### TITLE PAGE

Protocol Number: C-16-ML01

Protocol Title: A Single-Center, Open-Label Pilot Study of a Novel

Microlens Array Device for Skin Rejuvenation

Sponsor: Cutera, Inc.

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Version, Date: Version 1.0 June 16, 2016

### Statement of Compliance

The study will be conducted in accordance with the design and specific provisions of this IRB approved protocol, in accordance with the ethical principles that have their origin in the Declaration of Helsinki, and that are consistent with Good Clinical Practice (GCP) and the applicable regulatory requirement(s).

**NOTE:** The confidential information in the following document is provided to you as an Investigator, potential Investigator, or consultant for review by you, your staff, and applicable Institutional Review Board. By accepting this document, you agree that the information contained herein will not be disclosed to others, without written authorization from Cutera, Inc. except to the extent necessary to obtain informed consent from those persons to whom the device will be administered.

### **Protocol Signature Sheet - Principal Investigator**

### PROTOCOL C-16-ML01

Study Title: A Single-Center, Open-Label Pilot Study of a Novel Microlens Array Device for Skin Rejuvenation

### Protocol Version 1.0, June 16, 2016

I have received and read the protocol dated **June 16, 2016** and agree to adhere to the requirements. I am aware that my adherence to the above protocol is mandatory and that any changes in the protocol or informed consent form must first be approved by Cutera, Inc. and the Institutional Review Board, except those changes necessary to eliminate apparent immediate hazards to subjects. I will provide copies of this protocol and all pertinent information to the study personnel under my supervision. I will discuss this material with them and ensure they are fully informed regarding their role in the study. I will ensure that the study is conducted in compliance with the protocol, Good Clinical Practice (GCP), and all applicable regulatory requirements, and with the reviewing Institutional Review Board (IRB) requirements. I agree to commence this study only after documented IRB approval is obtained.

Principal Investigator		
_	Signature	Date
_	Printed Name	

### **TABLE OF CONTENTS**

Protoc	otocol Summary	
1	PURPOSE	6
2	BACKGROUND INFORMATION	6
2.1	PHOTO-REJUVENATION	6
2.2	STUDY DEVICE	7
2.3	ONGOING CLINICAL STUDIES USING THE CUTERA PICOSECOND Q-SWITCHED ND:YAG	8
3	STUDY OBJECTIVES	9
4	STUDY DESIGN	9
4.1	STUDY ENDPOINTS	10
4.1.1	Efficacy Endpoints	10
4.1.2	Safety Endpoints	10
4.2	STUDY DURATION	10
4.3	STUDY EFFECTIVENESS ASSESSMENTS	10
4.3.1	Investigator Assessments	10
4.3.2	Subject Assessments	11
4.3.3	Exploratory Assessments	11
4.4	Study Safety Assessments	11
4.4.1	Incidence and Severity of Adverse Events:	11
4.4.2	Treatment-related Discomfort	11
4.4.3	Phone Follow-up	11
4.5	PHOTOGRAPHS	12
4.6	STUDY DISCONTINUATION	12
4.7	INVESTIGATOR SELECTION	12
5	Study Population	12
5.1	STUDY SUBJECT RECRUITMENT AND SELECTION	12
5.1.1	Inclusion Criteria	12
5.1.2	Exclusion Criteria	13
5.2	SUBJECT NUMBERING	14
5.3	SUBJECT DISCONTINUATION CRITERIA	14
6	Study Procedures	14
6.1	SCREENING / ENROLLMENT	14
6.2	LASER TREATMENT 1 TO 7 – VISIT WINDOW AND PRE-TREATMENT PROCEDURES	15
6.3	LASER TREATMENT PROCEDURES	15
6.4	FOLLOW-UP VISITS	17
6.5	BIOPSY PROCEDURE (OPTIONAL)	17
7	ADVERSE DEVICE EFFECTS	17
	DEFINITIONS	17
7.1.1	Adverse Device Effect	17
7.1.2	Serious Adverse Device Effect	18
7.2	RECORDING ADES AND SADES	20
7.3	FOLLOW-UP OF SUBJECTS AFTER ADES AND SADES:	20
8	Potential Risks / Benefits	20
8.1	POTENTIAL RISKS	20
8.2	POTENTIAL BENEFITS	21

21			
22 22 22 22 22 23			
23			
23 23 24 24 24 24 24 24 25			
26			
26			
30			
31			
32			
33			
34			
35			
36			
38			
40			
ppendix 10: Post-Biopsy Care Instructions 41			

