical trial in dogs with osteosarcoma suggest that ADXS-HER2 is safe and well tolerated at doses up to 3 x 10<sup>9</sup> CFU with no evidence of cardiac, hematological, or other systemic toxicities. The study determined that ADXS-HER2 is able to delay or prevent metastatic disease and significantly prolong overall survival in dogs with osteosarcoma that had minimal residual disease following standard of care (amputation and follow-up chemotherapy). Dr. Mason presented data at the 2014 American College of Veterinary Internal Medicine (ACVIM) Forum which showed that 80% of the dogs treated (n=15) were still alive and median survival had not yet been reached; median survival in control dogs (n=13) was 316 days. Immunological analyses are also being conducted in this study to further evaluate the immune response to ADXS-HER2.

Osteosarcoma is the most common primary bone tumor in dogs, accounting for roughly 85% of tumors on the canine skeleton. Approximately 8,000-10,000 dogs a year (predominately middle to older-aged dogs and larger breeds) are diagnosed with osteosarcoma in the United States. This cancer initially presents as lameness and oftentimes visible swelling on the leg. Current standard of care treatment is amputation immediately after diagnosis, followed by chemotherapy and sometimes radiation for palliative care.

**INVESTMENT & LICENSING (IN/OUT) OPPORTUNITY**
**Merck and Company**

Advaxis and Merck have established a clinical trial collaboration to evaluate the safety and efficacy of Merck's investigational monoclonal antibody against PD-1 in combination with Advaxis's investigational Lm-LLO immunotherapy (ADXS-PSA) as a treatment for patients with previously treated metastatic, castration-resistant prostate cancer.

Merck is one of the largest pharmaceutical companies in the world and a leading research-driven healthcare company.

**AstraZeneca / MedImmune**

Advaxis and MedImmune have established a clinical trial collaboration to evaluate the safety and efficacy of MedImmune's investigational anti-PD-L1 immune checkpoint inhibitor in combination with Advaxis's investigational Lm-LLO immunotherapy (ADXS-HPV) as a treatment for patients with advanced, recurrent or refractory HPV-associated cervical cancer and head and neck cancer.

MedImmune is the global biologics research and development arm of AstraZeneca, one of the largest pharmaceutical companies with a focus in oncology.

**Incyte Corporation**

Advaxis and Incyte have established a clinical trial collaboration to evaluate the safety and efficacy of Incyte's investigational oral indoleamine 2,3-dioxygenase 1 (IDO1) inhibitor in combination Advaxis's Lm-LLO cancer immunotherapy (ADXS-HPV) as a treatment for patients with Stage I-IIa human papillomavirus (HPV)-associated cervical cancer.

Incyte is a leading biopharmaceutical company focused on the discovery, development and commercialization of proprietary small molecule drugs, primarily for oncology.

**MANAGEMENT**

Advaxis has assembled a world class management team with extensive expertise and a successful track record in drug development and commercialization of cancer immunotherapies.

**Daniel J. O'Connor**, *President, Chief Executive Officer and Director*

**David J. Mauro, MD, Ph.D.**, *Executive Vice President, Chief Medical Officer*

**Gregory T. Mayes**, *Executive Vice President and Chief Operating Officer*

**Robert G. Petit, Ph.D.**, *Executive Vice President and Chief Scientific Officer*

**Sara Bonstein, MBA**, *Senior Vice President and Chief Financial Officer*

**Chris L. French, MBA**, *Vice President Regulatory and Medical Affairs*

**Mayo Pujols**, *Vice President, Manufacturing*

**Thomas W. Hare**, *Vice President, Clinical Operations*

**AnaptysBio™****AnaptysBio, Inc.**[www.anaptysbio.com](http://www.anaptysbio.com)**CONTACT**

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*President and CEO*

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**COMPANY PROFILE**

AnaptysBio is an emerging biotech company focused on the development of novel therapeutic antibodies for inflammation and immuno-oncology. The company's development programs include first-in-class anti-IL-33 for asthma/allergy and anti-IL-36R for an orphan inflammatory disease called generalized pustular psoriasis. AnaptysBio's proprietary SHM-XEL™ platform, which couples fully human antibody libraries with in vitro somatic hypermutation in mammalian cells to generate high affinity antibodies, replicates key features of the human immune system and overcomes limitations of prior antibody technologies. The Company has previously announced partnerships with Merck, Roche, Novartis, Celgene, Gilead, Momenta, Tesaro, DARPA and DTRA.

**MANAGEMENT**

**Hamza Suria**, *President and CEO*

**Marco Londei, M.D.**, *Chief Development Officer*

**Gerrit Los, Ph.D.**, *Vice President, Pharmacology*

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**ASSOCIATES**

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## Argos Therapeutics, Inc.

www.argostherapeutics.com

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President & CEO

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### YEAR FOUNDED

1997

### COMPANY PROFILE

Argos Therapeutics is a biopharmaceutical company focused on the development and commercialization of fully personalized immunotherapies for the treatment of cancer and infectious diseases based on its Arcelis™ technology platform. Using biological components from each patient, Arcelis-based immunotherapies employ the patient's dendritic cells to activate an immune response specific to the patient's disease.

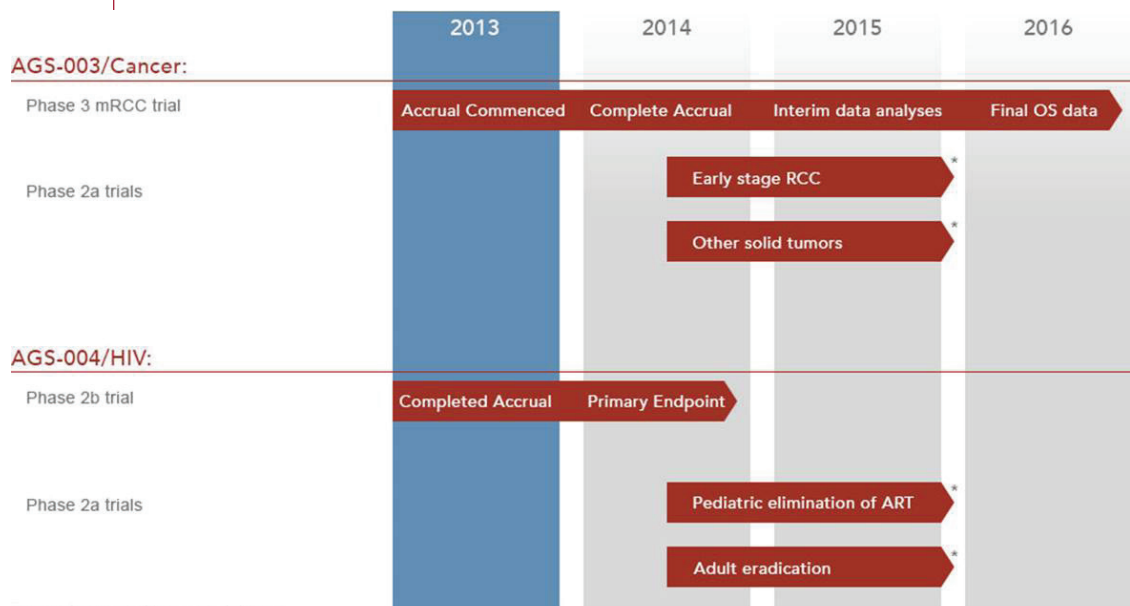
Argos' most advanced product candidates include AGS-003 for the treatment of metastatic renal cell carcinoma, or mRCC, and AGS-004 for the treatment of HIV. Argos Therapeutics is headquartered in Research Triangle Park, NC. The Company has clinical stage programs in Phase 3 (metastatic renal cell carcinoma), Phase 2b (HIV) and Phase 1a (systemic lupus erythematosus1) development.

### PRODCUT PIPELINE

#### AGS-003:

mRCC (clear cell) – Ongoing pivotal phase 3 clinical trial; completion of enrollment expected in second half of 2014; overall survival analysis and data expected in 1st half 2016

mRCC (non-clear cell) – Phase 2 clinical trial expected to begin



\* Not indicative of the expected date of completion of trial

### MANAGEMENT

**Jeffrey D. Abbey, M.B.A., J.D.** President, Chief Executive Officer

**Frederick M. Miesowicz, Ph.D.**, Chief Operating Officer, Vice President, Manufacturing

**Charles A. Nicolette, Ph.D.**, Chief Scientific Officer and Vice President, R&D

**Lori Harrelson, C.P.A.**, Vice President, Finance

**Doug Plessinger, RPh**, Vice President, Clinical and Medical Affairs

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## YEAR FOUNDED

2007

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# BerGenBio AS

www.bergenbio.com

## FINANCIAL SUMMARY

Raised Ca. \$30m equity (plus ca. \$10m grant) funding through a series of rounds from 2009 to date. From Norweagin VC, private and institutional investors.

Considering an IPO end 2015/ early 2016.

## COMPANY PROFILE

BerGenBio is a clinical stage biopharmaceutical company focused on developing innovative drugs for aggressive, drug resistant cancers.

The Company is a world leader in understanding epithelial-mesenchymal transition (EMT) biology, which is widely recognised as a key pathway in acquired cancer drug-resistance and metastasis. Building on this original biological insight BerGenBio is developing a promising pipeline of novel EMT inhibitors.

BerGenBio intends to develop its product candidates to proof of concept stage; further clinical development and subsequently commercialisation will be through strategic alliances and partnerships with experienced global bio-pharma oncology businesses.

## PRODUCT PIPELINE

### BGB324 : Phase 1b / IIa

Highly selective, orally bio-available small molecule inhibitor of AXL. Multiple Phase Ib clinical trials are on going and selected Phase II trials planned for unique clinical opportunities.

### BGB101 : Pre clinical

BGB001 – is three monoclonal antibody programs against AXL, in late stage preclinical development: one program has already been licensed to a specialist biopharma company for forward development and commercialisation.

### BGB002 : Preclinical

This is a small molecule development program against a novel EMT target, it is in late stage lead optimisation phase. Substantial preclinical data suggests multiple clinical positions, including very aggressive triple negative breast cancer and other drug resistant cancers that are difficult to treat.

## MANAGEMENT

**Professor James Lorens** is the co-founder of BerGenBio. He is also a Professor at the Department of Biomedicine at the University of Bergen. On completing his postdoctoral research studies at Stanford University he joined Rigel Inc., a San Francisco based biotechnology company, as a founding scientist and research director. Prof. Lorens has managed several large scientific collaborations in cancer research and development with major pharmaceutical and biotechnology companies. In addition to BerGenBio, he leads a large internationally active research laboratory comprising 22 researchers. His group is active in EMT, angiogenesis and cancer research. Prof. Lorens is an author of more than 70 peer-reviewed articles and patents.

**Dr. Murray Yule** joined BerGenBio in 2011 as a consultant and became Chief Medical Officer in 2013. He began his career in the pharmaceutical industry in 1998 after completing his medical training in oncology at Addenbrookes Hospital, Cambridge. Whilst working in the United Kingdom's National Health Service, Murray supervised multiple early phase clinical studies of novel anticancer products and completed a PhD in experimental pharmacology. In the last ten years, whilst working in several top-ten pharmaceutical companies, he has planned and executed global development strategies for several anticancer drugs, which has led to licensing approvals for novel tubulin binders in solid tumors and epigenetic therapies in acute leukemia.

**Petter Nielsen** joined BerGenBio in 2015 as CFO. Previously he held the position of CFO at GexCon, an R&D company that developed into an international group of companies focusing on commercial products and services. Nielsen has extensive experience related to mergers and acquisitions, IPOs, valuation and IFRS from Ernst & Young where he has worked in the Transaction Advisory Services group. He obtained a MSc in Auditing and an MSc in Economics and Business Administration, both from the Norwegian School of Economics.

**BIOHERA**  
the immune health company

**Biothera**  
www.biothera.com

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#### YEAR FOUNDED

1997

#### COMPANY PROFILE

Biothera is a clinical-stage biotechnology company dedicated to developing novel drugs that engage the body's own immune system to kill cancer cells. Cancer can create an immunosuppressive environment that enables it to avoid detection by the immune system. Biothera's investigational immunotherapeutic drug Imprime PGG triggers a coordinated anti-cancer immune response involving both the innate and adaptive immune systems by first binding cells of the innate immune system, enabling these cells to recognize and kill antibody-targeted cancer cells directly and to stimulate the anti-cancer activities of the adaptive immune system. In clinical trials, Imprime PGG has shown great promise in multiple cancer types, including non-small lung cancer, colorectal cancer and chronic lymphocytic leukemia. Biothera is a leader in immunological approaches to fighting cancer, which are becoming a cornerstone of cancer therapy.

