

CLINICAL STUDY PROTOCOL

Protocol Number: CA-ALT-803-02-14

Protocol Title: A phase 1/2 study of ALT-803 in patients with relapse/refractory indolent B cell non-Hodgkin lymphoma in conjunction with rituximab

Date of Protocol:
Version# 01 September 4, 2014

Sponsor Contact:

Altor BioScience
CORPORATION

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INVESTIGATOR SIGNATURE PAGE

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By my signature below, I hereby attest that I have read, and that I understand and will abide by all the conditions, instructions, and restrictions contained in the attached protocol.

Additionally, I will not initiate this study without approval of the appropriate Institutional Review Board (IRB), and I understand that any changes in the protocol must be approved in writing by the sponsor, the IRB, and, in certain cases the FDA, before they can be implemented, except where necessary to eliminate hazards to subjects.

Principal Investigator's Signature

Date

Principal Investigator's Name (Print)

Table of Contents

SYNOPSIS	6
1. OBJECTIVES.....	13
1.1 PRIMARY OBJECTIVES	13
1.2 SECONDARY OBJECTIVES	13
2. BACKGROUND.....	13
2.1 ALT-803 – GENERAL INFORMATION.....	13
2.2 INDOLENT NON-HODGKIN LYMPHOMA (INHL)	14
2.3 IMMUNE-BASED THERAPIES FOR INHL	15
2.4 PHARMACOLOGICAL EFFECTS OF ALT-803 <i>IN VITRO</i> AND IN ANIMALS	16
2.4.1 Development of ALT-803 (IL-15N72D:IL-15RaSu/IgG1 Fc complex).....	16
2.4.2 In vitro biological activity of ALT-803 including ADCC enhancement.....	16
2.4.3 In vivo biological activity of ALT-803	19
2.4.4 Potent anti-tumor activity of ALT-803 in mouse models in vivo.....	20
2.5 NON-CLINICAL TOXICOLOGY	22
2.5.1 Multi-dose toxicity studies in mice.....	22
2.5.2 Multi-dose toxicity studies in cynomolgus monkeys.....	23
2.6 PHARMACOKINETICS.....	25
2.6.1 Non-clinical pharmacokinetics	25
2.6.2 Clinical pharmacokinetics	25
2.7 RATIONALE FOR HUMAN CLINICAL STARTING DOSE.....	25
2.8 HUMAN EXPERIENCE	26
3. RATIONALE FOR THE CURRENT STUDY	27
4. OVERALL STUDY DESIGN.....	28
5. STUDY POPULATION	30
5.1 INCLUSION CRITERIA.....	30
5.2 EXCLUSION CRITERIA.....	31
5.3 INCLUSION OF WOMEN AND MINORITIES.....	31
6. STUDY DESIGN	32
6.1 SCREENING AND ENROLLMENT	32
6.2 STUDY TREATMENT.....	32
6.2.1 Treatment setting	32
6.2.2 Treatment regimen and study scheme.....	32
6.2.3 Study treatment preparation	33
6.2.4 Study treatment administration.....	33
6.2.5 Pre and post-therapy intervention guidelines.....	34
6.3 DURATION OF PATIENT PARTICIPATION	35
6.4 DOSE ESCALATION PHASE	35
6.5 EXPANSION PHASE	36
6.6 STOPPING RULES	37
6.6.1 During dose escalation phase of the study.....	37
6.6.2 During expansion phase of the study.....	38
6.6.3 At any time during the study	38
6.7 PATIENT MONITORING, RESPONSE EVALUATION, DISEASE PROGRESSION & SURVIVAL FOLLOW-UP	38
6.7.1 Patient monitoring	38
6.7.2 Response evaluation.....	38
6.7.3 Disease progression and survival follow-up.....	39
6.8 DOSE LIMITING TOXICITY	39
6.8.1 Definition of dose limiting toxicity.....	39

6.8.2	Definition of maximum tolerated dose (MTD)	39
6.8.3	Definition of minimal efficacious dose (MED)	40
6.9	STUDY TREATMENT DISCONTINUATION	40
6.9.1	Study treatment discontinuation events	40
6.9.2	Replacement of participants	40
6.9.3	Follow-ups after treatment discontinuation	41
6.9.3.1.	Discontinuation due to SAEs or on-going study drug related AEs	41
6.9.3.2.	Discontinuation due to any other reasons	41
6.10	STUDY TREATMENT INTERRUPTION	41
6.10.1	Kidney dysfunction	41
6.10.2	Hematological dysfunction	41
6.10.3	Hypotension	41
6.10.4	Allergic reactions and cytokine release syndrome/acute infusion reaction	42
6.11	GENERAL SUPPORTIVE CARE GUIDELINES AND DRUG INTERACTION	42
6.11.1	ALT-803	42
6.11.1.1.	Hypotension and capillary leak syndrome	42
6.11.1.2.	Pulmonary dysfunction	43
6.11.1.3.	Impaired kidney and liver functions	43
6.11.1.4.	Infection	43
6.11.1.5.	Fever and chills	43
6.11.1.6.	Gastritis	43
6.11.1.7.	Diarrhea, nausea and vomiting	43
6.11.1.8.	Pruritus and dermatitis	43
6.11.1.9.	Acidosis	43
6.11.1.10.	Life-threatening toxicities	43
6.11.1.11.	Other supportive care	43
6.11.1.12.	Drug interaction	44
6.11.2	Rituximab	45
7.	STUDY DRUG: AVAILABILITY, ACCOUNTABILITY, PACKAGING & LABELING	45
7.1	ALT-803	45
7.1.1	Availability	45
7.1.2	Accountability	45
7.1.3	Packaging	45
7.1.4	Labeling	45
7.2	RITUXIMAB	45
8.	STUDY CALENDAR, CLINICAL PROCEDURES & TESTS	46
8.1	STUDY CALENDAR	46
8.2	PROCEDURE AND TESTS	47
8.2.1	Assays for immune cell number, phenotype, and function	47
8.2.2	Medical history & prior therapy	47
8.2.3	Pregnancy test	47
8.2.4	Physical examination, PS assessment, B symptom assessment	47
8.2.5	Vital signs, body weight & height	47
8.2.6	Cardiac assessment	47
8.2.7	Pulmonary function monitoring	48
8.2.8	Clinical blood tests	48
8.2.9	Disease assessment tests and procedures	48
8.2.10	Adverse event assessment	48
8.2.11	Response assessment	48
8.2.12	Disease progression and survival follow-up	48
8.2.13	Pharmacokinetic (PK) testing	49
8.2.14	Biomarker assays for IL-2, IL-4, IL-6, IL-10, IFN- γ and TNF- α	49
8.2.15	Immunogenicity tests - detection of anti-ALT-803 antibodies	49
8.2.16	Fc receptor polymorphism testing	49

8.2.17	<i>Evaluation of recurrent lymphoma mutations</i>	50
9.	MEASUREMENT OF EFFECT	51
9.1	MEASURABLE DISEASE.....	51
9.2	METHODOLOGY OF RESPONSE EVALUATION	51
9.3	RESPONSE EVALUATION CRITERIA	51
9.4	DISEASE PROGRESSION EVALUATION CRITERIA.....	51
10.	STATISTICAL ANALYSIS	51
10.1	SAMPLE SIZE.....	51
10.2	DATA COLLECTION.....	53
10.3	DATA ANALYSIS	53
10.3.1	<i>Analysis of safety</i>	53
10.3.2	<i>Analysis of response</i>	53
10.3.3	<i>Pharmacokinetics</i>	53
11.	REGULATORY AND REPORTING REQUIREMENTS	55
11.1	ADVERSE EVENTS RECORDING, REPORTING AND COMMUNICATION.....	55
11.2	ADVERSE EVENT TERMINOLOGY AND DEFINITIONS	55
11.3	ADVERSE EVENT REPORTING PROCEDURES	56
11.4	ADVERSE EVENT EXPEDITED REPORTING GUIDELINES.....	57
11.5	SUBMISSION OF SERIOUS ADVERSE EVENT REPORTING.....	57
11.6	DATA REPORTING FORMS	57
11.7	REPORT /DATA SUBMISSION ADDRESS & CONTACT.....	58
11.8	PATIENT RECORDS, QUALITY ASSURANCE, RECORDS RETENTION	58
11.9	METHOD OF REVIEW	58
11.10	SPECIAL REGULATORY CONSIDERATIONS.....	59
11.10.1	<i>HIPAA</i>	59
11.10.2	<i>Protocol amendments, informed consent, and IRB approval</i>	59
12.	CONFIDENTIALITY	59
13.	ETHICAL STANDARDS & INVESTIGATOR OBLIGATIONS	59
14.	LIST OF EXPECTED ADVERSE EVENTS	60
15.	CTCAE	62
16.	REFERENCES	63
17.	APPENDIX A: ECOG	67
18.	APPENDIX B: NEW YORK HEART ASSOCIATION CLASSIFICATION	67
19.	APPENDIX C: ETHICAL STANDARDS	68
20.	APPENDIX D: INVESTIGATOR OBLIGATIONS	69
21.	APPENDIX E: CONTACT LIST - ALTOR	73
22.	APPENDIX F: CONTACT LIST – DATA SAFETY MONITORING BOARD (DSMB)	74
23.	APPENDIX G: CONTACT LIST - LABORATORIES	74