### **Protocol Summary**

Title	A Single-Center, Open-Label Pilot Study of a Novel Microlens Array Device for Skin Rejuvenation	
Objective	<ol> <li>To evaluate the safety of the Cutera Microlens Array Device when used with the enlighten™ 532nm /1064nm/670nm laser for photo-rejuvenation.</li> <li>To evaluate the efficacy of the Cutera Microlens Array Device for skin rejuvenation, including improvement in acne scars, fine rhytides, lentigines or pigmentation, erythema and skin texture.</li> </ol>	
Study Design	A single-center prospective, open-label uncontrolled pilot study.  Subjects will receive laser treatments, and will be followed at 2  12 weeks (±2 weeks) post-final treatment.	
Enrollment	A maximum of 50 subjects	
Study Endpoints	<ul> <li>Degree of improvement at 12 weeks post-final treatment as assessed by the Investigator (Physician's Global Assessment of Improvement).</li> <li>.</li> </ul>	
Subject Population	Female or male subjects, age 20 to 75 years, Fitzpatrick skin types I-VI	
Planned Schedule	First subject enrolled: July 2016  Last subject last visit: July 2018	

### 1 PURPOSE

The purpose of this pilot investigation is to evaluate the safety and efficacy of an investigational microlens array (MLA) handpiece attachment used with the Cutera enlighten™ laser for skin rejuvenation, specifically improvement of acne scars, fine rhytides, lentigines, pigmentation, erythema and skin texture.

### 2 BACKGROUND INFORMATION

### 2.1 Photo-Rejuvenation

Non-invasive treatment options are in high demand by patients wanting to improve their appearance without surgical intervention. As a result, patients now have a variety of options for non-invasive skin rejuvenation, from laser and light-based treatments to devices that utilize ultrasound and radiofrequency, however this was not always the case. Initial skin rejuvenation procedures utilized ablative lasers, such as the carbon dioxide (CO<sub>2</sub>) and erbium:yttrium-aluminum-garnet (Er:YAG), and resulted in substantial improvement in skin appearance, texture, rhytides and laxity[1-3]. Since ablative treatments destroy the epidermal layer of the skin in order to penetrate and heat the deeper dermal layers, ample post-procedure recovery time is required and patients may experience side effects lasting for a few weeks. Furthermore, hypo- or hyperpigmentation, prolonged wound healing and even scarring can occur following ablative procedures [4-6]. Treatment methods with less risk of side effects and post-treatment down time are in high demand. As such, the choices are vast and varied, ranging from fractional non-ablative laser devices to those that use radiofrequency [7-15]. Fractional lasers inflict microscopic zones of thermal damage in the dermal layers of the skin without destruction of the epidermis, thereby reducing recovery time significantly as compared to ablative procedures [16]. Non-fractional, non-ablative laser devices of various wavelengths are effective for skin rejuvenation based on the principle of selective photothermolysis, whereby laser light is absorbed by hemoglobin in blood vessels and melanin in pigment-producing skin cells [17]. Absorption of laser light by these molecular chromophores results in the production of heat, leading to destruction of unwanted blood vessels and pigment cells. Heat production within the dermis by the laser light also results in immediate collagen contraction and heat-induced wound healing that, over time, causes a cascade of cellular events leading to new collagen production and improved skin appearance [8, 10].

Full face and fractional ablative resurfacing have been used successfully to treat fine lines, wrinkles, scarring and dyschromia; however, ablative techniques, while effective, require downtime and are associated with higher risks such as scarring. Fractional ablative resurfacing, a technique where only a fraction of the skin is ablated and the other fraction remains intact, is used more frequently than full field due to a higher safety profile and less downtime. The results from fractional ablative are usually less dramatic than full field and the patient still has to care for their skin and cannot return to normal activities until fully re-epithelized.

Non-ablative resurfacing techniques have become highly popular as they can achieve effective facial rejuvenation without the downtime associated with ablative resurfacing. Current non-ablative skin rejuvenation procedures utilize various energy sources from radio-frequency, to ultrasound to lasers. The concept involves the delivery of energy to tissue to treat dyschromia or to stimulate the wound healing cascade promoting collagenesis and elastogenesis leading to improvements in dyspigmentation, fine lines, wrinkles and acne scars.

Histologies of fractionated laser delivery has demonstrated the formation of vacuoles, or areas of laser induced optical breakdown (LIOB) [18]. LIOB occurs when the intensity of the pulse is sufficiently high to generate plasma. Plasma is caused by electrons being stripped from the target material. The resulting electrons continue to absorb the laser heat, creating a vapor plume which forms a cavitation bubble that is observed as an LIOB in histological preparations.

In 2012, Habbema et al., demonstrated that highly focused, fractionated 1064 nm picosecond pulses could create subsurface LIOBs in the upper dermis and 30 days post treatment, they showed new collagen in the areas of the LIOBs, a natural wound healing process as a response to this type of injury [19].