#### PRODUCT PIPELINE

**Imprime PGG is being investigated in multiple cancer indications including metastatic colorectal cancer (Phase III), non small cell lung cancer (Phase II), chronic lymphocytic leukemia, non-hodgkins lymphoma and others.**

Imprime PGG is a biologic drug that binds to and modulates receptors expressed on innate immune cells, particularly neutrophils and macrophage/monocytes. The resulting primed innate immune cells are able to recognise tumor cells and mount a targeted immune response involving both innate effector cells and cells of the adaptive system.

Imprime PGG has shown promising results in single arm and randomised studies in multiple oncology indications.

#### INVESTMENT & LICENSING (IN/OUT) OPPORTUNITY

##### Cross-over Investment Round

Biothera is planning a cross-over investment round for 2015 and is seeking investors interested in participating in the round.

#### MANAGEMENT

**Mr Dan Conners**, *President*

**Mr Bill Gacki**, *Chief Financial Officer*

**Dr Ada Braun**, *Chief Medical Officer*

**Dr Myra Patchen**, *Chief Scientific Officer*

**Dr Jeremy Graff**, *Senior Vice President, Research*

**Mr Steve Smith**, *Senior Vice President, Commercial Development*

**Ms Carey Anderson**, *Vice President, Regulatory Affairs*

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ASSOCIATES

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Immuno-Oncology:  
BD&L and Investment  
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## Collectis, Inc.

www.collectis.com

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### YEAR FOUNDED

1999

### COMPANY PROFILE

Collectis is a gene-editing company focused on developing immunotherapies based on gene edited engineered CAR-T cells (UCART). The company's mission is to develop a new generation of cancer therapies based on engineered T-cells. Collectis capitalizes on its 15 years of expertise in genome engineering - based on its flagship TALEN® products and meganucleases and pioneering electroporation PulseAgile technology - to create a new generation of immunotherapies. CAR technologies are designed to target surface antigens expressed on cells. Using its life-science-focused, pioneering genome-engineering technologies, Collectis' goal is to create innovative products in multiple fields and with various target markets. Collectis is listed on the NYSE Alternext market (ticker: ALCLS) and on the Nasdaq Global Market (ticker: CLLS).

### PRODUCT PIPELINE

#### UCART19 : Pre-clinical studies

UCART19 is an allogeneic T-cell product intended for the treatment of CD19-expressing hematologic malignancies, which develop in ALL and CLL. UCART19 is designed to become active, proliferate, secrete cytokines and kill CD19-bearing B-cell malignancies upon contact with such cells, following administration to patients. Activation of UCART19 is driven by contact between its anti-CD19 CAR and the CD19 protein on the surface of tumor cells. UCART19 is currently undergoing pre-clinical studies in animal subjects. We have completed most of the pre-clinical studies and we currently expect to file an application for a CTA in 2015.

#### UCART123 : Early pre-clinical stage of development

UCART123 is an allogeneic engineered T-cell product designed for the treatment of hematologic malignancies expressing the interleukin-3 low affinity receptor, or CD123, that develop in Acute Myeloid Leukemia (AML). UCART123 is at an early pre-clinical stage of development. Depending on the success of pre-clinical investigations, we expect that UCART123 will be manufactured in large scale according to GMP in 2015 for purposes of conducting clinical trials according to GMP in 2015.

#### UCART38 and UCARTCS1 : discovery stage

UCARTCS1 and UCART38 are allogeneic engineered T-cell products designed for the treatment of CS1-expressing or CD38-expressing hematologic malignancies which develop in multiple myeloma (MM). UCARTCS1 and UCART38 are at discovery stage and have not yet entered into pre-clinical studies. We plan on advancing the development of these two products through pre-clinical studies in late 2015 and early 2016. We are aiming at filing for a Phase 1 trial of at least one of these two products for a population of MM patients in 2016.

### Our lead immuno-oncology product candidates

Product name Targeted Indication	Discovery	CAR-T Engineering	In Vitro Assays	In Animals	CTA/IND* filing	Alliance
<b>UCART19</b> Acute Lymphoblastic Leukemia (ALL) Chronic Lymphocytic Leukemia (CLL)					2015	Servier
<b>UCART123</b> Acute Myeloid Leukemia (AML)						Wholly-Owned
<b>UCART38</b> Multiple Myeloma (MM)				Q4 2015		Wholly-Owned
<b>UCARTCS1</b> Multiple Myeloma (MM)				Q4 2015		Wholly-Owned

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## Collectis, Inc.

www.collectis.com

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### YEAR FOUNDED

1999

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### MANAGEMENT

#### **André Choulika, PhD**, *Chairman and Chief Executive Officer*

André Choulika is the Chairman, CEO, and founder of Collectis. Dr Choulika is a pioneer in the analysis and use of meganucleases to modify complex genomes. After receiving his PhD in molecular virology from the University of Paris VI (Pierre et Marie Curie), he completed a research fellowship in the Harvard Medical School Department of Genetics. Later, while working in the Division of Molecular Medicine at Boston Children's Hospital, he developed the first approaches to meganuclease-based human gene therapy. Dr Choulika also has management training from the HEC (Challenge +).

#### **Philippe Duchateau, PhD**, *Chief Scientific Officer*

Philippe Duchateau received his PhD in biochemistry and molecular biology from the University of Lille and the Institut Pasteur. He joined Collectis in 2001 after nine years at the Cardiovascular Research Institute of the University of California, San Francisco (United States). He previously headed Collectis' Research department, starting in 2004.

#### **Thierry Moulin**, *Chief Financial Officer*

Thierry Moulin is a graduate of Rouen Business School with over 30 years' professional experience and joined Collectis as CFO in 2014. After starting out as an auditor, Thierry Moulin went on to specialize in the administrative and financial management of industrial groups (AIRSEC Industries, Süd-Chemie) in France and internationally, particularly in Japan. Before joining the Group, Thierry Moulin was a partner at TMBB Consulting and an expert in interim management.

#### **Mathieu Simon, MD**, *Executive Vice President, Chief Operating Officer*

After graduating from medical school at the University of Paris in 1982, Dr Mathieu Simon embarked upon an illustrious international career in the pharmaceutical sector. After serving as Director of Marketing and Sales at Wyeth France, he became Group Vice President of Marketing and Clinical Affairs for Wyeth Pharmaceuticals in the United States, and later led several of the Wyeth Group's biggest regional subsidiaries in the Benelux countries, Italy, Greece, and the Balkans. In 2010, Dr Simon was named Senior Vice President of Pharma Global Operations at Pierre Fabre Médicament. He joined the Collectis Group in 2012.

#### **David Sourdivé, PhD**, *Executive Vice President Corporate Development*

David Sourdivé, PhD, is a graduate of the École Polytechnique. He is VP of Corporate Development and co-founder of the company. After completing his PhD in molecular virology at the Institut Pasteur, he joined one of the leading laboratories in viral immunology, at Emory University in Atlanta, Georgia (United States). His work there was focused on immunological memory. Before co-founding Collectis, he directed the biotechnologies laboratory of the Centre d'études du Bouchet for the French Ministry of Defense. He also has management training from the HEC (Challenge +).

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## Centrose, LLC

www.centrosepharma.com

### CONTACT

James R. Prudent  
President and CEO

### YEAR FOUNDED

2007

### FINANCIAL SUMMARY

Centrose has raised \$8.6 Million to date through angel investors and federal grants. There are currently 20 million shares outstanding. The company is currently looking to raise \$20 Million in order to move its first drug into Phase I clinical trials while partnering its second lead. The intention is to move two EDCs into the clinic by 2017. Centrose's current valuation is \$40 Million.

### COMPANY PROFILE

Centrose is a biotechnology company that is developing precision medicines for hard to treat diseases. Using Centrose's EDC technology to deliver small molecule drugs to precise protein complexes, Centrose has shown that single target small molecule drugs can possess multiple activities. Since protein action can be dictated by their environment and neighboring proteins, Centrose can now build safer and more effective drugs by directing them to multi-protein complexes. Centrose currently has two lead EDCs, EDC1 and EDC8. These drugs target drugs to cancer specific complexes that only occur at cancer's deadliest phase.

### PRODUCT PIPELINE

#### EDC1 : Preclinical

Targets a complex of proteins on the surface of late stage metastatic cancers that is involved in motility and cytokine production. Current data shows that EDC1 is capable of curing cancer in laboratory animals at levels found to be safe in primates. EDC1 is a potent steroidal compound that is conjugated to a humanized monoclonal IgG4 antibody. The MOA is completely untapped in the industry and has shown to be synergistic with standard of care medicines. EDC1 has picomolar activities on a broad range of cancer types.

#### EDC8 : Preclinical

Targets a complex of proteins on the surface of blood cancers that can be induced by the addition of ATRA. EDC8 is a potent steroidal compound that is conjugated to a monoclonal antibody targeting CD38. Upon cellular activation, EDC8 kills a variety of hard to treat blood cancers at picomolar levels while leaving normal blood cells alive. The TI between cancer and normal blood cells is an astounding 1000-fold. This is the first CD38 specific antibody that has shown complete direct cytotoxicity. In laboratory animal studies, EDC8 has been shown to cure various blood cancers. EDC8 has a 3.5 day half life in vivo and shows less than 3% activity loss.

### INVESTMENT & LICENSING (IN/OUT) OPPORTUNITY

#### Investment

Centrose is currently raising cash investments that will transfer EDC1 and EDC8 into the clinic for pancreatic and AML respectively.

#### Licensing

Centrose is currently searching for a partner or licensee for EDC8. This license includes an upfront payment and rights to move EDC8 to patients for the US market. The license can also include additional rights to the EDC platform.

### MANAGEMENT

#### James R. Prudent, President and CEO

Dr. Prudent is the President and CEO of Centrose bringing over 25 years of biotechnology industry experience. Before Centrose, Dr. Prudent served as Chief Scientific Officer and Member of the Board of Directors at EraGen Biosciences and was an essential part of raising over \$26 million in equity and grant funds for EraGen. He was responsible for technology and product development in the areas of cancer, infectious disease, cardiology, cystic fibrosis and general life science. Before EraGen, he worked at Third Wave Technologies (now Hologic Inc.) where he co-invented the Invader® Technology. Dr. Prudent was an integral part of transforming Invader into a multi-million dollar product line. Prior to Third Wave, Dr. Prudent worked for IGEN International (acquired by Roche in 2003) where he pioneered new methods of rapidly producing monoclonal antibodies. He was recipient of the Frost and Sullivan 2005 Product of the Year Award and received the "Biotechnology Industry Organization's 2006 Innovation Award". Dr. Prudent received his Ph.D. in Chemistry at the UC - Berkeley and his B.S. in Bacteriology and Medical Microbiology at the University of Wisconsin - Madison.

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ASSOCIATES

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## Sachs Immuno-Oncology: BD&L and Investment Forum

# Cormorant Pharmaceuticals

[www.cormorantpharma.com](http://www.cormorantpharma.com)

### CONTACT

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CEO

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### COMPANY PROFILE

Cormorant Pharmaceuticals is developing HuMax-IL8.

HuMax-IL8 is a fully human antibody targeting interleukin-8 (IL-8).

The mAb has previously been in the clinic for a rare dermatological disease (PPP) with good safety and efficacy on clinical endpoints (see Skov et al J Immunol 2008).

IL-8 has been shown to be involved in :

- tumour immunosuppression (through MDSCs) - see Highfill et al, Sci Transl Med 2014 - IL-8/CXCR2 inhibition showing synergy with PD-1 inhibition
- cancer stem cell renewal
- epithelial mesenchymal transition (EMT)

A clinical phase Ib trial is to be strated at the NCI (Bethesda) this summer pending IND approval.

HuMax-IL8 has been acquired from Genmab.

We are now looking for investors/partners who can aid us in bringing this agent forward in different solid tumor settings and leukemia - and in combination with other immunotherapies.