SYNOPSIS

Sponsor: Altor Bioscience Corporation

Protocol#: CA-ALT-803-02-14

Study Drug Name: ALT-803

Study Treatment

Active agents: ALT-803, a “recombinant human super agonist interleukin-15 (IL-15) complex” (AKA, IL-15N72D:IL-15R α Su/IgG1 Fc complex)

Study Type: Interventional

Study Phase: 1/2

Protocol Title: A phase 1/2 study of ALT-803 in patients with relapse/refractory indolent B cell non-Hodgkin lymphoma in conjunction with rituximab

Objectives: To evaluate the safety and tolerability of escalating doses, identify the Maximum Tolerated Dose level (MTD) or Minimum Efficacious Dose (MED) and designate a dose level for Phase 2 study (RP2D) of ALT-803 in combination with standard-of-care rituximab therapy in patients with relapsed or refractory (rel/ref) indolent B cell non-Hodgkin lymphoma (iNHL).

To estimate the anti-tumor activity of ALT-803 as measured by response rate, overall survival, progression free survival, time to response, duration of response, time to treatment failure, and time to subsequent treatment in patients with rel/ref iNHL.

To evaluate the effect of ALT-803 on the peripheral absolute lymphocyte counts (ALC) and white blood cell (WBC) counts, the number and phenotype of peripheral blood T (total and subsets) and NK cells.

To characterize the immunogenicity and pharmacokinetic profile, including induced serum levels of IL-2, IL-4, IL-6, IL-10, IFN- γ and TNF- α , of ALT-803 in rel/ref iNHL patients.

To correlate clinical outcomes with *fcgr3a* polymorphisms and recurrent genomic mutations in rel/ref iNHL patients.

Study Design: This is a Phase 1/2, open-label, multi-center, competitive enrollment and dose-escalation study of ALT-803 in patients with rel/ref iNHL in conjunction with rituximab.

The study includes a dose escalation phase to determine the MTD or MED using a 3+3 dose escalation design and to designate a dose level for the Phase 2 expansion phase (RP2D) of ALT-803 and a two-stage expansion phase using a Simon two-stage design at the ALT-803 RP2D level in combination with rituximab. In Phase 1, three dose levels will be evaluated. A step-down dose level (level -1) will be provided in the event of encountering DLT in two patients at the planned initial dose level.

The study will be conducted in conformity with Good Clinical Practice (GCP).

Treatments:

The study treatment plan for each enrolled patient includes one 4-week induction treatment cycle. During induction, patients will receive up to four weekly doses of ALT-803 and rituximab (375 mg/m²) by intravenous injection. For the first dose of treatment, patients will receive rituximab on day 1 followed by ALT-803 on day 2 in order to avoid simultaneous infusion of both agents and reduce the potential of infusion-related adverse events. Eligible patients will receive the consolidation treatment. Consolidation consists of treatment with ALT-803 at the same dose level used in the induction plus rituximab (375 mg/m²) every 8 weeks (1 cycle = 8 weeks), for a total of 4 consolidation cycles.

Treated patients will have at least two response evaluation visits. Patients who receive at least two study drug doses during the induction treatment period will be evaluated for disease response during week 11. Patients who have at least stable disease from the first anti-tumor evaluation and who do not experience or have sufficiently recovered from toxicities of the induction treatment cycle and who meet other criteria to continue study treatment will receive up to four consolidation treatment cycles, with a single treatment of ALT-803 plus rituximab, repeated every 8 weeks for a total of 4 additional ALT-803 plus rituximab doses. The ALT-803 dose level utilized in the induction cycle will be continued in consolidation, with reassessment for continued tumor response performed upon completion at week 40.

The study treatment and response evaluation schema:

Treatment Phase	Induction				REST	Response Evaluation	Consolidation				Response Evaluation
Treatment Week	1	2	3	4	5-10	11	12	20	28	36	40**
Treatment Day	1, 2*	8	15	22	29-70	71-77	78	134	190	246	274-280
ALT-803	1	2	3	4	Rest		5	6	7	8	
rituximab	1	2	3	4			5	6	7	8	
Consolidation Cycle							1	2	3	4	
Response Evaluation						X					X

*For the first week, rituximab is administered on day 1, ALT-803 on day 2

**Long term follow-up after 40 weeks includes restaging every 6 months for 2 years, and then every 12 months for 5 years (until progression).

Patients will be assessed for response using the 2007 IHP criteria.¹ Patients will be followed for progression, and at the time of progression there are no restrictions on further therapies.

Enrolled patients will receive the study treatment at qualified cancer treatment centers with adequate diagnostic and treatment facilities to provide appropriate management of therapy and complications. ALT-803 will be administered by intravenous infusion into a central or peripheral vein under the supervision of a qualified physician experienced in the use of biologic anti-cancer agents. Rituximab will be administered as described in the product package insert provided by the manufacturer.

Dose Escalation Phase:

A 3 + 3 design will be used for identifying a tolerable dose of ALT-803 for Phase 2 studies by monitoring patients for DLTs to determine the MTD and for

identifying an efficacious dose by monitoring patients' ALC and WBC count to determine the MED during the DLT observation period. The dose escalation phase is concluded when either the MTD or the MED is determined. An ALT-803 dose level (RP2D) will then be designated for Phase 2 study. There are three escalating dose levels of ALT-803 and a step-down cohort (-1) with a lower dose level of ALT-803 in the event that unexpected toxicity is encountered at the initial dose level.

Below are the planned dose levels of the study drug during the dose escalation phase of the study.

Cohort	ALT-803 Dose (µg/kg)	Number of patients
-1	0.5	3 to 6
1 (initial)	1	3 to 6
2	3	3 to 6
3	6	3 to 6

Dose limiting toxicity (DLT) is defined as follows: any toxicity that is not clearly unrelated to drug administration that is of Grade 3 and does not resolve to Grade 1 or lower within a week despite the use of medical intervention or that is of Grade 4, with exceptions described in the study protocol.

The DLT Observation Period is defined as the duration of the induction treatment, days 1-28.

Maximum Tolerated Dose level (MTD) is defined as a dose level at which <2 out of 6 patients experienced DLT and that is one level below a dose that was not tolerated or the maximum planned dose level if designated by the study committee.

Minimal Efficacious Dose (MED) is defined as a dose level which produces an ALC $\geq 25,000/\mu\text{L}$ sustained for 14 days or a total WBC $\geq 35,000/\mu\text{L}$ sustained for 14 days among 2/3 or 4/6 of patients. For safety, a dose level is also defined as "exceeding MED" with the occurrence of ALC $\geq 50,000/\mu\text{L}$ or WBC $\geq 60,000/\mu\text{L}$ sustained for 14 days. If patients have circulating malignant lymphocytes in the peripheral blood, these lymphoma cells will be excluded from the WBC and ALC calculations for MED.

Expansion Phase

Two expansion arms will be used to investigate indolent NHL patients with different expectations regarding response to single agent rituximab: rituximab-refractory (RR) and rituximab-sensitive (RS). For each arm, a two-stage expansion phase at the MTD or the MED level will be conducted using an optimal Simon's two-stage design. The best objective overall response rate (ORR) is defined as complete response (CR) + partial response (PR) assessed at the week 11 or 40 response assessment, or during the 2 year follow-up period. For RR patients, a lack of efficacy for ORR of 5% will be used, with an ORR $\geq 25\%$ constituting a clinically interesting result. For RS patients, a lack of efficacy for ORR of 40%

will be used, with a clinically interesting ORR \geq 60%. Each expansion arm will be analyzed independently for preliminary efficacy.