Subsequently, picosecond lasers utilizing 755nm wavelength and a fractionated delivery system have been shown to improve the appearance of facial acne scars [20] and facial wrinkles [21]. Histological samples taken from the acne scar patients demonstrated improvements in the dermal elastic fibers, collagen and mucin. For both studies, no severe side effects were observed and the patients tolerated the procedures without complications. The LIOBs observed in both the acne and facial wrinkle studies were located in the epidermis due to the higher absorption characteristics of 755nm in melanin as compared to 1064nm used in Habbema's study.

Fractionated delivery of picosecond lasers on humans has been demonstrated to be safe. A similar device to MLA, utilizing 755nm wavelength and a fractionated delivery system, has obtained FDA 510K clearance (K143105) and has been shown to improve the appearance of facial acne scars [20] and facial wrinkles [21]. For both studies, no severe side effects were observed and the patients tolerated the procedures without complications.

Recently, a holographic diffractive beam-splitter technology delivering fractionated picosecond 532nm and 1064nm wavelengths has also been described and is available commercially outside of the US (Syneron Candela), but to date, no FDA clearance exists for this device. The company reports the device is able to focus the LIOBs in the epidermis with the 532nm wavelength and in the upper papillary dermis with the 1064nm wavelength safely [22].

### 3 STUDY OBJECTIVES

The objectives of this pilot study are:

- 1) To evaluate the safety of the Microlens Array device when used with the enlighten 532nm/670nm//1064nm laser for photo-rejuvenation;
- 2) To evaluate the efficacy of Microlens Array device for efficacious skin rejuvenation, including improvement in fine acne scars, rhytides, lentigines, pigmentation, erythema and skin texture.

### 4 STUDY DESIGN

This is a single-center prospective, open-label, uncontrolled feasibility study in up to 50 male or female subjects, age 20 to 75 years who desire laser treatment for photo-rejuvenation, specifically improvement of acne scars, fine rhytides, lentigines or pigmentation, erythema and skin texture. Subjects may be treated on the face and/or body (such as, but not limited to, hand, forearm, chest or décolleté).

Subjects will receive	laser treatments,	and will be followed at
	12 weeks post final trea	atment (atmost). The number of treatment
as well as the interval between	een treatments will be determin	ned at the Investigator's discretion.

### 4.1 **Study Endpoints** 4.1.1 Efficacy Endpoints 4.1.1.1 Primary Efficacy Endpoint Degree of improvement at 12 weeks post-final treatment as assessed by the Investigator (Physician's Global Assessment of Improvement). 4.1.2 Safety Endpoints Incidence and severity of adverse device effects during the study period, including subject pain level during laser treatment.

### 4.3 Study Effectiveness Assessments

### 4.3.1 Investigator Assessments

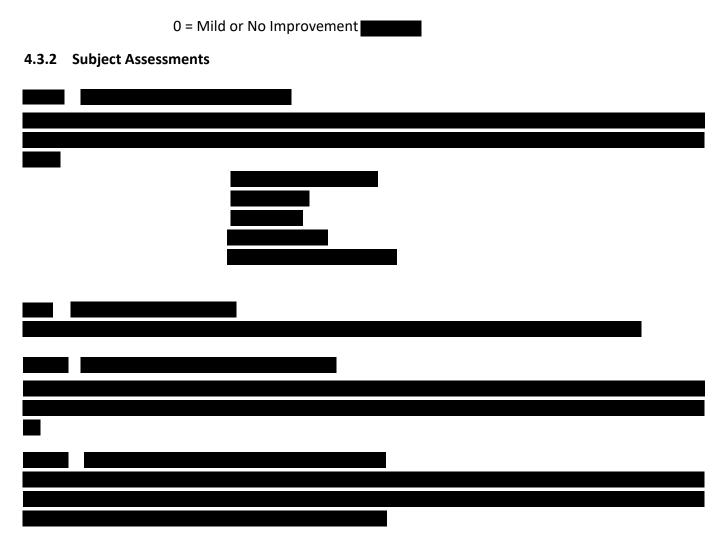
### 4.3.1.1 Investigator's Global Assessment of Improvement

At 12 weeks post-final treatment, the Investigator will be asked to rate the degree of improvement observed in the subject's treated area using the Physician's Global Assessment Scale:

3 = Very Significant Improvement

2 = Significant Improvement

1 = Moderate Improvement



### 4.4 Study Safety Assessments

### 4.4.1 Incidence and Severity of Adverse Events:

Following the first laser treatment, adverse device effects (ADEs) will be assessed post-treatment and at each subsequent subject visit using the following scale:

- 1= mild: requires minimal or no treatment and does not interfere with the Subject's daily activities.
- 2= moderate: may cause some interference with functioning.
- 3= severe: interrupts Subject's usual daily activity and may require treatment.