*"If MDSCs are present in the tumor microenvironment and suppress immunity against the tumor, preventing trafficking of the cells to the tumor should complement other checkpoint inhibitors as well as chemotherapies and other standard therapies. CXCR2 antagonists could even be used as single agents in some cancers. The potential space for CXCR2 antagonists in cancer is really completely wide open for different development paths,"* said DuBois

Mackall added, *"Immunotherapy is really making a big splash in the cancer treatment space. Adoptive T cell therapies with chimeric antigen receptors are being pursued for leukemia, but this approach hasn't yet worked for solid tumors. We think that this might be due to the dense immunosuppressive environment in solid tumors, and blocking MDSCs may help open new indications for adoptive T cell therapy."*

See article: <http://www.nature.com/scibx/journal/v7/n24/full/scibx.2014.693.html>

Martz, L. SciBX 7(24); doi:10.1038/scibx.2014.693

### MANAGEMENT

Dr Maarten de Chateau, CEO

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ANNUAL

## Sachs Immuno-Oncology: BD&L and Investment Forum

### Curis, Inc.

www.curis.com

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#### YEAR FOUNDED

2000

#### COMPANY PROFILE

Curis is a biotechnology company focused on the development and commercialization of innovative drug candidates for the treatment of human cancers. As a part of broad collaboration with Aurigene in the areas of immuno-oncology and precision oncology, Curis expects to exercise options to exclusively license orally available small molecule antagonists of PDL-1 and other immune checkpoints as well as IRAK4 inhibitor. Curis' pipeline of drug candidates also includes CUDC-907, a dual HDAC and PI3K inhibitor, CUDC-427, a small molecule antagonist of IAP proteins, and CUDC-305, an oral HSP90 inhibitor. In addition, Curis is a party to a collaboration agreement with Genentech, a member of the Roche Group, under which Genentech and Roche are developing and commercializing Erivedge®, the first and only FDA-approved medicine for the treatment of advanced basal cell carcinoma. For more information, visit Curis' website at www.curis.com.

#### PRODUCT PIPELINE

##### CUDC-907 : Phase 1b

CUDC-907 is a first-in-class, orally bioavailable drug candidate designed to inhibit select classes of HDAC enzymes (primarily Classes I and IIB) and certain isoforms of PI3K (mainly PI3K- alpha, delta and beta). Curis successfully completed a Phase 1 dose escalation clinical trial in patients with advanced lymphoma or multiple myeloma. With promising response data during the escalation phase, Curis is currently conducting the expansion study in patients with relapsed or refractory Diffuse Large B-Cell Lymphoma (DLBCL) and a Phase 2/3 registration-enabling trial is expected to start in the fourth quarter of 2015. An independent Phase 1 trial enrolling patients with solid tumors that may benefit from HDAC inhibitor treatment, including patients with specific subtypes of breast cancer or patients with NUT midline carcinoma (NMC), is also currently ongoing.

##### IRAK4 inhibitor : Preclinical

Potent, selective, ATP-competitive and orally bioavailable inhibitors of IRAK4 kinase have been discovered by our collaborator, Aurigene, and lead candidates are undergoing optimization. In cell-based assays, lead IRAK4 small molecules inhibit proliferation of DLBCL tumor cell lines and result in modulation of IRAK1 phosphorylation state, an enzyme that is phosphorylated by IRAK4. In addition, this compound has anti-tumor activity in in vivo DLBCL tumor models with activating mutations in MYD88, demonstrating reduction in tumor size after treatment with two different doses of an IRAK4 inhibitor. The anti-tumor activity of the IRAK4 inhibitor in this model is similar to ibrutinib, a BTK inhibitor approved for treatment of patients with Waldenstrom's Macroglobulinemia or Chronic Lymphocytic Leukemia.

##### PD-L1 Antagonist : Preclinical

In collaboration with Aurigene, an orally bioavailable small molecule has been designed to bind with high affinity to PD-L1 and optimized to competitively disrupt the interaction between PD-L1 and PD1 receptors on T cells. Preliminary results generated by Aurigene demonstrate that in vitro studies, such small molecule PD-L1 antagonists can induce effective T cell proliferation and IFN- production by T cells, which are specifically suppressed by PD-L1 in culture. In addition, such small molecules also appear to have effects similar to anti-PD1 antibodies in in vivo tumor models, including IFN- production and inhibition of tumor growth.

#### MANAGEMENT

Ali Fattaey, *President and CEO*

Jaye Viner, MD, *Executive Vice President and CMO*

Michael Gray, *CFO/CBO*

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## Dana-Farber Cancer Institute

[www.dana-farber.org/Research/Technology-Transfer.aspx](http://www.dana-farber.org/Research/Technology-Transfer.aspx)

### CONTACT

O. Prem Das  
*Chief Research Business  
Development Officer*

### ADDRESS

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### TELEPHONE

+1 (617) 632 3000

### YEAR FOUNDED

1947

### COMPANY PROFILE

Dana-Farber has the following oncology opportunities to discuss with potential partners at BIO: (i) small molecule therapeutics and novel targets (6 of our small molecules have entered the clinic in the last four years); (ii) immunotherapy opportunities (targets, antibodies, vaccines and cell-based therapeutics); (iii) translational research collaborations directed toward IND candidates and their early clinical development (we do about \$25M/yr in sponsored research); (iv) diagnostic opportunities. We have fourteen start-up opportunities currently, and our start-ups historically have succeeded >90% of the time in exiting/raising significant financing.

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# Del Mar Pharmaceuticals

www.delmarpharma.com

**CONTACT**

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President & CEO

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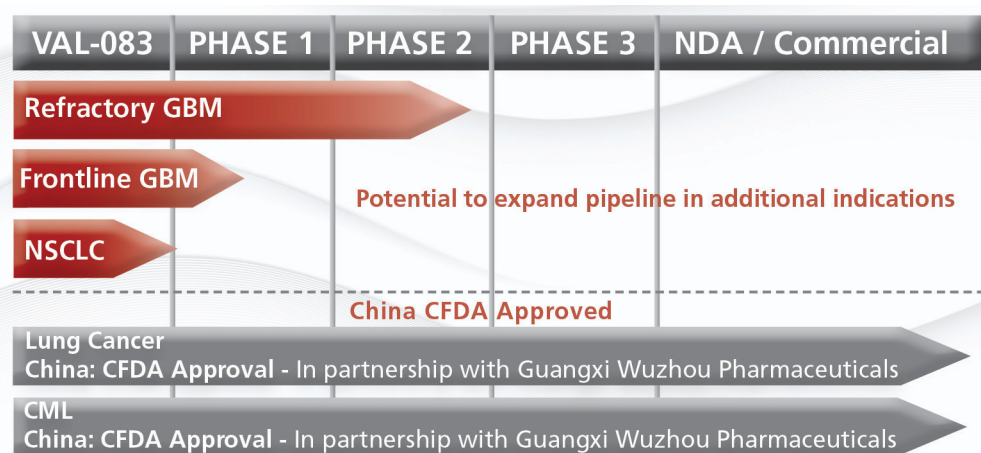
**EMAIL**

info@delmarpharma.com

**COMPANY PROFILE**

DelMar Pharmaceuticals, Inc. was founded to develop and commercialize proven cancer therapies in new orphan drug indications where patients are failing or have become intolerable to modern targeted or biologic treatments. The Company's lead drug in development, VAL-083, is currently undergoing clinical trials in the U.S. as a potential treatment for refractory glioblastoma multiforme. VAL-083 has been extensively studied by U.S. National Cancer Institute, and is currently approved for the treatment of chronic myelogenous leukemia (CML) and lung cancer in China. Published pre-clinical and clinical data suggest that VAL-083 may be active against a range of tumor types via a novel mechanism of action that could provide improved treatment options for patients.

**PRODUCT PIPELINE**



**VAL-083**

VAL-083, our first product candidate represents a "first-in-class" small molecule chemotherapeutic, which means that the molecular structure of VAL-083 is not an analogue or derivative of other small molecule chemotherapeutics approved for the treatment of cancer. VAL-083 has been assessed in 42 Phase 1 and Phase 2 clinical trials sponsored by the National Cancer Institutes ("NCI") in the United States as a treatment for various cancers including lung, brain, cervical, ovarian tumors and leukemia. Published pre-clinical and clinical data suggest that VAL-083 may be active against a range of tumor types. VAL-083 is approved as a cancer chemotherapeutic in China for the treatment of CML and lung cancer.

Based on published research and our own data, the cytotoxic functional groups and the mechanism of action of VAL-083 are understood to be functionally different from alkylating agents commonly used in the treatment of cancer. VAL-083 has previously demonstrated activity in cell-lines that are resistant to other types of chemotherapy. No evidence of cross-resistance has been reported in published clinical studies. Therefore, we believe that VAL-083 may be effective in treating tumors that have failed or become resistant to other chemotherapies.

**MANAGEMENT**

**Jeffrey Bacha, B.Sc., MBA, Chairman, President & CEO/cofounder**

Jeffrey Bacha, BSc, MBA has been Chief Executive Officer and President of the Company since January 25, 2013, and director of the Company since February 11, 2013. Mr. Bacha is a seasoned executive leader with nearly twenty years of life sciences experience in the areas of operations, strategy and finance. His background includes successful public and private company building from both a start-up and turn around perspective; establishing and leading thriving management and technical teams; and raising capital in both the public and private markets. From July 2006 to August 2009, Mr. Bacha was Executive Vice President Corporate Affairs and Chief Operating Officer at Clera, Inc. From March 2005 to July 2006 Mr. Bacha was Consultant and held various positions at Clera Inc., Urigen Holdings Inc. and XBiotech, Inc. From 1999 through 2004, Mr. Bacha served as

## Del Mar Pharmaceuticals

www.delmarpharma.com

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President & CEO

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### TELEPHONE

+1 604 629 5989

...continued

President & CEO of Inimex Pharmaceuticals, a venture-capital funded drug discovery and development company and is a former Senior Manager and Director of KPMG Health Ventures. Mr. Bacha holds an MBA from the Goizueta Business School at Emory University and a degree in BioPhysics from the University of California, San Diego. Mr. Bacha's experience as one of our founder and Chief Executive Officer qualifies him to serve on the Board of Directors.

#### **Dennis M. Brown, Ph.D.**, *Chief Scientific Officer/cofounder*

Dr. Dennis M. Brown, PhD, has been Chief Scientific Officer of the Company since January 25, 2013 and director of the Company since February 11, 2013. Dr. Brown has more than thirty years of drug discovery and development experience. He has served as Chairman of Mountain View Pharmaceutical's Board of Directors since 2000 and is the President of Valent. In 1999 he founded ChemGenex Therapeutics, which merged with a publicly traded Australian company in 2004 to become ChemGenex Pharmaceuticals (ASX: CXS/NASDAQ: CXSP), of which he served as President and a Director until 2009. He was previously a co-founder of Matrix Pharmaceutical, Inc., where he served as Vice President (VP) of Scientific Affairs from 1985-1995 and as VP, Discovery Research, from 1995-1999. He also previously served as an Assistant Professor of Radiology at Harvard University Medical School and as a Research Associate in Radiology at Stanford University Medical School. He received his B.A. in Biology and Chemistry (1971), M.S. in Cell Biology (1975) and Ph.D. in Radiation and Cancer Biology (1979), all from New York University. Dr. Brown is an inventor of about 34 issued U.S. patents and applications, many with foreign counterparts. Dr. Brown's scientific knowledge and experience qualifies him to serve on our Board of Directors.

#### **Scott Prail, CA**, *Chief Financial Officer*

Mr. Prail has been Chief Financial Officer of the Company since January 2013 and previously served as a consultant to the Company. Since 2004, Mr. Prail has been an independent consultant providing accounting and administrative services to companies in the resource industry. Mr. Prail served as CFO of Strata Oil & Gas, Inc. from June 2007 to September 2008. From November 1999 to October 2003 Mr. Prail was Director of Finance at Inflazyme Pharmaceuticals Inc. Mr. Prail completed his articling at Price Waterhouse (now PricewaterhouseCoopers LLP) and obtained his Chartered Accountant designation in 1996. Mr. Prail obtained his Certified Public Accountant (Illinois) designation in 2001. Mr. Prail received a Financial Management Diploma (Honors), from the British Columbia Institute of Technology in 1993, and a Bachelor of Science from Simon Fraser University in 1989.