Stopping Rules:

Patient enrollment will be temporarily suspended based on occurrence of any of the following events, and the study committee, including the sponsor, the Data Safety Monitoring Board and principal investigators will meet to discuss how to proceed with future patient enrollment in the study.

During the dose escalation phase of the study,

- If the maximum planned dose level has been reached, but neither the MTD nor MED can be determined.
- If de-escalation occurs and the step-down dose level cannot be designated as the MTD or MED.

Any time during the expansion phase of the study,

- More than 33% of patients experience a possible, probable or definite study drug related DLT.
- Favorable anti-tumor response data collected from enrolled patients.

At any time during the study,

the study committee may meet to discuss how to proceed with the study and may make any or all of the following recommendations for further patient enrollment:

- Downward adjust the study drug dose.
- Adjust the study drug dosing schedule.
- Recommend more effective pre-therapy, intra-therapy and post-therapy side effect mitigation interventions.
- Correct protocol technical errors that caused unnecessary dose omissions or premature treatment discontinuations. After correction of protocol errors, the DSMB may meet to re-evaluate the safety profile of the study treatment and recommend how to proceed with the study, if necessary.

Evaluations:

Patients will be evaluated for clinical toxicities during the treatment. The disease response will be evaluated at weeks 11 and 40 from the start of study treatment, and every 6 months for 2 years thereafter. After this two year period the institutional standards for disease assessment will be followed, with at least annual disease assessments, for up to 5 years. Prior to and during the treatment period, patients' blood and serum samples will be collected to assess the pharmacokinetic profile and immunogenicity of the study drug, as well as for immunomodulation, and *fcgr3a* polymorphisms. Disease containing biopsies will be used for recurrent lymphoma gene mutation analysis. All patients who receive at least 2 doses of the study drug ALT-803 will be included in the anti-tumor response evaluation.

Population:

Patients of 18 years of age and above with relapsed or refractory CD20⁺ indolent NHL (follicular lymphoma (FL), marginal zone lymphoma (MZL), small lymphocytic lymphoma (SLL), and lymphoplasmacytic lymphoma (LPL)). Rituximab-refractory (RR) patients are defined as those that progress on rituximab

therapy or within 6 months of their last dose of rituximab. For RR patients, a biopsy to confirm CD20 expression is required. Patients also need to have adequate cardiac, pulmonary, liver and kidney functions and have an Eastern Cooperative Oncology Group (ECOG) performance status of 0, 1 or 2.

Sample Size: A total of up to 18 assessable patients will be accrued to the dose escalation phase of the study (Phase 1). Anticipated enrollment to this phase is 12 patients. For the RS patient arm, a total of 16 patients will be enrolled at the MTD/MED dose in the first stage, and 30 patients in the second stage of a 2-stage Phase 2 cohort (total for RS expansion cohort 46). For the RR, a total of 9 patients will be enrolled in the first stage, and an additional 8 patients in the second stage of a 2 stage Phase 2 study (total for RR expansion cohort 17). Thus, enrollment of evaluable patients on the Phase 1 portion, and the first stage of both expansion cohorts (including 6 patients of the MTD/MED cohort) is expected to be 31 patients, with the maximum number of 43 patients. Assuming a 5% frequency of non-evaluable patients, the phase 1 and the first stage of both expansion cohorts is estimated at 33 patients.

**Primary
Endpoints**

For Phase 1 only (1) Determination of the MTD or MED of ALT-803 and designation of the recommended dose level (RP2D) for Phase 2 study of ALT-803 in conjunction with rituximab in patients with rel/ref iNHL.

For Phase 1 & 2 (2) Safety profile of ALT-803 plus rituximab in treated patients.
(3) Overall response rate (CR+PR) of treated patients.

**Secondary
Endpoints**

- (1) Evaluate overall survival, progression free survival, time to response, duration of response, time to treatment failure, and time to subsequent treatment.
- (2) Evaluation of the effect of ALT-803 on the peripheral ALC and WBC counts, the number and phenotype of peripheral blood NK cells and T (total and subsets), and NK cell function.
- (3) Characterization of the immunogenicity and pharmacokinetic profile, including serum levels of IL-2, IL-4, IL-6, IL-10, IFN- γ and TNF- α , of ALT-803 in treated patients.
- (4) Correlation of *fcgr3a* polymorphism status and recurrent lymphoma mutations with clinical outcomes of the study.

**Pharmacokinetics
& Biomarkers:**

Fresh blood samples will be collected to assess immune cell number, phenotype and function. Serum samples will be collected for pharmacokinetics (PK) and immunogenicity of the study drug ALT-803. The same serum samples collected for PK analysis will be used to assess the serum levels of IL-2, IL-4, IL-6, IL-10, IFN- γ and TNF- α . Non-compartmental and compartmental analyses will be conducted. Baseline peripheral blood will be used for *fcgr3a* polymorphism

testing, and a baseline tumor sample will be used for lymphoma mutation analysis using next-generation sequencing.

Monitoring Tests: Blood samples for standard chemistry and CBC with differential will be obtained at screening, on each study treatment infusion day, and at response evaluation visits. Blood samples for immunogenicity testing of anti-ALT-803 antibodies will be collected prior to dosing on the first and fourth ALT-803 infusion visit, and at the response evaluation visit during week 11.

Response

Assessment: There are at least two response assessments for treated patients: the first assessment during week 11 (following induction) and the second assessment during week 40 (following consolidation) from the start of study treatment. After completion of the induction cycle of study treatment, patients who have received at least 2 doses of ALT-803 will have the first response assessment. After completion of four additional consolidation study treatments patients will have a second response assessment. If patients are unable to continue study therapy for all 4 consolidation cycles due to an adverse event, disease assessments will be performed at the time of going off study. In non-progressing patients, after completion of consolidation, disease assessments will be performed every 6 months for 2 years, and then per institutional guidelines, at least annually, for up to 5 years. If a focused physical examination or patient symptoms raise the concern for progression, a complete response assessment should be performed at that time. Response assessments will be carried out according to the 2007 IHP criteria for response assessment of lymphoma.¹ Baseline evaluations (except for baseline imaging and bone marrow biopsy) should be performed up to 14 days before study treatment start.

Progression & Survival

Assessment: Progression-free survival, overall survival, and duration of response of all treated patients will be assessed at least every three months during years 1 and 2, every 4 months during year 3, and then every 6 months (+/- 2 months) during years 4 and 5 from the start of study treatment, or through the point designated as the end of the study follow up (5 years).

Adverse Events: All patients will be monitored and evaluated for clinical toxicities during the treatment period and queried at each follow-up visit for Adverse Events (AEs). Patients may volunteer information concerning AEs. All adverse events will be graded by using the NCI Common Terminology Criteria for Adverse Events version 4.0 (CTCAE v4.0), and logged in the patient Case Report Form. The study centers should report all Serious Adverse Events (SAEs) and all events that trigger patient's study treatment discontinuation to the sponsor via phone, fax or email (or a combination) no more than 24 hours after learning of the event. The sponsor will use the information to manage and coordinate the dose escalation, cohort expansion and patient enrollment. The sponsor will then inform all of the participating clinical sites of the current dose level and the number of patients to be enrolled at that level, or of any patient enrollment suspension via phone, fax or email within 24 hours of learning of the event. The study centers should report all

other adverse events to the sponsor following the guidelines defined in the study protocol. All study drug related AEs that are both serious and unexpected will be reported to the FDA in an expedited manner in accordance with 21 CFR §312.32.

Statistical Plan: For each cohort, all AEs will be tabulated and examined and all safety, pharmacokinetic, biomarker and tumor response data will be evaluated. For estimation of duration of response and progression free survival, the Kaplan-Meier method will be used. *P*-values of ≤ 0.05 (two-sided) will be considered to indicate statistical significance.