### 4.4.2 Treatment-related Discomfort

After each laser treatment, subjects will be asked to rate the average amount of discomfort experienced during treatment and immediately after laser treatment using the Pain Rating Scale found in the Subject Questionnaire located in **Appendix 5**.

### 4.4.3 Phone Follow-up

### 4.5 Photographs

Standardized digital photographs will be taken of each subject's treatment area at baseline, prior to all laser treatments and at each follow-up. Any jewelry will be removed from the area being photographed. For facial photographs, hair will be pulled away from the face with a headband and subject will have recently cleansed skin. Photographs will be taken prior to all laser treatments and at each follow-up visit. Facial photographs will be obtained from 3 angles: with the subject facing forward, 45° to the right and 45° to the left. Photographs will be taken in the same windowless room equipped with adequate lighting. The room lighting, camera positioning and subject positioning should be consistent for all study visit photographs. Digital camera settings should remain the same for all photographs and the highest resolution settings should be utilized.

### 4.6 Study Discontinuation

Cutera, Inc. (the sponsor) has the right to terminate this study at any time. Reasons for terminating the study may include, but are not limited to, the following: incidence or severity of adverse events in this or other studies indicates a potential health hazard to subjects; subject enrollment is unsatisfactory; number of protocol deviations is unacceptable; data recording is inaccurate or incomplete; or questionable study site compliance with ICH-E6, Good Clinical Practice.

### 4.7 Investigator Selection

The Investigator will be invited to participate in the study based on his or her medical specialty, experience conducting clinical research studies and experience in the use of light-based devices for aesthetic indications. Access to potential study subjects and the Investigator's sincere interest in this study along with expressed willingness to cooperate with the study process and requirements was also considered.

### 5 Study Population

### 5.1 Study Subject Recruitment and Selection

Up to 50 male or female subjects, ages 20 to 75, with Fitzpatrick Skin Type I-VI who desire laser treatment for skin rejuvenation on the face. Subjects will be recruited to participate from the local population. Subjects may also be recruited from the Investigator's existing patient database or from patients who present themselves to the study site requesting treatment. Only subjects who meet all eligibility criteria and who provide written informed consent will be enrolled into the study.

Each subject will be evaluated by the Investigator to assess his/her suitability for entry into the study according to the following inclusion and exclusion criteria.

### 5.1.1 Inclusion Criteria

To be included in the study, subjects must meet all of the following Inclusion Criteria:

1.	Female or Male, 20 to 75 years of age (inclusive).
2.	Fitzpatrick Skin Type I – VI <b>(Appendix 3).</b>
3.	Desires photo-rejuvenation of the skin or improvement in the appearance of acne scarring.
4.	Subject has visible signs of acne scarring or moderate sun-damaged and/or aging skin in the treatment area with visible areas of fine rhytides, pigmentation, erythema or telangiectasia.

5.	Subject must be able to read, understand and sign the Informed Consent Form.
6.	Must be willing and able to adhere to the treatment and follow-up schedule and post-treatment care instructions.
7.	Willing to have very limited sun exposure and use an approved sunscreen of SPF 50 or higher on the treatment area every day for the duration of the study, including the follow-up period.
8.	Willing to have digital photographs taken of the treatment area and agree to use of photographs for presentation, educational or marketing purposes.
9.	Agree to not undergo any other procedure(s), including injectable agents, for skin rejuvenation during the study and has no intention of having such procedures performed during the course of the study.
10.	Post-menopausal or surgically sterilized, or using a medically acceptable form of birth control at least 3 months prior to enrollment and during the entire course of the study, and no plans to become pregnant.

### 5.1.2 Exclusion Criteria

Subjects will be excluded from the study if they meet any of the following Exclusion Criteria:

1.	Participation in a clinical trial of another drug, or device administered to the target area,
	within 6 months prior to enrollment or during the study.
2.	Any type of prior cosmetic treatment to the target area within 6 months of study
	participation, such as laser or light-based procedures or surgery.
3.	Prior injection of botulinum toxin, collagen, hyaluronic acid filler or other dermal filler
	within 6 months of study participation.
4.	History of malignant tumors in the target area.
5.	Skin abnormalities in the target area, e.g., cuts, scrapes, wounds, scars, large moles.
6.	Pregnant and/or breastfeeding.
7.	Having an infection, dermatitis or a rash in the treatment area.
8.	Significant concurrent illness, such as diabetes mellitus or cardiovascular disease, e.g.,
	uncontrolled hypertension.
9.	Suffering from coagulation disorders or taking prescription anticoagulation medications.
10.	History of keloid scarring, hypertrophic scarring or of abnormal wound healing.
11.	History of immunosuppression/immune deficiency disorders or currently using
	immunosuppressive medications.
12.	History of vitiligo, eczema, or psoriasis.
13.	History of connective tissue disease, such as systemic lupus erythematosus or
	scleroderma.
14.	History of seizure disorders due to light.
15.	Any use of medication that is known to increase sensitivity to light according to
	Investigator's discretion.
16.	History of disease stimulated by heat, such as recurrent herpes simplex and/or herpes
	zoster (shingles) in the treatment area, unless treatment is conducted following a
	prophylactic regimen
17.	History of radiation to the treatment area or undergoing systemic chemotherapy for the
	treatment of cancer.