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**Galena Biopharma, Inc.**

www.galenabiopharma.com

**CONTACTS**

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SVP, Investor Relations & Corporate Communications

Dr Mark W. Schwartz  
President & Chief Executive Officer

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+1 (503) 400 6610

**EMAIL**

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info@galenabiopharma.com

**YEAR FOUNDED**

2007

**FINANCIAL SUMMARY**

Cash/Cash equivalents \$52.9 million

Q1, 2015 Net Revenue \$2.8 million

Debt \$7.5 million

Projected Quarterly Burn \$10-12 million

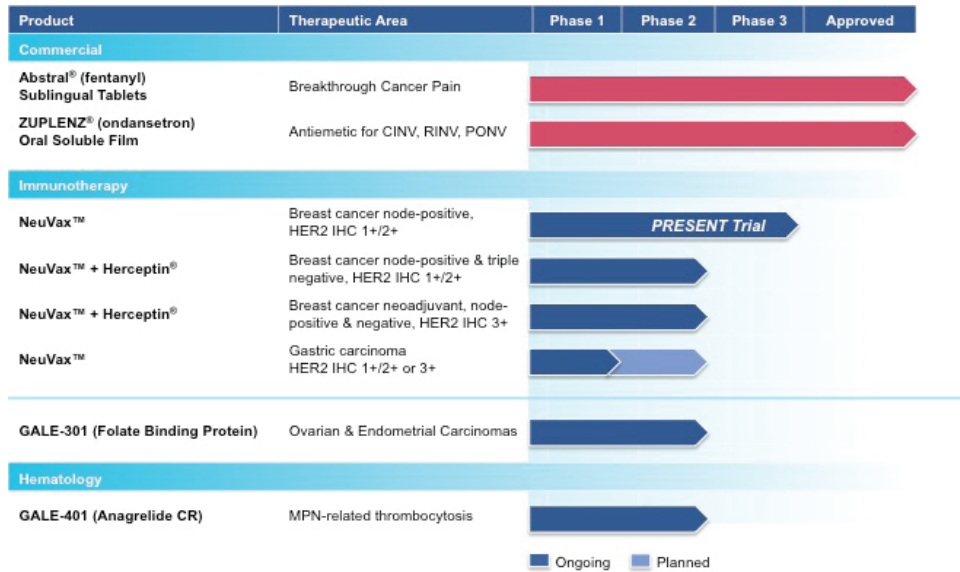
Shares Outstanding 162 million

Market Cap ~\$225 million

**COMPANY PROFILE**

Galena Biopharma, Inc. (NASDAQ: GALE) is a biopharmaceutical company developing and commercializing innovative, targeted oncology therapeutics that address major medical needs across the full spectrum of cancer care. Galena's development portfolio ranges from mid- to late-stage clinical assets, including a robust immunotherapy program led by NeuVax™ (nelipepimut-S) currently in an international, Phase 3 clinical trial. The Company's commercial drugs include Abstral® (fentanyl) Sublingual Tablets and Zuplenz® (ondansetron) Oral Soluble Film. Collectively, Galena's clinical and commercial strategy focuses on identifying and advancing therapeutic opportunities to improve cancer care, from direct treatment of the disease to the reduction of its debilitating side-effects.

**PRODUCT PIPELINE**



**NeuVax™ (nelipepimut-S)**

- Phase 3 PRESENT Clinical Trial (HER2 1+/2+ node positive breast cancer patients)
- Phase 2b Combination Trial with trastuzumab (HER2 1+/2+ node positive and triple negative breast cancer patients)
- Phase 2 Combination Trial with trastuzumab (HER2 3+ neoadjuvantly treated node positive and negative breast cancer patients not achieving a pCR)

NeuVax™ (nelipepimut-S) is a first-in-class, HER2-directed cancer immunotherapy under evaluation to prevent breast cancer recurrence after standard of care treatment in the adjuvant setting. It is the immunodominant peptide derived from the extracellular domain of the HER2 protein, a well-established target for therapeutic intervention in breast carcinoma. NeuVax has been shown to bind to HLA-A2 and A3, as well as HLA-A24 and A26 molecules. The nelipepimut-S sequence stimulates specific CD8+ cytotoxic T lymphocytes (CTLs) following binding to specific HLA molecules on antigen presenting cells (APC). These activated specific CTLs recognize, neutralize and destroy, through cell lysis, HER2 expressing cancer cells, including occult cancer cells

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## Galena Biopharma, Inc.

www.galenabiopharma.com

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President & Chief Executive Officer

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### YEAR FOUNDED

2007

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and micrometastatic foci. The nelipepimut-S immune response can also generate CTLs to other immunogenic peptides through inter- and intra-antigenic epitope spreading.

### GALE-301 (Folate Binding Protein)

#### • Phase 2a clinical trial in ovarian and endometrial cancers

GALE-301 (Folate Binding Protein (FBP)) is a cancer immunotherapy targeting the prevention of cancer recurrence in the adjuvant setting. GALE-301 targets folate binding protein receptor-alpha, a well-validated therapeutic target, is highly over-expressed in ovarian, endometrial and breast cancers. FBP is the source of immunogenic peptides that can stimulate cytotoxic T lymphocytes (CTLs) to recognize and destroy FBP-expressing cancer cells. GALE-301 consists of the FBP peptide(s) combined with the immune adjuvant, granulocyte macrophage-colony stimulating factor (GM-CSF). Galena has completed enrollment in a Phase 2a trial with GALE-301 in two gynecological cancers: ovarian cancer and endometrial adenocarcinomas.

### Commercial Portfolio

- **Abstral® (fentanyl) Sublingual Tablets - approved for the treatment of breakthrough cancer pain**
- **Zuplenz® (ondansetron) Oral Soluble Film - approved for CINV, RINV, PONV**

Abstral® (fentanyl) Sublingual Tablets are an important treatment option for inadequately controlled breakthrough cancer pain which impacts 40%-80% of cancer patients. Abstral is approved by the U.S. Food and Drug Administration, and is a sublingual (under the tongue) fentanyl tablet indicated only for the management of breakthrough pain in patients with cancer, 18 years of age and older, who are already receiving, and who are tolerant to, opioid therapy for their persistent baseline cancer pain. The innovative Abstral formulation delivers the analgesic power and increased bioavailability of micronized fentanyl in a more convenient sublingual tablet which rapidly dissolves under the tongue in seconds, provides rapid relief of breakthrough pain in minutes, and matches the duration of the entire pain episode. See full prescribing information at www.abstral.com.

Zuplenz® (ondansetron) Oral Soluble Film is approved by the U.S. Food and Drug Administration (FDA). Zuplenz is approved in adult patients for the prevention of highly and moderately emetogenic chemotherapy-induced nausea and vomiting (CINV), radiotherapy-induced nausea and vomiting (RINV), and post-operative nausea and vomiting (PONV). Zuplenz is also approved in pediatric patients for moderately emetogenic CINV. Nausea and vomiting are two of the most common side-effects experienced by post-surgery patients and patients receiving chemotherapy or radiation. Zuplenz utilizes the proprietary PharmFilm® technology as an oral soluble film that dissolves on the tongue in under 30 seconds. This rapidly dissolving film eliminates the burden of swallowing pills during periods of emesis and in cases of oral irritation, therefore increasing patient adherence and reducing emergency visits and hospitalization due to a lack of patient compliance or the patient's inability to keep their treatment down without vomiting. Zuplenz is supplied in both 4 mg and 8 mg ondansetron doses with a safety profile equivalent to other products in the class.

### INVESTMENT & LICENSING (IN/OUT) OPPORTUNITIES

#### NeuVax™ (nelipepimut-S)

Available for partnering/out-licensing. Cancer immunotherapy asset currently in late-stage and multiple mid-stage clinical trials.

NeuVax™ (nelipepimut-S) is a first-in-class, HER2-directed cancer immunotherapy under evaluation to prevent breast cancer recurrence after standard of care treatment in the adjuvant setting. It is the immunodominant peptide derived from the extracellular domain of the HER2 protein, a well-established target for therapeutic intervention in breast carcinoma. NeuVax has been shown to bind to HLA-A2 and A3, as well as HLA-A24 and A26 molecules. The nelipepimut-S sequence stimulates specific CD8+ cytotoxic T lymphocytes (CTLs) following binding to specific HLA molecules on antigen presenting cells (APC). These activated specific CTLs recognize, neutralize and destroy, through cell lysis, HER2 expressing cancer cells, including occult cancer cells and micrometastatic foci. The nelipepimut-S immune response can also generate CTLs to other immunogenic peptides through inter- and intra-antigenic epitope spreading.

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[www.galenabiopharma.com](http://www.galenabiopharma.com)

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**YEAR FOUNDED**

2007

*...continued*

**GALE-301 (Folate Binding Protein)**

Available for partnering/out-licensing. Cancer immunotherapy asset currently in Phase 2a clinical trial.

GALE-301 (Folate Binding Protein (FBP)) is a cancer immunotherapy targeting the prevention of cancer recurrence in the adjuvant setting. GALE-301 targets folate binding protein receptor-alpha, a well-validated therapeutic target, is highly over-expressed in ovarian, endometrial and breast cancers. FBP is the source of immunogenic peptides that can stimulate cytotoxic T lymphocytes (CTLs) to recognize and destroy FBP-expressing cancer cells. GALE-301 consists of the FBP peptide(s) combined with the immune adjuvant, granulocyte macrophage-colony stimulating factor (GM-CSF). Galena has completed enrollment in a Phase 2a trial with GALE-301 in two gynecological cancers: ovarian cancer and endometrial adenocarcinomas.

**Commercial assets**

Interested in in-licensing approved commercial products.

**MANAGEMENT**

**Mark W. Schwartz, Ph.D.**, *President and Chief Executive Officer*

**Remy Bernarda**, *SVP, Investor Relations & Corporate Communications*

**Gavin Choy, PharmD, MBA**, *SVP, Clinical Sciences and Operations*

**Jim Datz**, *VP, Managed Markets & Product Access*

**Ryan Dunlap, CPA**, *VP, Chief Financial Officer*

**Nate Ide**, *VP, National Accounts and Trade Relations*

**Margaret A. Kivinski, P.E., Esq.**, *VP and General Counsel*

**Joseph Lasaga**, *VP, Business Development and Alliance Management*

**Christopher Lento, MBA**, *SVP, Commercial Operations*

**Patricia Murphy**, *VP, Regulatory & Compliance*

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## Sachs Immuno-Oncology: BD&L and Investment Forum

# Heat Biologics, Inc.

www.heatbio.com

### CONTACTS

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*Vice President, Business  
Development*

Michael Rice  
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### YEAR FOUNDED

2008

### FINANCIAL SUMMARY

For full financial information please visit: <http://ir.heatbio.com/financials>

### COMPANY PROFILE

Heat Biologics is a clinical-stage immunotherapy company focused on developing novel allogeneic (off-the-shelf) ImPACT therapeutic products that specifically stimulate CD8+ T-Cells to combat a wide range of cancers. Clinical data from lung and bladder cancer trials demonstrates ImPACT therapeutics specifically simulate cytotoxic T-Cells to kill cancer cells.

### PRODUCT PIPELINE

#### HS-110 : Phase 2 (randomized, controlled)

HS-110 utilizes ImPACT-modified lung cancer cells to stimulate a patient's immune system to activate a specifically cytotoxic T-cell response against a range of antigens that are known to be expressed by a high proportion of patients with NSCLC. The multi-center two-arm randomized, controlled Phase 2 study will enroll ~123 third-line patients with NSCLC. The primary endpoint is overall survival. Dosing is expected to be completed by the end of 2015.

#### HS-410 (randomized, placebo controlled)

HS-410 utilizes ImPACT-modified bladder cancer cells to stimulate a patient's immune system. This trial is being performed in combination with the standard of care, BCG therapy. Heat believes that BCG is likely to synergize with HS-410 due to the activity of BCG to promote trafficking of HS-410 activated cytotoxic T-cells into the bladder endothelium. This multi-center Phase 2 study is designed to determine the effect of HS-410 on one-year recurrence-free survival. Dosing in this trial is expected to be completed by mid-2015.

#### Many : Preclinical

### MANAGEMENT

**Jeff Wolf**, *Founder and CEO*

**Eckhard R. Podack, MD, Ph.D.**, *Chairman, Scientific Advisory Board*

**Taylor Schreiber, MD, Ph.D.**, *VP of Research & Development*

**Melissa Price, Ph.D.**, *VP, Clinical and Regulatory Affairs*

**Anil K. Goyal, Ph.D.**, *VP, Business Development*

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## Immune Pharmaceuticals, Inc.