8. STUDY CALENDAR, CLINICAL PROCEDURES & TESTS

8.1 Study calendar

TESTS & PROCEDURES	SCREEN/ BASELINE ¹	INDUCTION										REST	RESPONSE EVALUATION	CONSOLIDATION				RESPONSE EVALUATION	DISEASE ASSESSMENT & FOLLOW-UPS													
Study Month		1										2-3	3	3-9				10	12	15	18	21	24	28	32	36	42	48	54	60		
Study Week		1					2	3	4			5-10	11	12	20	28	36	40														
Study Day		1	2	3	5	8	15	22	23	25	29-70	71-77	78	134	190	246	274-280															
Tolerance Window		+/- 2 days										Any day	Any day	+/- 7 days				Any day	+/- 2 weeks													
Medical history	X										R E S P O N S E A S S E S S M E N T																					
Serum pregnancy test ²	X																															
Complete physical exam (PE)	X																															
Focused PE, ECOG PS, B symptom assessment		X											X	X	X	X																
Vital signs, Weight, Height ³ , Cardiac & Lung function monitoring	X	X	X			X	X	X				X	X	X	X	X	X															
Concurrent medication	X	X	X			X	X	X				X	X	X	X	X	X															
Adverse event assessment ⁴	X	X	X			X	X	X				X	X	X	X	X	X															
CBC with Differential ⁵	X	X	X			X	X	X				X	X	X	X	X	X															
Blood Chemistry with LDH ⁵	X	X	X			X	X	X				X	X	X	X	X	X															
EKG	X																															
PFT only when clinically indicated	X																															
Response assessment ⁶												E R I C O N D I T I O N	X					X	X		X			X		X		X				
Contrast CT of NCAP or PET-CT	X												X						X			X		X		X						
Bone marrow biopsy ⁷	X												X																			
Focused PE, ECOG PS, B symptom & AE	X ¹⁷												X						X		X		X		X		X					
Disease and survival follow-up/post therapies ⁸													X					X	X	X	X	X	X	X	X	X ¹⁶	X ¹⁶	X ¹⁶	X ¹⁶			
Immune cell number, phenotype & function ^{9,14}	X		X ¹⁰	X	X	X ¹⁰		X ¹⁰	X	X	O D		X ¹¹																			
Polymorphism (SNP) testing ¹⁴			X ¹⁰																													
PK, IL-2, IL-4, IL-6, IL-10, IFN-γ, TNF-α ^{12,14}			X ¹²	X																												
Immunogenicity tests ^{13, 14}			X ¹³						X ¹⁰			X																				
Recurrent mutation evaluation ¹⁵	X																															
Rituximab		r1				r2	r3	r4					r5	r6	r7	r8																
Study drug (ALT-803)		a1				a2	a3	a4					a5	a6	a7	a8																

¹Screening/baseline evaluations are performed ≤ 14 days prior to start of therapy; baseline CTs or PET-CT are performed ≤ 28 days and baseline bone marrow biopsy performed ≤ 42 days prior to start of therapy. If the patient's condition is deteriorating, ECOG status and laboratory evaluations should be repeated within 48 hours prior to initiation of study treatment infusion. ²Pregnancy test is for women with childbearing potential only. ³Vital signs (especially blood pressure), clinical status and laboratory tests should be reviewed before start of therapy. Vital signs will be evaluated at 15, 30, 60 and 120 min then hourly post infusion until discharge or at completion of dose monitoring. Body weight will be collected before infusion on each drug infusion day for all patients. Height only collected at baseline. ⁴Patients who have an on-going study drug-related SAE upon study completion or at discontinuation of study will be contacted by the investigator or his/her designee every week until the event is resolved or determined to be irreversible. ⁵Safety labs can be drawn within 48 hours of scheduled dose. ⁶Disease response and progression assessment will be evaluated using the 2007 IHP criteria for assessment of lymphoma. ⁷Only performed to confirm a CR if disease present at baseline. Once confirmed, only repeat if relapse suspected. ⁸Information about tumor assessment & other therapies received after completion of study treatment will be collected if available. ⁹Fresh blood samples (3 tubes per time point) for immune cell number, phenotype & function testing will be collected. ¹⁰Collect before dosing. ¹¹Collect before dosing and 24 hours post-infusion. ¹²Collect blood samples at Time 0 (before drug infusion), at 30 min (+/- 5 min), 2 hour (+/- 15 min), 6 hour (+/- 60 min) or before discharge on dosing day, 24 hour (+/- 6 hour) from Time 0. IL-2, IL-4, IL-6, IL-10, IFN- γ and TNF- α assays are performed using the same samples and at the same schedule as PK. ¹³Use the sample collected before dosing for PK test. ¹⁴Residual samples may be used by Sponsor for research studies of other biomarkers. All attempts will be made to collect research samples but missed samples will not be considered a protocol deviation. ¹⁵Fresh/frozen or FFPE tissue block (or substitute) preferably from biopsy immediately prior to treatment start. If the patient has an elevated baseline ALC and concern for peripheral blood involvement with circulating lymphoma cells, an oral rinse will be performed to obtain an additional non-tumor cellular sample. ¹⁶+/- 2 months. ¹⁷Complete PE required at screening, not focused PE.

CLINICAL STUDY PROTOCOL

Protocol Number: CA-ALT-803-02-14

Protocol Title: A phase 1/2 study of ALT-803 in patients with relapse/refractory indolent B cell non-Hodgkin lymphoma in conjunction with rituximab

Date of Protocol:

Version# 01

September 4, 2014

Version# 02

March 18, 2015

Sponsor Contact:

Altor BioScience
CORPORATION

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Altor Bioscience Corporation.

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INVESTIGATOR SIGNATURE PAGE

Protocol Number: CA-ALT-803-02-14

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By my signature below, I hereby attest that I have read, and that I understand and will abide by all the conditions, instructions, and restrictions contained in the attached protocol.

Additionally, I will not initiate this study without approval of the appropriate Institutional Review Board (IRB), and I understand that any changes in the protocol must be approved in writing by the sponsor, the IRB, and, in certain cases the FDA, before they can be implemented, except where necessary to eliminate hazards to subjects.

Principal Investigator's Signature

Date

Principal Investigator's Name (Print)

Table of Contents

SYNOPSIS	6
1. OBJECTIVES	13
1.1 PRIMARY OBJECTIVES	13
1.2 SECONDARY OBJECTIVES	13
2. BACKGROUND	13
2.1 ALT-803 – GENERAL INFORMATION.....	13
2.2 INDOLENT NON-HODGKIN LYMPHOMA (INHL)	14
2.3 IMMUNE-BASED THERAPIES FOR INHL	15
2.4 PHARMACOLOGICAL EFFECTS OF ALT-803 <i>IN VITRO</i> AND IN ANIMALS	16
2.4.1 Development of ALT-803 (IL-15N72D:IL-15RaSu/IgG1 Fc complex).....	16
2.4.2 In vitro biological activity of ALT-803 including ADCC enhancement	16
2.4.3 In vivo biological activity of ALT-803	19
2.4.4 Potent anti-tumor activity of ALT-803 in mouse models in vivo	20
2.5 NON-CLINICAL TOXICOLOGY	22
2.5.1 Multi-dose toxicity studies in mice	22
2.5.2 Multi-dose toxicity studies in cynomolgus monkeys.....	23
2.6 PHARMACOKINETICS.....	25
2.6.1 Non-clinical pharmacokinetics	25
2.6.2 Clinical pharmacokinetics	25
2.7 RATIONALE FOR HUMAN CLINICAL STARTING DOSE.....	25
2.8 HUMAN EXPERIENCE	26
3. RATIONALE FOR THE CURRENT STUDY	27
4. OVERALL STUDY DESIGN	28
5. STUDY POPULATION	30
5.1 INCLUSION CRITERIA	30
5.2 EXCLUSION CRITERIA	31
5.3 INCLUSION OF WOMEN AND MINORITIES	31
6. STUDY DESIGN	32
6.1 SCREENING AND ENROLLMENT	32
6.2 STUDY TREATMENT.....	32
6.2.1 Treatment setting	32
6.2.2 Treatment regimen and study scheme	32
6.2.3 Study treatment preparation	33
6.2.4 Study treatment administration	33
6.2.5 Pre and post-therapy intervention guidelines	34
6.3 DURATION OF PATIENT PARTICIPATION	35
6.4 DOSE ESCALATION PHASE	35
6.5 EXPANSION PHASE	36
6.6 STOPPING RULES	37
6.6.1 During dose escalation phase of the study.....	37
6.6.2 During expansion phase of the study	38
6.6.3 At any time during the study	38
6.7 PATIENT MONITORING, RESPONSE EVALUATION, DISEASE PROGRESSION & SURVIVAL FOLLOW-UP	38
6.7.1 Patient monitoring	38
6.7.2 Response evaluation.....	38
6.7.3 Disease progression and survival follow-up.....	39
6.8 DOSE LIMITING TOXICITY	39
6.8.1 Definition of dose limiting toxicity.....	39