18.	History of pigmentary disorders, particularly tendency for hyper- or hypo-pigmentation.
19.	Systemic use of retinoid, such as isotretinoin, or corticosteroid, as applicable, within 6
	months of study participation.
20.	Topical use of retinoid, such as isotretinoin, corticosteroid or hydroquinone, as
	applicable, on the treatment area within 1 month of participation.
21.	Anytime in life, having have used gold therapy (gold salts) for disorders such as
	rheumatologic disease or lupus.
22.	Excessively tanned in areas to be treated or unable/unlikely to refrain from tanning during
	the study.
23.	Current smoker or history of smoking within 6 months of study participation.
24.	As per the Investigator's discretion, any physical or mental condition which might make
	it unsafe for the subject to participate in this study.

### 5.2 Subject Numbering

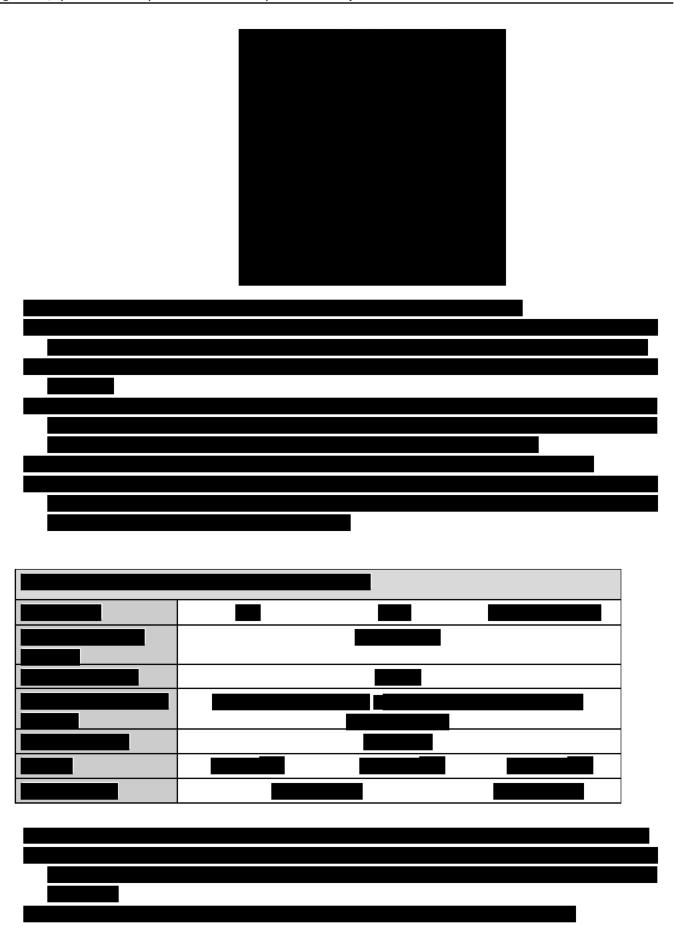
If a subject meets the study eligibility criteria and is willing to participate, the subject will be assigned a study subject identification number. This number is comprised of a sequential subject number and the subject initials (first and last names).

### 5.3 Subject Discontinuation Criteria

If possible, every subject should remain in the study until completion of the required follow-up period. However, participation in this study is completely voluntary and a subject can choose to withdraw from the study at any time. Decision to withdraw will not affect or prejudice the subject's continued medical care in any way. In those instances, the investigator will attempt to obtain a final clinical assessment and an adverse device effect evaluation for the subject prior to this withdrawal. A subject will be considered lost to follow-up only after three unsuccessful, documented attempts to contact the subject have been made.

In addition, a subject can be discontinued for any of the following reasons: the Principal Investigator decides that continuing in the study would not be in the subject's best interest, a subject is noncompliant with the protocol, a subject has a serious reaction to the treatment, a subject develops any of the exclusion criteria during the study period or the study is stopped by the study sponsor.