### CONTACT

Dr Daniel Teper  
CEO

### ADDRESS

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10016  
USA

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### COMPANY PROFILE

Immune Pharmaceuticals Inc. applies a personalized approach to treatment, developing novel, highly-targeted antibody therapeutics to improve the lives of patients with inflammatory diseases and cancer. The Company's lead product candidate, bertilimumab, is in clinical development for moderate to severe ulcerative colitis and Crohn's disease as well as bullous pemphigoid, an orphan auto-immune dermatological condition. Immune licensed worldwide rights for systemic indications of bertilimumab from iCo Therapeutics (TSX: ICO; OTCQX: ICOTF) in June 2011, while iCo retained rights to all ophthalmic indications. iCo originally licensed the exclusive world-wide rights to bertilimumab in 2006 from MedImmune, the Global Research and Development arm of AstraZeneca. Immune's pipeline also includes NanomAbs, antibody nanoparticle conjugates, for the targeted delivery of chemotherapeutics, and AmiKet, a Neuropathic Pain drug candidate ready for Phase III. AmiKet has received Orphan Drug Designation for Post Herpetic Neuralgia.

### MANAGEMENT

**Daniel Teper**, CEO

**Gad Berdugo**, Executive Vice President and CFO

**Paul Nadler, M.D.**, EVP, R&D and Chief Medical Officer

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### ImmuniD

[www.immunid.com](http://www.immunid.com)

#### CONTACTS

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*Chairman and CEO*

Mrs Nadia Plantier  
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#### YEAR FOUNDED

2005

#### FINANCIAL SUMMARY

\$5m investments, several \$ millions in grants.

#### COMPANY PROFILE

ImmuniD has been a pioneer in the immune molecular diagnostic field since 2005. Its two clinical products ImmunTraCkeR® and ImmuniG® evaluate patient immune competence based on T and B cell repertoire diversity, respectively. The company is establishing ImmunTraCkeR® as the general immune companion diagnostic for all immunotherapies and setting the general immune molecular diagnostics standard globally. ImmuniD collaborates with leading clinical research centers and biopharmaceutical companies worldwide to further validate ImmunTraCkeR® as an immune companion diagnostic test for new immunotherapies and to widen clinical utility of its products. The company is ISO9001 certified and runs an ISO13485 accredited production and R&D facility in the MINATEC high-tech campus in Grenoble, France. In addition, ImmuniD has applied for CAP accreditation / CLIA certification of its central lab to be able to provide ImmunTraCkeR® routinely to clinical patients in the United States.

#### PRODUCT PIPELINE

ImmuniD has developed the immune molecular diagnostics test ImmunTraCkeR®, which evaluates patient immune competence based on combinatorial T cell diversity. ImmunTraCkeR® is a unique CE-marked diagnostic test, which approaches the disease from the patient immune system's perspective. It is therefore patient-specific, unlike most molecular diagnostics tests, which are either drug- or disease-specific. ImmunTraCkeR® provides information on the patient immune profile, using it as a biomarker for clinical benefit or for risk in patients under immunotherapies. As a new immune companion diagnostic test, ImmunTraCkeR® should answer the urgent medical need for efficient patient stratification tools in melanoma and other solid cancers.

#### MANAGEMENT

**Bernhard Sixt**, PhD, *Chairman and CEO*

**Nadia Plantier**, *VP Business Development & External collaborations*

**Kurt Schmidt**, *Chief Financial Officer*

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## Inovio Pharmaceuticals, Inc.

[www.inovio.com](http://www.inovio.com)

### CONTACTS

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[business.development@inovio.com](mailto:business.development@inovio.com)

### COMPANY PROFILE

Inovio is revolutionizing the fight against cancer and infectious diseases. Our immunotherapies uniquely activate best-in-class immune responses to prevent and treat disease, and have shown clinically significant efficacy with a favorable safety profile. With an expanding portfolio of immune therapies, the company is advancing a growing preclinical and clinical stage product pipeline. Partners and collaborators include Roche, MedImmune, University of Pennsylvania, DARPA, GeneOne Life Science, Drexel University, NIH, HIV Vaccines Trial Network, National Cancer Institute, U.S. Military HIV Research Program, and University of Manitoba. For more information, visit [www.inovio.com](http://www.inovio.com).

### MANAGEMENT

**Dr. J. Joseph Kim**, *President & CEO*

**Dr. Niranján Sardesai**, *COO*

**Dr. Mark Bagarazzi**, *CMO*

**Peter Kies**, *CFO*

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**ASSOCIATES**

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## ISA Pharmaceuticals B.V.

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### YEAR FOUNDED

2004

### COMPANY PROFILE

ISA Pharmaceuticals B.V. is an immunotherapy company developing rationally designed, fully synthetic immunotherapeutics against cancer and persistent viral infections. The company has built a proprietary immunotherapy platform based on the Synthetic Long Peptide (SLP®) concept and AMPLIVANT® technology, which enable the generation of safe and effective drugs with a known mechanism of action. Synthetic long peptides are broadly applicable to multiple targets and ideally suited for monotherapy, as essential components in combination with conventional cancer treatments, and as novel immunomodulators. SLP® immunotherapies are capable of fully harnessing and directing the body's own defenses towards fighting the disease.

### PRODUCT PIPELINE

#### ISA101 : Phase II

ISA101 consists of 13 synthetic long peptides (25-35 amino acids long) derived from the E6 and E7 oncogenic proteins of the HPV 16 virus. This strain is responsible for 50% of human cervical cancers and cervical intra-epithelial neoplasias and more than 85% of HPV-positive head and neck cancers, anal cancers and premalignant HPV-induced anal lesions (termed anal intra-epithelial neoplasia, or AIN). It is administered either subcutaneously or intradermally.

ISA101 has completed a Phase II trial in vulvar intra-epithelial neoplasia, establishing clinical proof-of-concept. In cervical cancer, ISA101 has completed a Phase I/II trial and has entered into further clinical development in 2013. In addition, a Phase I/II trial in patients with anal intra-epithelial neoplasia (AIN) has started in 2013.

Product	Indication	Pre clinical	Phase 1	Phase 1/2	Phase 2	Phase 3
ISA101 (HPV16)	Cervical Cancer (Chemo combo)	CerviSA - ongoing				
	H&N/Cervical/Anal Cancer (PD1 combo)	Start 2015Q1				
	Neoplasia (Vulvar - VIN3)	Proof of Concept *				
	Neoplasia (Anal - AIN)	VaccAIN - ongoing				
ISA201 (HPV16)	Head & Neck Cancer	HESPECTA - ongoing				
ISA203 (PRAME)	Multiple cancer indications					
ISA204 (HBV)	Chronic Hepatitis B					
Additional SLP®- AMPLIVANT®	Cancer and infectious diseases					

#### ISA203 : Preclinical

ISA203 is derived from the human antigen PRAME (Preferentially expressed Antigen in MElanoma) and is useful for the treatment of different type of cancers. ISA203 consists of synthetic long peptides (SLP®) conjugated to ISA's proprietary adjuvant AMPLIVANT®.

The tumor-specific expression and association with proliferation makes PRAME attractive to develop an immunotherapy for multiple indications. PRAME-expressing cancer cells would not be able to escape from PRAME-directed cell-mediated immunity, unless the cells would down-regulate PRAME expression, which in turn would decrease their aggressiveness.

#### ISA204 : Preclinical

ISA204 is a combination of selected Synthetic Long Peptides (SLP®s) derived from conserved regions of hepatitis B antigens with ISA's AMPLIVANT® adjuvant technology. It is designed as an effective immunotherapy

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# ISA Pharmaceuticals B.V.

www.isa-pharma.com

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CEO

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### YEAR FOUNDED

2004

...continued

for the entire patient population, and avoids virus escape mutants by inducing a T cell response against multiple conserved viral antigens.

ISA204 is capable of inducing an effective immune response against hepatitis B virus (HBV)-infected cells by avoiding immune tolerance and viral resistance. It can be easily combined with the current standard of care, and aims to induce sterilizing immunity against HBV.

### INVESTMENT & LICENSING (IN/OUT) OPPORTUNITY

#### ISA101 partnering

Actively seeking partners to expand current clinical pipeline.

- New indications
- Combine with Check point control blockers, preclinical work demonstrates synergy in established HPV-tumor models
- Combine with Chemotherapies, preclinical and clinical data demonstrate the synergy in established HPV-tumor models

#### SLP® Technology licensing

ISA's SLP® immunotherapeutics are rationally designed, off-the-shelf, synthetic peptides. Between 20 to 50 amino acids in length, they are longer than conventional peptide immunotherapeutics, and hence are optimal for an efficient and prolonged presentation by antigen-presenting cells. Furthermore, the greater length of SLP®s allows the full array of HLA alleles (no HLA-restriction) to be used, thereby enabling an SLP® immunotherapeutic to activate the immune system of all human beings, irrespective of individual HLA types. A typical SLP® product contains between 4 and 13 different carefully selected long peptides. It thereby covers the most immunogenic regions of a therapeutic target and contains epitopes for the efficient induction of both CD4 and CD8 T cell responses.

SLP® immunotherapeutics are fully synthetic, off-the-shelf compounds. No ex vivo manipulation of dendritic cells (DC) is required, because efficient DC-targeting is achieved directly in vivo.

#### AMPLIVANT® Technology licensing

ISA's AMPLIVANT® technology comprises a proprietary and synthetic small molecule TLR1/2 ligand with enhanced immunostimulatory activity that has been chemically coupled to the peptide in the standard SLP® manufacturing process. SLP®-AMPLIVANT® conjugates allow lower dosing at higher efficacy through better dendritic cell antigen processing and presentation as well as enhanced T cell priming.

This technology is not only applicable to all SLP® immunotherapeutics, but also to any other type of targeted immunotherapy, significantly enhancing its efficacy. ISA Pharmaceuticals' AMPLIVANT® technology improves the immuno-stimulatory potency of SLP® based immunotherapeutics 100- to 1000-fold.

AMPLIVANT® conjugates mediate direct dendritic cell targeting with the TLR ligand-coupled antigen and activation of these dendritic cells, leading to long-term, effective antigen presentation and T cell response induction.

### MANAGEMENT

Ronald Loggers, *CEO*

Cornelis (Kees) Melief, *CSO*

Richard (Rick) Stead, *acting CMO*

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## Karus Therapeutics Ltd

www.karustherapeutics.com

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### YEAR FOUNDED

2006

### FINANCIAL SUMMARY

- £5m raised pre-2012 (IP Group, Angels)
- £20m raised 2012 (SVLS, Novo, New Leaf, IP Group)

### COMPANY PROFILE

Karus Therapeutics is a leader in the development of innovative medicines that have breakthrough potential in the treatment of hematological cancers, immune-inflammatory disorders and solid tumor immunotherapy.

The Company is applying its insights in the structure, biology and function of individual PI3K and HDAC isoforms to design and develop innovative new medicines with significant clinical and commercial potential.

Karus is an Oxford, UK-based, privately-held company with a strong investor base, including SV Life Sciences, New Leaf Ventures, Novo A/S and IP Group.

The company is led by a highly-experienced management team with a track-record of creating, developing and partnering therapeutic programs in Europe and North America.

### PRODUCT PIPELINE

Discovery Research	Lead Optimisation	Candidate Nomination	IND-Enabling Studies	Phase I	Phase II
<b>KA2237 (PI3K-p110β/δ)</b> <i>Hematological tumors</i>					
<b>KA2237 (PI3K-p110β/δ)</b> <i>Solid tumor immunotherapy</i>					
<b>HDAC6 inhibitor</b> <i>Hematological tumors</i>					
<b>HDAC6 inhibitor</b> <i>Solid tumor immunotherapy</i>					
<b>PI3K-p110β/δ inhibitor</b> <i>Immune-complex disorders</i>					
<b>HDAC6 inhibitor</b> <i>T-cell mediated inflammation</i>					

### KA2237 - PI3K-p110bd inhibitor (lymphoma and solid tumor immunotherapy). Preclinical toxicology complete.

KA2237 is a dual-inhibitor of PI3-Kinase p110b and p110d: a novel approach to lymphoma treatment and a new paradigm in cancer immunotherapy

Using an unparalleled knowledge of the PI3K arena gained over many years, Karus has designed and developed a new class of PI3K-p110 / inhibitors with significant therapeutic potential in the treatment of a diverse range

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## Karus Therapeutics Ltd

www.karustherapeutics.com

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### YEAR FOUNDED

2006

...continued

of solid and hematological tumors through their ability to trigger cytotoxic T-cell activity, and to inhibit cancer cell growth and metastasis.