6.8.2	Definition of maximum tolerated dose (MTD)	39
6.8.3	Definition of minimal efficacious dose (MED)	40
6.9	STUDY TREATMENT DISCONTINUATION	40
6.9.1	Study treatment discontinuation events	40
6.9.2	Replacement of participants	40
6.9.3	Follow-ups after treatment discontinuation	41
6.9.3.1.	Discontinuation due to SAEs or on-going study drug related AEs	41
6.9.3.2.	Discontinuation due to any other reasons	41
6.10	STUDY TREATMENT INTERRUPTION	41
6.10.1	Kidney dysfunction	41
6.10.2	Hematological dysfunction	41
6.10.3	Hypotension	41
6.10.4	Allergic reactions and cytokine release syndrome/acute infusion reaction	42
6.11	GENERAL SUPPORTIVE CARE GUIDELINES AND DRUG INTERACTION	42
6.11.1	ALT-803	42
6.11.1.1.	Hypotension and capillary leak syndrome	42
6.11.1.2.	Pulmonary dysfunction	43
6.11.1.3.	Impaired kidney and liver functions	43
6.11.1.4.	Infection	43
6.11.1.5.	Fever and chills	43
6.11.1.6.	Gastritis	43
6.11.1.7.	Diarrhea, nausea and vomiting	43
6.11.1.8.	Pruritus and dermatitis	43
6.11.1.9.	Acidosis	43
6.11.1.10.	Life-threatening toxicities	43
6.11.1.11.	Other supportive care	43
6.11.1.12.	Drug interaction	44
6.11.2	Rituximab	45
7.	STUDY DRUG: AVAILABILITY, ACCOUNTABILITY, PACKAGING & LABELING	45
7.1	ALT-803	45
7.1.1	Availability	45
7.1.2	Accountability	45
7.1.3	Packaging	45
7.1.4	Labeling	45
7.2	RITUXIMAB	45
8.	STUDY CALENDAR, CLINICAL PROCEDURES & TESTS	46
8.1	STUDY CALENDAR	46
8.2	PROCEDURE AND TESTS	47
8.2.1	Assays for immune cell number, phenotype, and function	47
8.2.2	Medical history & prior therapy	47
8.2.3	Pregnancy test	47
8.2.4	Physical examination, PS assessment, B symptom assessment	47
8.2.5	Vital signs, body weight & height	47
8.2.6	Cardiac assessment	47
8.2.7	Pulmonary function monitoring	48
8.2.8	Clinical blood tests	48
8.2.9	Disease assessment tests and procedures	48
8.2.10	Adverse event assessment	48
8.2.11	Response assessment	48
8.2.12	Disease progression and survival follow-up	48
8.2.13	Pharmacokinetic (PK) testing	49
8.2.14	Biomarker assays for IL-2, IL-4, IL-6, IL-10, IFN- γ and TNF- α	49
8.2.15	Immunogenicity tests - detection of anti-ALT-803 antibodies	49
8.2.16	Fc receptor polymorphism testing	49

8.2.17	Evaluation of recurrent lymphoma mutations.....	50
9.	MEASUREMENT OF EFFECT	51
9.1	MEASURABLE DISEASE.....	51
9.2	METHODOLOGY OF RESPONSE EVALUATION	51
9.3	RESPONSE EVALUATION CRITERIA	51
9.4	DISEASE PROGRESSION EVALUATION CRITERIA.....	51
10.	STATISTICAL ANALYSIS	51
10.1	SAMPLE SIZE.....	51
10.2	DATA COLLECTION.....	53
10.3	DATA ANALYSIS	53
10.3.1	Analysis of safety.....	53
10.3.2	Analysis of response.....	53
10.3.3	Pharmacokinetics.....	53
11.	REGULATORY AND REPORTING REQUIREMENTS.....	55
11.1	ADVERSE EVENTS RECORDING, REPORTING AND COMMUNICATION.....	55
11.2	ADVERSE EVENT TERMINOLOGY AND DEFINITIONS	55
11.3	ADVERSE EVENT REPORTING PROCEDURES	56
11.4	ADVERSE EVENT EXPEDITED REPORTING GUIDELINES.....	57
11.5	SUBMISSION OF SERIOUS ADVERSE EVENT REPORTING.....	57
11.6	DATA REPORTING FORMS	57
11.7	REPORT /DATA SUBMISSION ADDRESS & CONTACT.....	58
11.8	PATIENT RECORDS, QUALITY ASSURANCE, RECORDS RETENTION	58
11.9	METHOD OF REVIEW	58
11.10	SPECIAL REGULATORY CONSIDERATIONS.....	59
11.10.1	HIPAA	59
11.10.2	Protocol amendments, informed consent, and IRB approval.....	59
12.	CONFIDENTIALITY	59
13.	ETHICAL STANDARDS & INVESTIGATOR OBLIGATIONS	59
14.	LIST OF EXPECTED ADVERSE EVENTS.....	60
15.	CTCAE	62
16.	REFERENCES	63
17.	APPENDIX A: ECOG	67
18.	APPENDIX B: NEW YORK HEART ASSOCIATION CLASSIFICATION	67
19.	APPENDIX C: ETHICAL STANDARDS	68
20.	APPENDIX D: INVESTIGATOR OBLIGATIONS.....	69
21.	APPENDIX E: CONTACT LIST - ALTOR.....	73
22.	APPENDIX F: CONTACT LIST – DATA SAFETY MONITORING BOARD (DSMB).....	74
23.	APPENDIX G: CONTACT LIST - LABORATORIES	74

SYNOPSIS

Sponsor: Altor Bioscience Corporation

Protocol#: CA-ALT-803-02-14

Study Drug Name: ALT-803

Study Treatment

Active agents: ALT-803, a “recombinant human super agonist interleukin-15 (IL-15) complex” (AKA, IL-15N72D:IL-15R α Su/IgG1 Fc complex)

Study Type: Interventional

Study Phase: 1/2

Protocol Title: A phase 1/2 study of ALT-803 in patients with relapse/refractory indolent B cell non-Hodgkin lymphoma in conjunction with rituximab

Objectives: To evaluate the safety and tolerability of escalating doses, identify the Maximum Tolerated Dose level (MTD) or Minimum Efficacious Dose (MED) and designate a dose level for Phase 2 study (RP2D) of ALT-803 in combination with standard-of-care rituximab therapy in patients with relapsed or refractory (rel/ref) indolent B cell non-Hodgkin lymphoma (iNHL).

To estimate the anti-tumor activity of ALT-803 as measured by response rate, overall survival, progression free survival, time to response, duration of response, time to treatment failure, and time to subsequent treatment in patients with rel/ref iNHL.

To evaluate the effect of ALT-803 on the peripheral absolute lymphocyte counts (ALC) and white blood cell (WBC) counts, the number and phenotype of peripheral blood T (total and subsets) and NK cells.

To characterize the immunogenicity and pharmacokinetic profile, including induced serum levels of IL-2, IL-4, IL-6, IL-10, IFN- γ and TNF- α , of ALT-803 in rel/ref iNHL patients.

To correlate clinical outcomes with *fcgr3a* polymorphisms and recurrent genomic mutations in rel/ref iNHL patients.

Study Design: This is a Phase 1/2, open-label, multi-center, competitive enrollment and dose-escalation study of ALT-803 in patients with rel/ref iNHL in conjunction with rituximab.

The study includes a dose escalation phase to determine the MTD or MED using a 3+3 dose escalation design and to designate a dose level for the Phase 2 expansion phase (RP2D) of ALT-803 and a two-stage expansion phase using a Simon two-stage design at the ALT-803 RP2D level in combination with rituximab. In Phase 1, three dose levels will be evaluated. A step-down dose level (level -1) will be provided in the event of encountering DLT in two patients at the planned initial dose level.