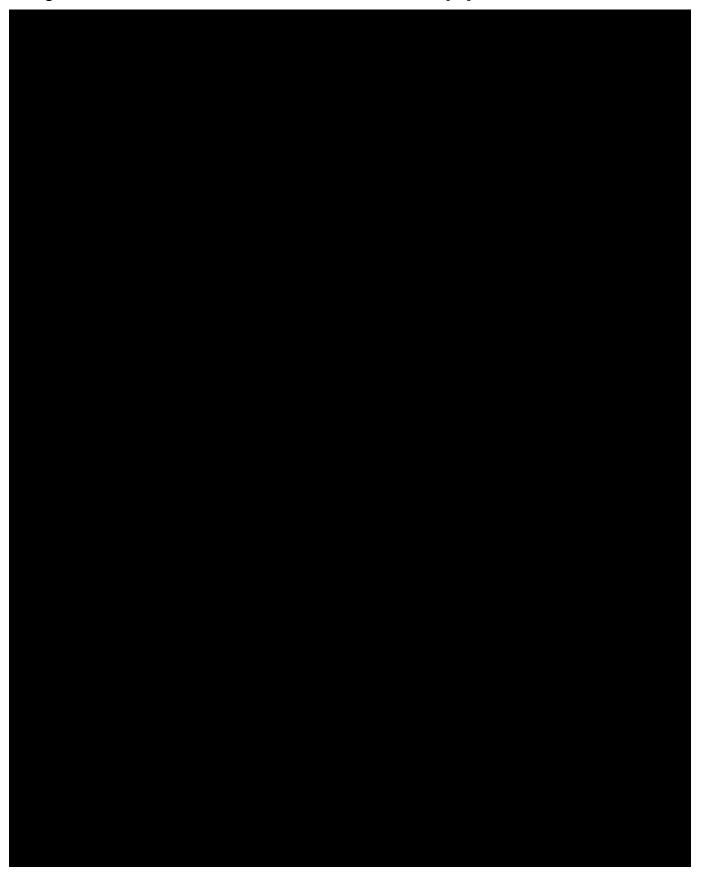
### 6 Study Procedures



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7 <b>AD</b>	OVERSE DEVICE EFFECTS		
7.1. De	efinitions		

# 7.1.2 Serious Adverse Device Effect

Figure 1. Flowchart for classification of adverse device effects [27].



### 7.2 Recording ADEs and SADEs

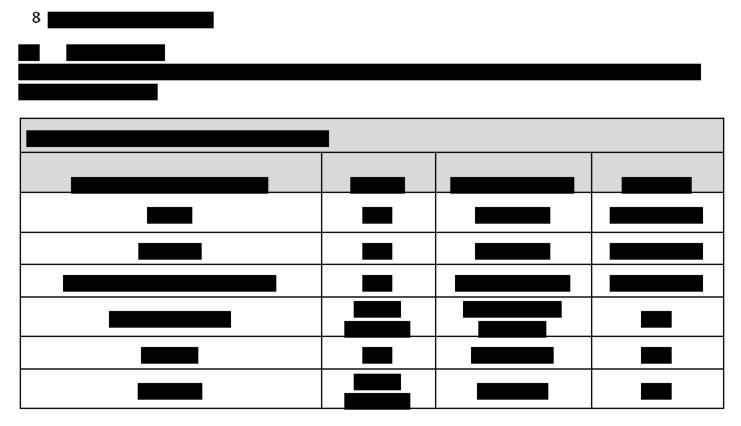
All ADEs/SADEs will be: (1) evaluated and must be recorded in the subject's medical chart and in the study case report forms (CRFs); (2) monitored and tracked from the time of the first treatment with the Cutera Enlighten laser system.

At each contact with the subject, the investigator must seek information on ADEs/SADEs by specific questioning and, as appropriate, by examination. ADEs/SADEs may be observed by the investigator and/or clinical research staff, elicited from the subject and/or family member or volunteered by the subject. All observed and volunteered adverse signs and symptoms, anticipated or unanticipated, regardless of severity or frequency, will be recorded in the case histories (medical chart and CRFs). Included in the description should be the nature of the sign or symptom, the date of onset, date of resolution (duration), the severity, anticipated or unanticipated, the relationship to study treatment or other therapy, the action taken (if any), and the outcome.

All SADEs, anticipated or unanticipated, must be reported to Cutera immediately but not later than 5 working days. The SADE must be recorded in: (1) the AE CRF and (2) a written report must be submitted to Cutera within five (5) working days after the investigator first learns of the event and is to include a full description of the event and sequelae, in the format detailed by the Cutera Serious Adverse Device Effect Form.

### 7.3 Follow-up of Subjects after ADEs and SADEs:

All reported ADEs/SADEs should be followed until resolution or until the subject's participation in the study ends. Resolutions of ADEs/SADEs are to be documented on the appropriate CRFs. All ADEs that result in permanent discontinuation from this clinical trial, whether serious or not, should also be reported on the subject Non-Completion of Study Form.





### 8.2 Potential Benefits

The subjects may or may not benefit from the treatment with the study device. Potential benefit of laser treatment for photo-rejuvenation is improved appearance of treated area. There is no guarantee of success.