These p110 / inhibitors have strong clinical potential in the treatment of hematological tumors through direct inhibition of the PI3K-AKT signalling pathway, including in tumors such as multiple myeloma, chronic myeloid lymphoma, mantle cell lymphoma and BTK inhibitor-resistant diffuse large B-cell lymphoma that do not respond well to p110 inhibitors.

The immunotherapeutic potential of PI3K-p110 inhibition in cancer treatment was first described by two of Karus's scientific advisors, Professor Bart Vanhaesebroeck and Dr Klaus Okkenhaug. This discovery, published in Nature in 2014 (19; 509 (7505), 407) shows that cancer cells use p110 to evade the immune system and, further, that inhibition of p110 in regulatory T-cells (Tregs) unleashes the tumor cell killing potential of cytotoxic T-cells.

Karus has shown that the dual inhibition of both p110 and p110 significantly enhances the immunotherapeutic anti-tumor effect afforded by p110 alone and, courtesy of additional p110 activity, dramatically reduces primary tumor growth and metastasis.

The exquisite selectivity for the PI3K family and the absence of potent p110, p110 and mTOR inhibition make these dual-p110 / inhibitors suitable for broad use in combination with other agents to both inhibit tumor growth and evade resistance mechanisms.

### **KA2507 - HDAC6 inhibitor (myeloma, ACST and solid-tumor immunotherapy). IND-enabling toxicology**

KA2507 is the lead candidate from a novel class of highly-selective inhibitors of HDAC6. This enzyme is a non-histone-modifying member of the HDAC superfamily that has considerable potential as a drug target in the treatment of a diverse range of cancers.

Inhibition of HDAC6 disrupts the process of eliminating misfolded and aggregated proteins from cancer cells, notably in hematological cancers such as multiple myeloma. Here, the build-up of misfolded and aggregated proteins, courtesy of HDAC6-specific inhibition, triggers tumor cell apoptosis. Karus has shown the effective control of tumor growth in multiple myeloma models with its HDAC6 inhibitors, in combination with proteasome inhibitors and iMIDs.

Selective inhibition of HDAC6 is an attractive approach to anti-tumor therapy, and superior to pan-HDAC inhibition owing to its significantly reduced non-specific toxicity, and hence broader potential for combination approaches to maximize cancer cell growth but also to evade cancer cell resistance.

Karus has also shown that selective inhibition of HDAC6 reduces tumor cell-expression of programmed death-ligand 1 (PD-L1), a transmembrane protein associated with the suppression of the immune system. Expression of PD-L1 on cancer cells is positively correlated with tumor aggressiveness, and its presence reduces the number of tumor-killing cytotoxic T-cells.

With its orally-active small molecules, Karus has demonstrated significant reduction in solid tumor growth in vivo through a STAT3-associated decrease in PD-L1 expression, an increase in MHC-I expression, and triggering of cytotoxic T-cell-kill of tumor cells.

### MANAGEMENT

**Dr Simon Kerry**, CEO

**Professor Stephen Shuttleworth**, CSO

**Dr Penny Ward**, CMO

**Simon Jones**, CFO

**Dr Peter Finan**, Head of Biology

**Dr Elisabeth Bone**, Head of Preclinical

**Dr Simon Roitt**, Head of Clinical

**Dr Kemal Haque**, Head of Toxicology & Safety Pharmacology

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## Lion Biotechnologies, Inc.

[www.lbio.com](http://www.lbio.com)

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### YEAR FOUNDED

2013

### COMPANY PROFILE

Lion Biotechnologies is focused on the development and commercialization of novel cancer immunotherapies based on tumor infiltrating lymphocytes (TILs). This approach, also known as adoptive T-cell therapy, was developed by Dr. Steven A. Rosenberg at the National Cancer Institute and is currently in use at leading cancer centers in the US.

Our lead product candidate is an autologous, ready-to-infuse cell therapy that has demonstrated distinctive efficacy in the treatment of Stage 4 metastatic melanoma. In Phase 2 clinical trials, patients treated with this product demonstrated objective response rates of 49%, significantly exceeding those associated with existing melanoma treatments.

In addition to metastatic melanoma, our TIL technology is potentially applicable to all solid tumors, including ovarian, colorectal, head and neck, and other cancers. As we continue advancing our current clinical programs, we are also developing next-generation TILs and an optimized manufacturing process that will enable the production of highly potent, engineered cells at a significantly reduced cost.

### MANAGEMENT

**Elma Hawkins**, *President & CEO*

**Laszlo Radvany**, *Chief Scientific Officer*

**Michael Handelman**, *CFO*

**James Bender**, *Vice President - Manufacturing*

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## Mersana Therapeutics

www.mersana.com

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### YEAR FOUNDED

2001

### COMPANY PROFILE

Mersana is rewriting the rules for immunoconjugate therapies by leveraging our Fleximer platform to create precisely targeted and highly tailored drugs that radically improve patients' lives.

Our Fleximer platform allows us to custom design an ADC with specific properties to overcome limitations of current ADC approaches and increase the drug's chances of effectively attacking a particular cancer. We engineer immunoconjugates to deliver industry-leading payloads of an array of anti-tumor agents directly to cancerous cells, controlling when, where and how those agents are released. Because we can safely deliver higher quantities of therapeutic payloads directly to a tumor, Mersana's ADC therapies have the potential to more effectively treat broader populations of cancer patients while significantly reducing the side effects associated with many of today's cancer treatments.

### PRODUCT PIPELINE

#### Lymphoseek® (technetium Tc 99m tilmanocept) injection : Approved

XMT-1522, Mersana's first pipeline product, defines a new class of HER2-targeted therapies. XMT-1522 is based on our Dolaflexin platform and armed with about 15 auristatin molecules per antibody, making it highly potent in tumor models that express relatively low amounts of the HER2 protein.

IND expected to be filed 2H 2015.

### MANAGEMENT

#### Anna Protopapas, *President and Chief Executive Officer*

Ms. Protopapas joined Mersana in March 2015, bringing a substantial track record of executive leadership and business experience in the biotech industry. Prior to Mersana, Ms. Protopapas was President of Millennium, where she led Takeda Pharmaceutical Co.'s \$1.3 billion oncology business. Ms. Protopapas also served as the Executive Vice President of Global Business Development for Takeda Pharmaceuticals where she was responsible for global acquisitions, partnering, licensing and venture investing. In this role, she led Takeda's \$12 billion acquisition of Nycomed, a critical step in the company's globalization. Ms. Protopapas was a member of Takeda's executive committee and was elected a corporate officer in 2011. Earlier, Ms. Protopapas was an executive officer at Millennium Pharmaceuticals and served in various senior leadership positions, playing an integral role in the company's transformation from a genomics start-up to a fully integrated oncology leader. She was instrumental in the sale of Millennium to Takeda for \$8.8 billion. She earned her bachelor's degree in science and engineering from Princeton University, a master's in chemical engineering practice from the Massachusetts Institute of Technology and an M.B.A. from Stanford Graduate School of Business.

#### Donald A. Bergstrom M.D., Ph.D., *Chief Medical Officer*

Dr. Bergstrom joined Mersana in January 2014, bringing a decade of industry experience in translational medicine and drug development. Prior to Mersana, Dr. Bergstrom spent four years as Associate Vice President and Global Head of Translational and Experimental Medicine at Sanofi Oncology, where he built a global team of laboratory and clinical scientists focused on defining and executing scientifically rigorous early development strategies. Dr. Bergstrom represented Sanofi in the governance of a number of collaborations with academic and industry partners. Prior to Sanofi, Dr. Bergstrom spent six years at Merck Research Labs in roles of increasing responsibility in the Clinical Molecular Profiling, Oncology Clinical Research and Experimental Medicine Oncology groups. Dr. Bergstrom completed his M.D. and residency at the University of Washington and his Ph.D. and post-doctoral training at the Fred Hutchinson Cancer Research Center.

#### Wayne Foster C.P.A., *Vice President of Finance*

Mr. Foster joined Mersana in February 2012, bringing more than 20 years of financial management and public accounting experience. Prior to Mersana, he served for nine years as Senior Director of Finance at Tolerx, where he was responsible for a wide variety of finance functions during a period of significant growth for the company. He spent nine years as a Senior Manager at Arthur Andersen, where he specialized in emerging life science and technology companies. He earned his B.B.A. in Accounting from the University of Massachusetts Amherst.

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## Mersana Therapeutics, Inc.

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2001

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#### **Eva M. Jack**, *Chief Business Officer*

Ms. Jack joined Mersana in November 2013, bringing a wealth of business development and financial experience in the biotech industry. Prior to Mersana, she served as an advisor to biotech companies and investors on business and financing strategies. From 2010 to 2012, she served as Chief Business Officer of Pulmatrix. She also spent six years at MedImmune, the worldwide biologics unit of AstraZeneca, as Managing Director of MedImmune Ventures, overseeing investments in private biotechnology companies, and as a Director in MedImmune's Business Development group. Earlier in her career, Ms. Jack held a variety of positions at Intel Corp. in venture investments, corporate strategy and public policy. Ms. Jack received a B.A. from the University of Virginia and a master's in health sciences from The Johns Hopkins University.

#### **Timothy B. Lowinger Ph.D.**, *Chief Scientific Officer*

Dr. Lowinger joined Mersana in 2008, bringing nearly 15 years of global scientific leadership and drug discovery experience in the pharmaceutical and biotech industries. Over the course of his career at Bayer Pharmaceuticals in the US, Japan and Germany, he contributed to the discovery of more than 15 preclinical and clinical drug candidates in the areas of oncology, asthma, inflammation, virology, obesity and diabetes. Most notably, Dr. Lowinger is a co-inventor of the pioneering anti-angiogenic agent Nexavar (sorafenib), approved for the treatment of renal and hepatocellular cancer, as well as Stivarga (regorafenib), approved for the treatment of metastatic colorectal cancer. Dr. Lowinger has published more than 40 scientific papers and is a co-inventor on more than 40 patents. He has a B.Sc. (Hons.) in Chemistry and a Ph.D. in Organic Chemistry from the University of British Columbia and was a Merck Postdoctoral Fellow at the Ohio State University in the lab of Professor Leo A. Paquette. He currently serves on the Scientific Advisory Board of Keystone Symposia.

#### **Peter U. Park Ph.D.**, *Vice President of Biology*

Dr. Park joined Mersana in January 2013, bringing significant experience in the discovery and development of antibody and antibody-drug conjugate therapies. Before joining Mersana, he was a co-founder and CEO of Habgen, a startup focused on immuno-oncology antibody therapeutics. Prior to that, Dr. Park spent 10 years in various roles at ImmunoGen, most recently as Senior Director of Discovery Research. In this role, he managed the discovery research portfolio for the development of novel monoclonal antibody and antibody drug conjugates for oncology, co-inventing and advancing three compounds that are currently in clinical testing. Additionally, he oversaw ImmunoGen's research collaboration with Sanofi. He started at ImmunoGen as a research scientist who began and led the development of a novel anti-CD38 antibody SAR650984 for multiple myeloma, which was licensed to Sanofi and is currently in Phase 2 testing. Dr. Park is a co-inventor on more than 10 patents and has contributed to numerous scientific publications. He earned his B.S. and Ph.D. in Biology from the Massachusetts Institute of Technology.

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## Mirna Therapeutics, Inc.

www.mirnarx.com

### CONTACTS

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### YEAR FOUNDED

2007

### FINANCIAL SUMMARY

2009: \$5M from Texas emerging Technology Fund

2010: \$10.3M from Cancer Prevention & Research Institute of Texas (CPRIT)

2012: \$35.3M from Sofinnva Ventures, NEA, Pfizer Ventures, Osage University Partners, Correlation Ventures, and other private investors

2015: \$41.8M from Baxter Ventures, Eastern capital, Sante Ventures, Morningside Ventures, Rock Springs Capital, Sofinnva Ventures, NEA, Pfizer Ventures, Osage University Partners, Correlation Ventures, and other private investors

### COMPANY PROFILE

Mirna Therapeutics, Inc. is a clinical-stage biopharmaceutical and immuno-oncology company developing a broad pipeline of leading microRNA-based oncology therapeutics. We believe tumor suppressor microRNA mimics have great potential as cancer therapeutics due to their capacity to regulate many different oncogenes across multiple pathways as well as to repress PD-L1, as compared to other targeted cancer therapies that affect only one or two oncogenes or oncogenic pathways. Mirna's lead program, MRX34, a first-in-class cancer compound, is the first miRNA mimic drug candidate to advance into clinical testing. MRX34 is currently being studied in a Phase 1 clinical trial including patients with hepatocellular carcinoma, melanoma, NSCLC, SCLC, neuroendocrine tumors, other solid tumors and hematological malignancies. The Phase 1 clinical trial is expected to enroll approximately 120 patients and data from the study are expected in late 2015.