The study will be conducted in conformity with Good Clinical Practice (GCP).

Treatments:

The study treatment plan for each enrolled patient includes one 4-week induction treatment cycle. During induction, patients will receive up to four weekly doses of ALT-803 and rituximab (375 mg/m²) by intravenous injection. For the first dose of treatment, patients will receive rituximab on day 1 followed by ALT-803 on day 2 in order to avoid simultaneous infusion of both agents and reduce the potential of infusion-related adverse events. Eligible patients will receive the consolidation treatment. Consolidation consists of treatment with ALT-803 at the same dose level used in the induction plus rituximab (375 mg/m²) every 8 weeks (1 cycle = 8 weeks), for a total of 4 consolidation cycles.

Treated patients will have at least two response evaluation visits. Patients who receive at least two study drug doses during the induction treatment period will be evaluated for disease response during week 11. Patients who have at least stable disease from the first anti-tumor evaluation and who do not experience or have sufficiently recovered from toxicities of the induction treatment cycle and who meet other criteria to continue study treatment will receive up to four consolidation treatment cycles, with a single treatment of ALT-803 plus rituximab, repeated every 8 weeks for a total of 4 additional ALT-803 plus rituximab doses. The ALT-803 dose level utilized in the induction cycle will be continued in consolidation, with reassessment for continued tumor response performed upon completion at week 40.

The study treatment and response evaluation schema:

Treatment Phase	Induction				REST	Response Evaluation	Consolidation				Response Evaluation
Treatment Week	1	2	3	4	5-10	11	12	20	28	36	40**
Treatment Day	1, 2*	8	15	22	29-70	71-77	78	134	190	246	274-280
ALT-803	1	2	3	4	Rest		5	6	7	8	
rituximab	1	2	3	4			5	6	7	8	
Consolidation Cycle							1	2	3	4	
Response Evaluation						X					X

*For the first week, rituximab is administered on day 1, ALT-803 on day 2

**Long term follow-up after 40 weeks includes restaging every 6 months for 2 years, and then every 12 months for 5 years (until progression).

Patients will be assessed for response using the 2007 IHP criteria.¹ Patients will be followed for progression, and at the time of progression there are no restrictions on further therapies.

Enrolled patients will receive the study treatment at qualified cancer treatment centers with adequate diagnostic and treatment facilities to provide appropriate management of therapy and complications. ALT-803 will be administered by intravenous infusion into a central or peripheral vein under the supervision of a qualified physician experienced in the use of biologic anti-cancer agents. Rituximab will be administered as described in the product package insert provided by the manufacturer.

Dose Escalation Phase:

A 3 + 3 design will be used for identifying a tolerable dose of ALT-803 for Phase 2 studies by monitoring patients for DLTs to determine the MTD and for

identifying an efficacious dose by monitoring patients' ALC and WBC count to determine the MED during the DLT observation period. The dose escalation phase is concluded when either the MTD or the MED is determined. An ALT-803 dose level (RP2D) will then be designated for Phase 2 study. There are three escalating dose levels of ALT-803 and a step-down cohort (-1) with a lower dose level of ALT-803 in the event that unexpected toxicity is encountered at the initial dose level.

Below are the planned dose levels of the study drug during the dose escalation phase of the study.

Cohort	ALT-803 Dose (µg/kg)	Number of patients
-1	0.5	3 to 6
1 (initial)	1	3 to 6
2	3	3 to 6
3	6	3 to 6

Dose limiting toxicity (DLT) is defined as follows: any toxicity that is not clearly unrelated to drug administration that is of Grade 3 and does not resolve to Grade 1 or lower within a week despite the use of medical intervention or that is of Grade 4, with exceptions described in the study protocol.

The DLT Observation Period is defined as the duration of the induction treatment, days 1-28.

Maximum Tolerated Dose level (MTD) is defined as a dose level at which <2 out of 6 patients experienced DLT and that is one level below a dose that was not tolerated or the maximum planned dose level if designated by the study committee.

Minimal Efficacious Dose (MED) is defined as a dose level which produces an ALC $\geq 25,000/\mu\text{L}$ sustained for 14 days or a total WBC $\geq 35,000/\mu\text{L}$ sustained for 14 days among 2/3 or 4/6 of patients. For safety, a dose level is also defined as "exceeding MED" with the occurrence of ALC $\geq 50,000/\mu\text{L}$ or WBC $\geq 60,000/\mu\text{L}$ sustained for 14 days. If patients have circulating malignant lymphocytes in the peripheral blood, these lymphoma cells will be excluded from the WBC and ALC calculations for MED.

Expansion Phase

Two expansion arms will be used to investigate indolent NHL patients with different expectations regarding response to single agent rituximab: rituximab-refractory (RR) and rituximab-sensitive (RS). For each arm, a two-stage expansion phase at the MTD or the MED level will be conducted using an optimal Simon's two-stage design. The best objective overall response rate (ORR) is defined as complete response (CR) + partial response (PR) assessed at the week 11 or 40 response assessment, or during the 2 year follow-up period. For RR patients, a lack of efficacy for ORR of 5% will be used, with an ORR $\geq 25\%$ constituting a clinically interesting result. For RS patients, a lack of efficacy for ORR of 40%

will be used, with a clinically interesting ORR \geq 60%. Each expansion arm will be analyzed independently for preliminary efficacy.

Stopping Rules: Patient enrollment will be temporarily suspended based on occurrence of any of the following events, and the study committee, including the sponsor, the Data Safety Monitoring Board and principal investigators will meet to discuss how to proceed with future patient enrollment in the study.

During the dose escalation phase of the study,

- If the maximum planned dose level has been reached, but neither the MTD nor MED can be determined.
- If de-escalation occurs and the step-down dose level cannot be designated as the MTD or MED.

Any time during the expansion phase of the study,

- More than 33% of patients experience a possible, probable or definite study drug related DLT.
- Favorable anti-tumor response data collected from enrolled patients.

At any time during the study,

the study committee may meet to discuss how to proceed with the study and may make any or all of the following recommendations for further patient enrollment:

- Downward adjust the study drug dose.
- Adjust the study drug dosing schedule.
- Recommend more effective pre-therapy, intra-therapy and post-therapy side effect mitigation interventions.
- Correct protocol technical errors that caused unnecessary dose omissions or premature treatment discontinuations. After correction of protocol errors, the DSMB may meet to re-evaluate the safety profile of the study treatment and recommend how to proceed with the study, if necessary.

Evaluations: Patients will be evaluated for clinical toxicities during the treatment. The disease response will be evaluated at weeks 11 and 40 from the start of study treatment, and every 6 months for 2 years thereafter. After this two year period the institutional standards for disease assessment will be followed, with at least annual disease assessments, for up to 5 years. Prior to and during the treatment period, patients' blood and serum samples will be collected to assess the pharmacokinetic profile and immunogenicity of the study drug, as well as for immunomodulation, and *fcgr3a* polymorphisms. Disease containing biopsies and an oral sample will be used for recurrent lymphoma gene mutation analysis. All patients who receive at least 2 doses of the study drug ALT-803 will be included in the anti-tumor response evaluation.

Population: Patients of 18 years of age and above with relapsed or refractory CD20⁺ indolent NHL (follicular lymphoma (FL), marginal zone lymphoma (MZL), small lymphocytic lymphoma (SLL), and lymphoplasmacytic lymphoma (LPL)).

Rituximab-refractory (RR) patients are defined as those that progress on rituximab therapy or within 6 months of their last dose of rituximab. For RR patients, a biopsy to confirm CD20 expression is required. Patients also need to have adequate cardiac, pulmonary, liver and kidney functions and have an Eastern Cooperative Oncology Group (ECOG) performance status of 0, 1 or 2.

Sample Size: A total of up to 18 assessable patients will be accrued to the dose escalation phase of the study (Phase 1). Anticipated enrollment to this phase is 12 patients. For the RS patient arm, a total of 16 patients will be enrolled at the MTD/MED dose in the first stage, and 30 patients in the second stage of a 2-stage Phase 2 cohort (total for RS expansion cohort 46). For the RR, a total of 9 patients will be enrolled in the first stage, and an additional 8 patients in the second stage of a 2 stage Phase 2 study (total for RR expansion cohort 17). Thus, enrollment of evaluable patients on the Phase 1 portion, and the first stage of both expansion cohorts (including 6 patients of the MTD/MED cohort) is expected to be 31 patients, with the maximum number of 43 patients. Assuming a 5% frequency of non-evaluable patients, the phase 1 and the first stage of both expansion cohorts is estimated at 33 patients.