### 9 Risk Management

The investigator participating in this study was chosen based on extensive and safe experience with the use of lasers in dermatology applications. This is the most critical element in managing subject risk. In addition, study investigators will be trained on the use of the Cutera Enlighten laser system by a representative of Cutera.

### 10 DATA ANALYSIS PLAN

### 10.1 Sample Size

Up to 50 subjects will be enrolled in this pilot study.

### 10.2 Demographics and Subject Characteristics at Baseline

Subject demographics, medical history, concomitant medications will be tabulated and summarized descriptively.

### 10.3 Statistical Analysis Methods

This is a pilot study to evaluate safety and efficacy of the MLA device, therefore, formal statistical analyses are not planned.

Outcome measures will be assessed around multiple endpoints. These measures will be: degree of improvement as assessed by the Investigator, and safety. Additional assessments may also be performed but are not considered part of the analysis.

The specific assessment tools, collection method and time points are listed herein.

### 10.3.1 Analysis Sets

The efficacy analysis set will include all subjects who received at least one laser treatment session and complete at least one follow-up visit. The safety analysis set will include all subjects enrolled in the study who had at least one laser treatment session.

Missing data will not be imputed for efficacy or safety endpoints.

### 10.3.1.1 Efficacy Analyses

Descriptive statistics such as mean, standard deviation, median and range will be performed for:

- The degree of improvement at 12 weeks post-final treatment as assessed by the Investigator, using the Physician's Global Assessment tool.

### 10.3.1.2 Safety Analyses

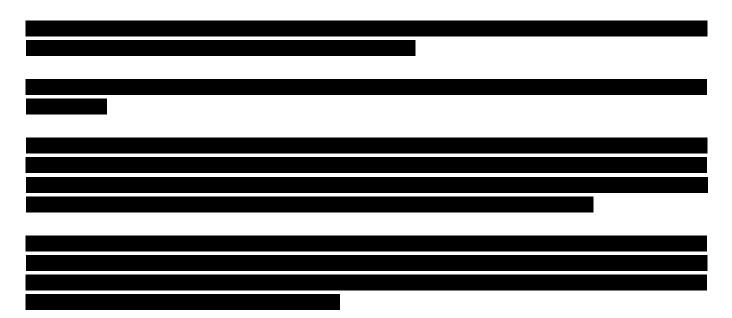
The safety variables for this study are:

- Incidence and severity of adverse effects during study duration (to be displayed descriptively as counts and frequency distributions)
- Subject discomfort (pain) during treatment (to be descriptively displayed).

Enrolled subjects who received at least one treatment will be included in the safety analyses. Device-related and procedure-related adverse effects (AEs) and subjects who prematurely terminate from the study due to an adverse device effect, including the treatment-related pain ratings, as reported on case report forms will be tabulated and analyzed. For a given AE term, counting will be done by subject, not by event, i.e. for a subject reporting the same AE more than once, the event will be counted only once, at the most severe and most-related occurrence. The number and percentage of subjects experiencing each AE Term will be descriptively summarized. Statistical hypothesis testing will not be performed for safety data.

Interim analyses of adverse events and adverse device effect incidence and severity will be performed when all treated subjects have completed the 12 week post-final treatment visit. At the conclusion of the study, complete analyses of the safety variables will be displayed descriptively.

11 SUBJECT PAYMENT  12 STUDY MANAGEMENT AND ADMINISTRATIVE PROCEDURES
12 STUDY MANAGEMENT AND ADMINISTRATIVE PROCEDURES



### 12.3 Protocol Compliance

The principal investigator must comply with all terms of the protocol.

### 12.3.1 Protocol Amendments

Neither the principal investigator nor the sponsor will modify or alter this protocol without first obtaining the concurrence of the other party (with the exception of amendments which involves mitigating a medical emergency or immediate health risk to the subject). The party initiating an amendment must confirm it clearly in writing and it must be signed and dated by the sponsor and the principal investigator. IRB approval must be obtained before implementation of an amendment.

### 12.3.2 Protocol Deviations

All protocol deviations must be clearly described on the case report form (i.e., Cutera Protocol Deviation Form). Deviations from the protocol may include but are not limited to subject's failure to attend scheduled visit during a visit window, use of out of range treatment parameters and incomplete or incorrect study procedures. Any medical emergency or immediate health risk to the subject which results in a protocol deviation and must be reported to the sponsor within 5 working days

Significant protocol deviations must be reported to IRB according to their policies.

### 12.4 Study Personnel

Prior to the start of the study, the investigator must supply the sponsor with a list of the names and curricula vitae that describe the professional backgrounds of the clinically responsible study investigators (principal, sub-investigators), research nurses, and other possible participants (e.g. medical doctor, nurse, etc.).