In April, 2015, Mirna announced the completion of a \$41.8 million Series D financing. The company's second institutional financing was led by Baxter Ventures, joined by other new investors, Eastern Capital, Santé Ventures, Morningside Ventures, Rock Springs Capital, and Celgene Corporation. Existing investors Sofinnova Ventures, New Enterprise Associates, Pfizer Ventures, Osage University Partners, Correlation Ventures, and others, also participated in the financing. The funding will enable Mirna to advance its lead microRNA therapeutic product candidate, MRX34, into Phase 1b and Phase 2 trials in 2016. Indications for further development will be selected at the completion of Mirna's ongoing Phase 1 trial in patients with hepatocellular carcinoma, other solid tumors and hematological malignancies. The Company also plans to advance a second miRNA therapeutic candidate into clinical trials with the proceeds of this financing, as well as embark on a combination therapy development program.

### MANAGEMENT

**Paul Iammers, MD, MSc**, *President & CEO*

**Jon Irvin**, *CFO*

**Casi DeYoung**, *CBO*

**Sinil Kim, MD**, *VP of Oncology & CMO*

**David Brown, PhD**, *VP of Preclinical Pharmacology*

**Andy Bader, PhD**, *VP of Translational R&D*

**Jay Stoudemire, PhD**, *VP of Preclinical development, RA and QA*

**Neil Leatherbuty**, *Dir of Pharmaceutical Development*

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ONCOSEC™

#### CONTACTS

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#### YEAR FOUNDED

2011

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## OncoSec Medical, Inc.

www.oncosec.com

#### COMPANY PROFILE

OncoSec Medical Inc. is a biopharmaceutical company developing its investigational ImmunoPulse™ intratumoral cancer immunotherapy. OncoSec's core technology is designed to enhance the local delivery and uptake of DNA IL-12 and other DNA-based immune-targeting agents. Clinical studies of ImmunoPulse™ have demonstrated an acceptable safety profile and preliminary evidence of anti-tumor activity in the treatment of various skin cancers, as well as the potential to initiate a systemic immune response limiting the systemic toxicities associated with other treatments. OncoSec's lead program evaluating ImmunoPulse™ for the treatment of metastatic melanoma is currently in Phase II development, and is being conducted in collaboration with several prominent academic medical centers. As the company continues to evaluate ImmunoPulse™ in its current indications, it is also focused on identifying and developing new immune-targeting agents, investigating additional tumor indications, and evaluating combination-based immunotherapy approaches. For more information, please visit [www.oncosec.com](http://www.oncosec.com).

#### PRODUCT PIPELINE

##### ImmunoPulse™ IL-12 : Phase 2

To date, OncoSec's immunotherapy platform, ImmunoPulse™, focuses on the delivery of DNA-based interleukin-12 (IL-12), a naturally occurring protein with immune-stimulating functions. The treatment is designed to produce a controlled, localized expression of IL-12 in the tumor microenvironment, which in turn, enables the immune system to target and attack tumors throughout the body.

OncoSec is currently investigating ImmunoPulse™ IL-12 for treatment of metastatic melanoma, head and neck cancer, and triple negative breast cancer. As the company continues to evaluate ImmunoPulse™ IL-12 in these current indications, OncoSec is developing new immune-targeting agents, investigating additional tumor indications, and evaluating combination-based immunotherapy approaches.

#### MANAGEMENT

##### Punit Dhillon, CEO

Mr. Dhillon is the Co-Founder and CEO of OncoSec Medical, Inc., a biopharmaceutical company developing its advanced-stage immunotherapy to treat solid tumors. He was formerly Vice President of Finance and Operations at Inovio Pharmaceuticals, Inc. In his management experience, Mr. Dhillon has raised over \$160 million through multiple financings and several licensing deals including early stage deals with Merck and Wyeth. His management experience spans corporate finance, M&A, integration, successful in-licensing of key intellectual property, strategy implementation, corporate transactions and collaborations with leading universities and working with several key opinion leaders worldwide. Mr. Dhillon is also the founder of BeCancerPositive.org, an online community where people can share their experiences with cancer and inspire hope for others. Mr. Dhillon holds a Bachelor of Arts with Honors in Political Science and a minor in Business Administration from Simon Fraser University.

##### Veronica Vallejo, CFO

Ms. Vallejo brings more than 15 years of public accounting experience to OncoSec. She has raised over \$50 million through private placements and public offerings, and has led numerous early stage life science companies into development stage. Her strategic insights and strong financial acumen have been invaluable to the continued growth and success of the company. Ms. Vallejo has worked for over a decade in senior management positions, most recently as a Senior Manager with Mayer Hoffman McCann P.C. She has wide-ranging experience in public company operations and all finance and accounting functions, including SEC reporting, compliance and internal controls. Ms. Vallejo holds a B.S. in Business Administration with an emphasis in accounting from San Diego State University. She is a certified public accountant and a member of the American Institute of Certified Public Accountants.

##### Robert H. Pierce, M.D., Chief Scientific Officer

Dr. Pierce joins OncoSec from Merck Research Labs where he was the Executive Director/Member of the Global Anti-PD-1 Development Team. Dr. Pierce is well regarded for his career-long research into mechanisms of immune tolerance. He is the co-author of over fifty peer-reviewed journal articles and book chapters.

Dr. Pierce received his post-doctoral training at the University of Washington in Seattle, WA, his graduate education and training at Brown University School of Medicine in Providence, RI, and received his undergraduate education at Yale University in New Haven, CT. As a Fulbright Award recipient, Dr. Pierce studied Philosophy at the Albert-Ludwigs-University in Freiburg, Germany.

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## Sorrento Therapeutics, Inc.

[www.sorrentotherapeutics.com](http://www.sorrentotherapeutics.com)

### CONTACTS

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### COMPANY PROFILE

Sorrento is an oncology company developing new treatments for cancer and associated pain. Sorrento recently announced that Dr. Patrick Soon-Shiong's NantPharma acquired the rights to Cynviloq™, which completed a successful TRIBECA study. Sorrento is also developing resiniferatoxin (RTX), a non-opiate TRPV1 agonist currently in a Phase 1/2 study at the NIH to treat terminal cancer patients suffering from intractable pain.

In December 2014, Sorrento and NantWorks formed a global joint venture, now called Nantibody, to focus on immunotherapies for cancer. Also in December 2014, Sorrento and Conkwest, Inc., a privately-held immuno-oncology company developing proprietary Neukoplast®, a Natural Killer (NK) cell-line based therapy, entered into an agreement to jointly develop CAR.TNK™ (Chimeric Antigen Receptor Tumor-attacking Neukoplast) immunotherapies for the treatment of cancer and infectious diseases. In March 2015, Sorrento entered into a global collaboration with NantCell, a NantWorks company, to discover and develop immunotherapies against tumor neo-epitopes.

### MANAGEMENT

**Henry Ji**, *Director, President and CEO*

**Gunnar Kaufmann**, *Senior Director of Research and Development*

**George Uy**, *Chief Commercial Officer*

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### UbiVac

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#### YEAR FOUNDED

2005

#### COMPANY PROFILE

**UbiVac's patented technology fills a gap in the Immuno-Oncology pipeline of every major pharmaceutical company.**

UbiVac is a privately held clinical stage biotechnology company. Founded in 2005, UbiVac has first-in-class DC targeted vaccine/combination immunotherapy in a US National Cancer Institute-funded phase II clinical trial for NSCLC. UbiVac's technology fills a gap in the oncology pipeline of many pharmaceutical companies. UbiVac's lead immunotherapy platform, autophagosome-enriched vaccines, provides 100s of antigens, many of which are present as altered peptide ligands, packaged in a DC-targeted stable double membrane microvesicle containing DAMPs and at least 5 TLR agonists. Clinical data shows this vaccine induces immunity against a large number of proteins over-expressed by human cancer. Preclinical data suggests that this vaccine platform, combined with checkpoint blockade or costimulatory antibodies can significantly augment therapeutic efficacy. UbiVac predicts this will present an opportunity to substantially improve response rates for approved immunotherapies and aid in the approval of additional agents. UbiVac's lead product, DPV-001, a first-in-class DC-targeted complex vaccine/combination immunotherapy is being tested in an NCI-funded randomized multi-center phase II trial for NSCLC (NCT01909752). A pilot study of the vaccine is open for patients with prostate cancer (NCT02234921) and trials for breast cancer (Q3) and mesothelioma (Q4) will open in 2015. UbiVac's autophagosome technology is patented in USA, Europe, Japan and South Korea with patents pending in India. Additional patents covering autophagosome technology and disabled CMV are pending in countries noted above and in China. A Nanoparticle patent is pending in the USA.

**Current Goal:** UbiVac is currently seeking support to initiate a phase I/II trial of combination immunotherapy, including DRibbles with an anti-PD-1 antibody, in patients with advanced cancer. Since our vaccine contains a spectrum of antigens overexpressed in adenocarcinoma and squamous cell cancers, as well as hematologic malignancies, these trials could be initiated in any of a number of different cancers.

#### PRODUCT PIPELINE

**UbiVac's lead product, DPV-001 is being tested in an NCI-funded randomized multi-center phase II trial for NSCLC (NCT01909752).**

NSCLC / DPV-001 is a first-in-class DC-targeted complex vaccine/combination immunotherapy and is considered the best characterized complex biologic ever to go into clinical trials. DPV-001 provides on average, 176 putative cancer antigens over-expressed by NSCLC. A large number of these are presented as altered peptide ligands that will help break tolerance. These cancer antigens are packaged in a DC-targeted stable double membrane microvesicle containing DAMPs and at least 5 TLR agonists. Clinical data shows this vaccine induces immunity against a large number of proteins over-expressed by human cancer. Preclinical data suggests that this vaccine platform, combined with checkpoint blockade or costimulatory antibodies can significantly augment therapeutic efficacy. UbiVac predicts this will present an opportunity to substantially improve response rates for approved immunotherapies and aid in the approval of additional agents.

**Prostate Cancer / DPV-001 for adenocarcinomas.**

**A pilot study of the vaccine is open for patients with prostate cancer (NCT02234921).**

**Breast Cancer / DPV-001**

#### INVESTMENT & LICENSING (IN/OUT) OPPORTUNITIES

**Phase I/II Vaccine/immunotherapy + PD-1 clinical trial**

As the recent paper in Science reported (Rizvi et al April 3, 2015), the "Blockbuster" anti-PD-1 drug is effective in patients with high levels of mutations, but is not effective in patients with less mutated tumors.

<http://www.sciencemag.org/content/early/2015/03/11/science.aaa1348?explicitversion=true>

This latter group represents the vast majority of cancer patients. The generally accepted mechanism responsible for this therapeutic effect in highly mutated cancers, is that the immune system is able to recognize the highly mutated cancers and has already developed an immune response against those cancers. However, the immune system is unable to eliminate the cancer because PD-L1 expression at the tumor is preventing immune elimination. IN these patients, treatment with anti PD-1 or anti-PD-L1 relieves that "checkpoint" and leads to tumor regression. However, the number of patients obtaining a potentially curative CR, is relatively low.

As shown in an NCI-supported phase II trial, UbiVac's DPV-001 immunotherapy has the capacity to induce anti-

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### UbiVac

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President & CEO

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#### YEAR FOUNDED

2005

...continued

cancer immune responses against both mutated and non-mutated cancer antigens.

<http://www.immunotherapyofcancer.org/content/2/S3/P249>

The recent FDA approval of Opdivo for second line squamous NSCLC, opens the door for UbiVac to move forward with a clinical trial we have planned for more than a year. Based on the findings reported above, we are initiating a 270-300 patient phase I/II trial comparing anti-PD-1 alone vs DPV-001 with anti-PD-1. We expect a significant increase in both the ORR and CR rate in patients receiving the combination compared to anti-PD-1 alone. We believe this will allow us to leapfrog over strategies that are relying on checkpoint blockade alone.