**Primary
Endpoints**

For Phase 1 only (1) Determination of the MTD or MED of ALT-803 and designation of the recommended dose level (RP2D) for Phase 2 study of ALT-803 in conjunction with rituximab in patients with rel/ref iNHL.

For Phase 1 & 2 (2) Safety profile of ALT-803 plus rituximab in treated patients.
(3) Overall response rate (CR+PR) of treated patients.

**Secondary
Endpoints**

- (1) Evaluate overall survival, progression free survival, time to response, duration of response, time to treatment failure, and time to subsequent treatment.
- (2) Evaluation of the effect of ALT-803 on the peripheral ALC and WBC counts, the number and phenotype of peripheral blood NK cells and T (total and subsets), and NK cell function.
- (3) Characterization of the immunogenicity and pharmacokinetic profile, including serum levels of IL-2, IL-4, IL-6, IL-10, IFN- γ and TNF- α , of ALT-803 in treated patients.
- (4) Correlation of *fcgr3a* polymorphism status and recurrent lymphoma mutations with clinical outcomes of the study.

**Pharmacokinetics
& Biomarkers:**

Fresh blood samples will be collected to assess immune cell number, phenotype and function. Serum samples will be collected for pharmacokinetics (PK) and immunogenicity of the study drug ALT-803. The same serum samples collected for PK analysis will be used to assess the serum levels of IL-2, IL-4, IL-6, IL-10, IFN- γ and TNF- α . Non-compartmental and compartmental analyses will be conducted. Baseline peripheral blood will be used for *fcgr3a* polymorphism

testing, and a baseline tumor sample and oral sample will be used for lymphoma mutation analysis using next-generation sequencing.

Monitoring Tests: Blood samples for standard chemistry and CBC with differential will be obtained at screening, on each study treatment infusion day, and at response evaluation visits. Blood samples for immunogenicity testing of anti-ALT-803 antibodies will be collected prior to dosing on the first and fourth ALT-803 infusion visit, and at the response evaluation visit during week 11.

Response

Assessment: There are at least two response assessments for treated patients: the first assessment during week 11 (following induction) and the second assessment during week 40 (following consolidation) from the start of study treatment. After completion of the induction cycle of study treatment, patients who have received at least 2 doses of ALT-803 will have the first response assessment. After completion of four additional consolidation study treatments patients will have a second response assessment. If patients are unable to continue study therapy for all 4 consolidation cycles due to an adverse event, disease assessments will be performed at the time of going off study. In non-progressing patients, after completion of consolidation, disease assessments will be performed every 6 months for 2 years, and then per institutional guidelines, at least annually, for up to 5 years. If a focused physical examination or patient symptoms raise the concern for progression, a complete response assessment should be performed at that time. Response assessments will be carried out according to the 2007 IHP criteria for response assessment of lymphoma.¹ Baseline evaluations (except for baseline imaging and bone marrow biopsy) should be performed up to 14 days before study treatment start.

Progression & Survival

Assessment: Progression-free survival, overall survival, and duration of response of all treated patients will be assessed at least every three months during years 1 and 2, every 4 months during year 3, and then every 6 months (+/- 2 months) during years 4 and 5 from the start of study treatment, or through the point designated as the end of the study follow up (5 years).

Adverse Events: All patients will be monitored and evaluated for clinical toxicities during the treatment period and queried at each follow-up visit for Adverse Events (AEs). Patients may volunteer information concerning AEs. All adverse events will be graded by using the NCI Common Terminology Criteria for Adverse Events version 4.0 (CTCAE v4.0), and logged in the patient Case Report Form. The study centers should report all Serious Adverse Events (SAEs) and all events that trigger patient's study treatment discontinuation to the sponsor via phone, fax or email (or a combination) no more than 24 hours after learning of the event. The sponsor will use the information to manage and coordinate the dose escalation, cohort expansion and patient enrollment. The sponsor will then inform all of the participating clinical sites of the current dose level and the number of patients to be enrolled at that level, or of any patient enrollment suspension via phone, fax or email within 24 hours of learning of the event. The study centers should report all

other adverse events to the sponsor following the guidelines defined in the study protocol. All study drug related AEs that are both serious and unexpected will be reported to the FDA in an expedited manner in accordance with 21 CFR §312.32.

Statistical Plan: For each cohort, all AEs will be tabulated and examined and all safety, pharmacokinetic, biomarker and tumor response data will be evaluated. For estimation of duration of response and progression free survival, the Kaplan-Meier method will be used. *P*-values of ≤ 0.05 (two-sided) will be considered to indicate statistical significance.

8. STUDY CALENDAR, CLINICAL PROCEDURES & TESTS

8.1 Study calendar

TESTS & PROCEDURES	SCREEN/ BASELINE ¹	INDUCTION										REST	RESPONSE EVALUATION	CONSOLIDATION	RESPONSE EVALUATION	DISEASE ASSESSMENT & FOLLOW-UPS																
Study Month		1										2-3	3	3-9				10	12	15	18	21	24	28	32	36	42	48	54	60		
Study Week		1					2	3	4			5-10	11	12	20	28	36	40														
Study Day		1	2	3	5	8	15	22	23	25	29-70	71-77	78	134	190	246	274-280															
Tolerance Window		+/- 2 days										Any day	Any day	+/- 7 days				Any day	+/- 2 weeks													
Medical history	X										R E S P O N D																					
Serum pregnancy test ²	X																															
Complete physical exam (PE)	X																															
Focused PE, ECOG PS, B symptom assessment		X											X	X	X	X																
Vital signs, Weight, Height ³ , Cardiac & Lung function monitoring	X	X	X			X	X	X				X	X	X	X	X	X															
Concurrent medication	X	X	X			X	X	X				X	X	X	X	X	X															
Adverse event assessment ⁴	X	X	X			X	X	X				X	X	X	X	X	X															
CBC with Differential ⁵	X	X	X			X	X	X				X	X	X	X	X	X															
Blood Chemistry with LDH ⁵	X	X	X			X	X	X				X	X	X	X	X	X															
EKG	X																															
PFT only when clinically indicated	X																															
Response assessment ⁶												E R I O D	X					X	X		X			X		X		X				
Contrast CT of NCAP or PET-CT	X												X						X		X		X		X							
Bone marrow biopsy ⁷	X												X																			
Focused PE, ECOG PS, B symptom & AE	X ¹⁷												X						X		X		X		X							
Disease and survival follow-up/post therapies ⁸													X					X	X	X	X	X	X	X	X ¹⁶	X ¹⁶	X ¹⁶	X ¹⁶				
Immune cell number, phenotype & function ^{9,14}	X		X ¹⁰	X	X	X ¹⁰		X ¹⁰	X	X	O D		X ¹¹																			
Polymorphism (SNP) testing ¹⁴			X ¹⁰																													
PK, IL-2, IL-4, IL-6, IL-10, IFN-γ, TNF-α ^{12,14}			X ¹²	X																												
Immunogenicity tests ^{13, 14}			X ¹³					X ¹⁰				X																				
Recurrent mutation evaluation ¹⁵	X																															
Rituximab		r1				r2	r3	r4					r5	r6	r7	r8																
Study drug (ALT-803)		a1				a2	a3	a4					a5	a6	a7	a8																