### 12.5 Disclosure of Financial Interest

Each investigator [principal and sub-investigator(s)] is required to disclose sufficient accurate financial information to the sponsor, to allow sponsor to submit complete and accurate certification or disclosure statements.

## **Data Collection, Record Keeping and Storage** 12.6

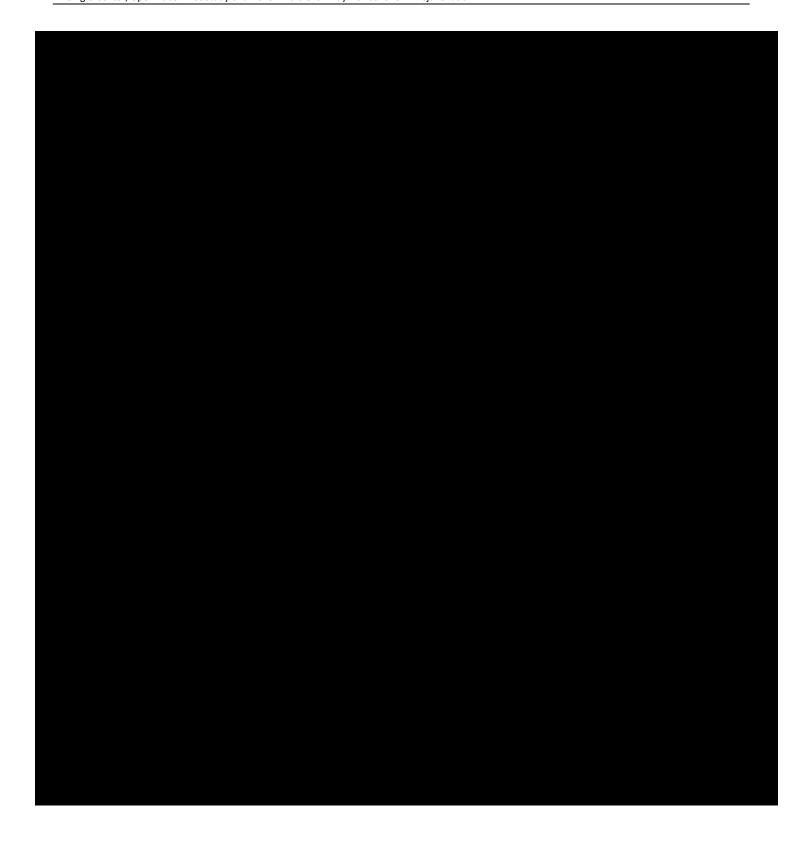
13 Subject Confidentiality
This study preserves the confidentiality of all subjects under the Health Insurance Portability and Accountability Act of 1996 (HIPAA) Privacy Rule. The following safeguards will be in place to protect the privacy of the individuals who are the subjects of the health information to be used in the research and the confidentiality of that information:

### 14 Publication Policy

The investigator shall have the right to publish the results of the study. Unless mutually agreed upon in writing, prior to submission for publication of any manuscript, poster, presentation, abstract or other written or oral material describing the results of the study, the investigator shall allow sponsor to review manuscript, poster presentation, abstract or other written or oral material which describes the results of the study for the purpose only of determining if any patentable information is disclosed. At the sponsor's request, the investigator shall withhold any publication or presentation to permit sponsor to seek patent protection and to remove any confidential information from all publications.

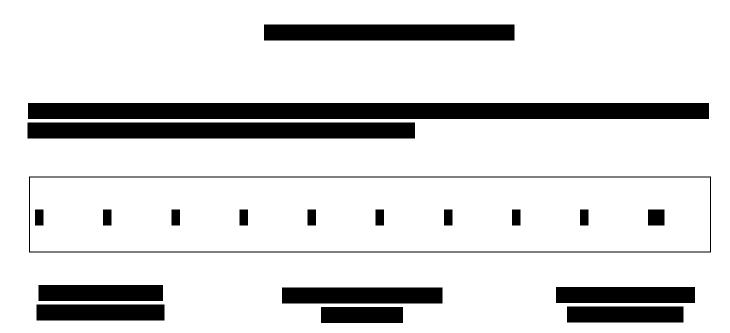
The International Committee of Medical Journal Editors (ICMJE) member journals have adopted a trials registration policy as a condition for publication. This policy requires that all clinical trials be registered in a public trials registry such as ClinicalTrials.gov, which is sponsored by the National Library of Medicine. It

is the responsibility of the sponsor to register this trial in ClinicalTrials.gov. Any clinical trial starting enrollment after September 27, 2007 must be registered either on or before the onset of patient enrollment.









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Mild Acne Scarring (Barely Noticeable)		Moderate Acne Scarring (Noticeable)	Severe Acne Scarring (Very Noticeable)	

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