#### HNSCC combination immunotherapy trial

UbiVac's DPV-001 DC-targeted cancer immunotherapy, in addition to DAMPS and 5 TLR agonists, contains 189 putative cancer antigens that are overexpressed by the average HNSCC. This immunotherapy, currently in a phase II clinical trial, is ready to be combined with anti-PD1, anti-PD-L1, anti-OX40 or other agents for the treatment of patients with metastatic HNSCC.

#### Breast cancer combination immunotherapy trial

UbiVac's DPV-001 DC-targeted cancer immunotherapy, in addition to DAMPS and 5 TLR agonists, contains 170 putative cancer antigens that are overexpressed by the average breast cancer. This immunotherapy, currently in a phase II clinical trial, is ready to be combined with anti-PD1, anti-PD-L1, anti-OX40 or other agents for the treatment of patients with metastatic breast cancer.

#### Autophagosome "Dribble" Immunotherapy Platform

Product	Indication	Preclinical - Phase I - Phase II - Phase III
DPV-001	Definitely-treated stage IIIA/B NSCLC	Phase II enrolling
DPV-001	Advanced Prostate Cancer	Pilot study enrolling
DPV-001/DPV-003	Breast Cancer	Phase II opens 2nd Qtr 2015
DPV-001	Mesothelioma	Phase I/II opens 4th Qtr 2015
DPV-001 + anti-PD-1	Advanced NSCLC	Phase I/II opens 4th Qtr 2015
DPV-001 + anti-PD-1	Advanced Head and Neck Squamous Cell Cancer (HNSCC)	Opens 2016
DPV-001 + anti-PD-1	Advanced HPV + cancers	Phase I/II opens in 2016

#### NanoParticle Immunotherapy Platform

Product	Indication	Preclinical - Phase I - Phase II - Phase III
NP-001	HPV+ HNSCC and cervical cancer	Preclinical

#### Spread defective (SdCMV) Immunotherapy Platform

Product	Indication	Preclinical - Phase I - Phase II - Phase III
sdCMV-001	Melanoma	Preclinical
sdCMV-002	HPV + cancers	Preclinical

#### MANAGEMENT

Dr. Bernard A Fox, PhD, *President & Chief Executive Officer*  
 Dr. Hong-Ming Hu, PhD, *Chief Scientific Officer*  
 Mr. Bernard A Fox III, *Chief Financial & Operating Officer*  
 Dr. Traci Hilton, PhD, *Vice President Vaccine Development*

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**COMPANY PROFILE**

XOMA is a late-stage biotechnology company with a diverse portfolio of innovative therapeutic antibodies. The Company has built an expertise in allosteric modulation and has applied that expertise to expand the therapeutic potential of monoclonal antibodies. The first compound from XOMA's allosteric modulating antibody program is gevokizumab, an IL-1 beta modulating antibody. XOMA has partnered with SERVIER, a global pharmaceutical company based in France, to develop and commercialize gevokizumab for the global market, and the companies are conducting a global Phase 3 program in people with Behçet's disease uveitis and non-infectious uveitis.

XOMA's antibody technology platforms include an unmatched collection of antibody phage display libraries and proprietary Human Engineering™, Bacterial Cell Expression (BCE), affinity maturation and manufacturing technologies. BCE is a key breakthrough biotechnology for the discovery and manufacturing of antibodies and other proteins. Overall, 60 pharmaceutical and biotechnology companies have signed BCE licenses, and several licensed product candidates are currently in clinical development. XOMA is entitled to development-related milestones and royalties on antibodies covered under these licenses.

**INVESTMENT & LICENSING (IN/OUT) OPPORTUNITY****TGF-beta program**

The cytokine transforming growth factor (TGF) underlies key processes critical for cancer progression and is implicated in a variety of cancers. TGF is involved in many cellular processes, including cell growth inhibition, cell migration, invasion, epithelial–mesenchymal transition (EMT), extracellular matrix (ECM) remodeling, and immune suppression. Although essential for normal tissue homeostasis, elevated levels of TGF may drive the progression of numerous disease states, including advanced metastatic cancer, fibrosis, and inflammation. Therefore, TGF and its signaling pathway have become attractive targets for cancer drug development.

Cancer processes may involve more than one TGF isoform and the neutralization of a single isoform may not be sufficient. TGF 1 and TGF 2 are known to be key players in a number of cancers such as gastric and colorectal cancer. TGF 1 is overexpressed in many cancers and is believed to increase the likelihood of successful metastasis. Furthermore, TGF 1 is involved in the formation of regulatory T cells (Treg) that release factors capable of evading immune surveillance. TGF 3 may be associated with an enhanced T cell-mediated cytotoxic response, which could help decrease tumor burdens in patients. It is possible that neutralizing TGF 1/2, but preserving TGF 3 would result in a significant reduction in tumor-protecting Treg, but still allow for the development of cytotoxic immune responses enhanced by TGF 3.

XOMA 089 is a dual-specific inhibitor that binds to TGF 1 and TGF 2 but not to TGF 3. XOMA 089 is effective in xenograft models as monotherapy and in combination with additional agent (details available under CDA). Preliminary data from cytokine profiling reveals that there are significant changes in cytokines that would suggest improved immune surveillance of tumors.

**MANAGEMENT**

Dee Datta, *Director, Business Development*



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[www.biodeutschland.org](http://www.biodeutschland.org)

**As the sector association of the biotechnology industry, BIO Deutschland has set itself the objective of supporting and promoting the development of an innovative economic sector based on modern biosciences.**

The Berlin-based association currently has over 300 members. It is run by a board of ten members consisting of CEOs and managing directors of biotechnology companies, as well as directors of BioRegions. This committee comprehensively represents the various fields in the sector.

The member companies and their experts are organised in working groups that deal with the following topics: finance and taxation; licences and technical contracts; regulatory matters; innovation and entrepreneurship; HR; German-US cooperation; health policy; competition and regulatory policy; technology transfer; and PR. Using a wide range of political initiatives, BIO Deutschland lobbies for improvements to the legal parameters for innovative small and medium-sized enterprises.

BIO Deutschland is Germany's biotechnology sector representative at the European association, EuropaBio, in Brussels. BIO Deutschland also works closely with other biotech organisations in Europe and the USA in order to lobby for the interests of the sector in an internationally coordinated way. The association is also very active in a broad range of events with the aim of providing biotechnology with a platform for discussion and interaction.

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If you are about to negotiate a licensing deal between a Biotech and a Pharma company. Or you are looking for a big Pharma company to out-license your Biotech product. Or you are active in the medical technology (Medtech) sector and just want to identify potential cooperation partners or customers. Or you are an investor looking for investment opportunities - or you just want to know about historical financing rounds and valuations in the life sciences, Biotech, Pharam and medical device field. This portal can solve all of these problems – and even more.

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Edison is a UK-based investment intelligence firm.

It employs more than 70 equity analysts operating from offices in London, New York, Sydney, Wellington and Frankfurt that provides research coverage on more than 700 publicly traded companies, making it one of the largest dedicated small and mid-cap research providers worldwide. Healthcare is the largest industry group within Edison with 12 analysts covering some 150 biotech/medical device companies located in UK, Continental Europe, North America and Australia.

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FreeMind's knowledgeable and experienced team of Analysts and Project Managers are dedicated to guiding its clients non-dilutive funding efforts from identification of the most suitable opportunity through to submission and subsequent award. Our team of experts will assist our clients in making non-dilutive funding a key tool in their long-term financial strategy.

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**Instinctif Partners is an international business communications consultancy.**

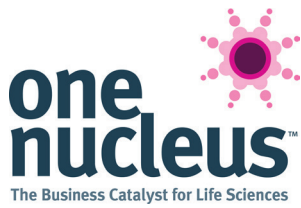
With a track record of delivering truly creative programmes, the Life Sciences practice focuses on enhancing the value proposition for companies seeking investment, partnerships or customers. Our core skill is working with clients to communicate the value of their science and innovation to key stakeholders through the most relevant channels: crafting communications solutions that showcase each company, product or technology. Specifically, we are unique in offering specialist expertise seamlessly across corporate, financial, healthcare and marketing communications with outreach programmes to media, industry, professional, public, financial and investment communities.

Our service offering covers all communications disciplines including strategic counsel, PR, IR, media relations, public affairs, crisis communications, internal communications, marketing, advertising, copywriting, design, research and event management. Our globally integrated and dedicated life sciences team serves clients around the world from our bases in London, Manchester, Munich, Boston, Melbourne and Sydney.

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**One Nucleus is a membership organisation for international life science and healthcare companies. We are based in Cambridge and London UK, the heart of Europe's largest life science and healthcare cluster.**

**Vision:** For One Nucleus and our members to be the top European life science and healthcare network.

**Mission:** We will achieve this by maximising the global competitiveness of our members.

**Organisation History:** Established in 1997, and formerly known as ERBI, One Nucleus is a not-for-profit, membership organisation and located in Cambridge and London – the centre of Europe's leading life science and healthcare cluster.

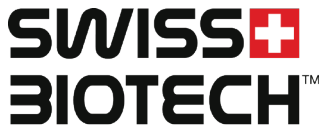
The company has over 470 organisations as members including pharmaceutical, biotech, medical device and diagnostic companies and associated technical and commercial service providers.

One Nucleus's mission is to maximise the global competitiveness of our members. For our science and technology-based members, that means being global leaders in the research, development and commercialisation of healthcare innovations that radically improve the quality of people's lives around the world. For our business and professional services members, it means delivering exceptional services that significantly enhance the business performance of their clients.

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[www.swissbiotech.org](http://www.swissbiotech.org)

#### SwissBiotech – One Nation – One Biotech Cluster

Swiss Biotech unites the four leading biotech regions of Switzerland (BioAlps, BaselArea, Biopolo Ticino and Greater Zurich Area). The regions have early on combined efforts with the SWX Swiss Exchange which holds a leading position in terms of life-science listings and services.

The National Industry Association named Swiss Biotech Association Represents more than 150 companies to date and acts as the operational arm for the marketing alliance. Swiss Biotech raises Switzerland's profile as an economic center in Europe and profiles the biotech industry with its key research institutions and companies.

Swiss Biotech's mission is to spread the message of Switzerland as one of the top biotech locations in the world. This will be achieved by presenting a comprehensive picture of the drivers of biotechnology including research, education, economics, finance and industry. The bases for success in biotechnology are the critical mass of research institutes and accelerated technology transfer. The early integration of industry and well-trained workforce is another critical success factor for rapid economic growth. More than 40 technology parks throughout the country support the increasingly important and successful TechTransfer process.

*Further inquiries:*

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Sachs Associates is a long established international conference company with offices in Switzerland and the UK. It runs a limited number of high profile conferences in Europe and the USA which are focused on bio-pharma, medtech, and digital health. These conferences focus on licensing and investment opportunities and all provide presenting opportunities for companies and excellent meeting facilities for all delegates to network.

Sachs Associates is focused on the practical benefits accruing from conference participation, the exchange of ideas and information, and the facilitating of business transactions.

**The benefits of conference participation with Sachs Associates may be summarised as follows:**

#### Online One-to-One Meeting System

In order to offer the best possible provision for networking opportunities and deal making Sachs Associates provides all delegates access to our online one to one meeting system, allowing you to set up, accept or decline private one to one meetings with other conference attendees. These meetings are scheduled at your convenience in private meeting rooms and last 30 minutes in duration. Individual passwords and logins are provided to allow immediate access and ensure full security.

#### Cutting edge Content with Eminent Speakers

Sachs Associates is committed to ensuring that its events continue to provide forums with the participation of the most eminent speakers from the public and private sectors. Through its reputation and its long-established local relationships, the Company has attracted very senior scientific and business personalities as speakers at its events.

#### Sponsorship and Marketing Opportunities for forthcoming events

Sachs Associates has developed an extensive knowledge of the key individuals operating within the European and global biotech industry. This together with a growing reputation for excellence puts Sachs Associates at the forefront of the industry and provides a powerful tool by which to increase your position your company in this market.

Sponsorship of any of our events allows you to raise your company's profile directly with your potential clients. All of our sponsorship packages are tailor made to each client, allowing your organisation to gain the most out of attending our industry driven events.

The following sponsorship and marketing opportunities are available at future conferences:

- Conference Sponsor – including workshops and social events
- Exhibition stands
- Distribution of Promotional Material

**If your company is interested in exhibiting or sponsorship opportunities please call Silvia Kar on +44 203 463 4890 or email [Silvia@sachsforum.com](mailto:Silvia@sachsforum.com)**

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