¹Screening/baseline evaluations are performed ≤ 14 days prior to start of therapy; baseline CTs or PET-CT are performed ≤ 28 days and baseline bone marrow biopsy performed ≤ 42 days prior to start of therapy. If the patient's condition is deteriorating, ECOG status and laboratory evaluations should be repeated within 48 hours prior to initiation of study treatment infusion. ²Pregnancy test is for women with childbearing potential only. ³Vital signs (especially blood pressure), clinical status and laboratory tests should be reviewed before start of therapy. Vital signs will be evaluated at 15, 30, 60 and 120 min then hourly post infusion until discharge or at completion of dose monitoring. Body weight will be collected before infusion on each drug infusion day for all patients. Height only collected at baseline. ⁴Patients who have an on-going study drug-related SAE upon study completion or at discontinuation of study will be contacted by the investigator or his/her designee every week until the event is resolved or determined to be irreversible. ⁵Safety labs can be drawn within 48 hours of scheduled dose. ⁶Disease response and progression assessment will be evaluated using the 2007 IHP criteria for assessment of lymphoma. ⁷Only performed to confirm a CR if disease present at baseline. Once confirmed, only repeat if relapse suspected. ⁸Information about tumor assessment & other therapies received after completion of study treatment will be collected if available. ⁹Fresh blood samples (6 tubes per time point) for immune cell number, phenotype & function testing will be collected. ¹⁰Collect before dosing. ¹¹Collect before dosing and 24 hours post-infusion. ¹²Collect blood samples at Time 0 (before drug infusion), at 30 min (+/- 5 min), 2 hour (+/- 15 min), 6 hour (+/- 60 min) or before discharge on dosing day, 24 hour (+/- 6 hour) from Time 0. IL-2, IL-4, IL-6, IL-10, IFN- γ and TNF- α assays are performed using the same samples and at the same schedule as PK. ¹³Use the sample collected before dosing for PK test. ¹⁴Residual samples may be used by Sponsor for research studies of other biomarkers. All attempts will be made to collect research samples but missed samples will not be considered a protocol deviation. ¹⁵Fesh/frozen or FFPE tissue block (or substitute) preferably from biopsy immediately prior to treatment start. An oral sample will be collected to obtain an additional non-tumor cellular sample. ¹⁶+/- 2 months. ¹⁷Complete PE required at screening, not focused PE.

CLINICAL STUDY PROTOCOL

Protocol Number: CA-ALT-803-02-14

Protocol Title: A phase 1/2 study of ALT-803 in patients with relapse/refractory indolent B cell non-Hodgkin lymphoma in conjunction with rituximab

Date of Protocol:

Version# 01 September 4, 2014

Version# 02 March 18, 2015

Version# 03 December 17, 2015

Sponsor Contact:

Altor BioScience
CORPORATION

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INVESTIGATOR SIGNATURE PAGE

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By my signature below, I hereby attest that I have read, and that I understand and will abide by all the conditions, instructions, and restrictions contained in the attached protocol.

Additionally, I will not initiate this study without approval of the appropriate Institutional Review Board (IRB), and I understand that any changes in the protocol must be approved in writing by the sponsor, the IRB, and, in certain cases the FDA, before they can be implemented, except where necessary to eliminate hazards to subjects.

Principal Investigator's Signature

Date

Principal Investigator's Name (Print)

Table of Contents

SYNOPSIS	6
1. OBJECTIVES.....	13
1.1 PRIMARY OBJECTIVES	13
1.2 SECONDARY OBJECTIVES	13
2. BACKGROUND.....	13
2.1 ALT-803 – GENERAL INFORMATION.....	13
2.2 INDOLENT NON-HODGKIN LYMPHOMA (iNHL)	14
2.3 IMMUNE-BASED THERAPIES FOR iNHL	15
2.4 PHARMACOLOGICAL EFFECTS OF ALT-803 <i>IN VITRO</i> AND IN ANIMALS	16
2.4.1 Development of ALT-803 (IL-15N72D:IL-15RaSu/IgG1 Fc complex).....	16
2.4.2 In vitro biological activity of ALT-803 including ADCC enhancement.....	16
2.4.3 In vivo biological activity of ALT-803	19
2.4.4 Potent anti-tumor activity of ALT-803 in mouse models in vivo.....	20
2.5 NON-CLINICAL TOXICOLOGY	22
2.5.1 Multi-dose toxicity studies in mice.....	22
2.5.2 Multi-dose toxicity studies in cynomolgus monkeys.....	23
2.6 COMPARATIVE STUDIES OF INTRAVENOUS AND SUBCUTANEOUS ALT-803.....	25
2.7 PHARMACOKINETICS.....	26
2.7.1 Non-clinical pharmacokinetics	26
2.8 RATIONALE FOR HUMAN CLINICAL STARTING DOSE.....	26
2.9 HUMAN EXPERIENCE	27
3. RATIONALE FOR THE CURRENT STUDY	29
4. OVERALL STUDY DESIGN.....	30
5. STUDY POPULATION	32
5.1 INCLUSION CRITERIA.....	32
5.2 EXCLUSION CRITERIA.....	33
5.3 INCLUSION OF WOMEN AND MINORITIES.....	33
6. STUDY DESIGN	34
6.1 SCREENING AND ENROLLMENT	34
6.2 STUDY TREATMENT.....	34
6.2.1 Treatment setting	34
6.2.2 Treatment regimen and study scheme.....	34
6.2.3 Study treatment preparation	35
6.2.4 Study treatment administration.....	35
6.2.5 Pre and post-therapy intervention guidelines	36
6.3 DURATION OF PATIENT PARTICIPATION	37
6.4 DOSE ESCALATION PHASE	37
6.5 EXPANSION PHASE	39
6.6 STOPPING RULES	40
6.6.1 During dose escalation phase of the study.....	40
6.6.2 During expansion phase of the study	41
6.6.3 At any time during the study	41
6.7 PATIENT MONITORING, RESPONSE EVALUATION, DISEASE PROGRESSION & SURVIVAL FOLLOW-UP	41
6.7.1 Patient monitoring	41
6.7.2 Response evaluation.....	41
6.7.3 Disease progression and survival follow-up.....	42
6.8 DOSE LIMITING TOXICITY	42
6.8.1 Definition of dose limiting toxicity.....	42

6.8.2	Definition of maximum tolerated dose (MTD)	42
6.8.3	Definition of minimal efficacious dose (MED)	43
6.9	STUDY TREATMENT DISCONTINUATION	43
6.9.1	Study treatment discontinuation events	43
6.9.2	Replacement of participants	43
6.9.3	Follow-ups after treatment discontinuation	44
6.9.3.1.	Discontinuation due to SAEs or on-going study drug related AEs	44
6.9.3.2.	Discontinuation due to any other reasons	44
6.10	STUDY TREATMENT INTERRUPTION	44
6.10.1	Kidney dysfunction	44
6.10.2	Hematological dysfunction	44
6.10.3	Hypotension	44
6.10.4	Allergic reactions and cytokine release syndrome/acute infusion reaction	45
6.11	GENERAL SUPPORTIVE CARE GUIDELINES AND DRUG INTERACTION	45
6.11.1	ALT-803	45
6.11.1.1.	Hypotension and capillary leak syndrome	45
6.11.1.2.	Pulmonary dysfunction	46
6.11.1.3.	Impaired kidney and liver functions	46
6.11.1.4.	Infection	46
6.11.1.5.	Fever and chills	46
6.11.1.6.	Gastritis	46
6.11.1.7.	Diarrhea, nausea and vomiting	46
6.11.1.8.	Pruritus and dermatitis	46
6.11.1.9.	Acidosis	46
6.11.1.10.	Life-threatening toxicities	46
6.11.1.11.	Other supportive care	46
6.11.1.12.	Drug interaction	47
6.11.2	Rituximab	48
7.	STUDY DRUG: AVAILABILITY, ACCOUNTABILITY, PACKAGING & LABELING	48
7.1	ALT-803	48
7.1.1	Availability	48
7.1.2	Accountability	48
7.1.3	Packaging	48
7.1.4	Labeling	48
7.2	RITUXIMAB	48
8.	STUDY CALENDAR, CLINICAL PROCEDURES & TESTS	49
8.1	STUDY CALENDAR	49
8.2	PROCEDURE AND TESTS	50
8.2.1	Medical history & prior therapy	50
8.2.2	Pregnancy test	50
8.2.3	Physical examination, PS assessment, B symptom assessment	50
8.2.4	Vital signs, body weight & height	50
8.2.5	Cardiac assessment	50
8.2.6	Pulmonary function monitoring	50
8.2.7	Clinical blood tests	50
8.2.8	Disease assessment tests and procedures	51
8.2.9	Adverse event assessment	51
8.2.10	Response assessment	51
8.2.11	Disease progression and survival follow-up	51
8.2.12	Pharmacokinetic (PK) testing	51
8.2.13	Biomarker assays for IL-2, IL-4, IL-6, IL-10, IFN- γ , MCP-1 and TNF- α	52
8.2.14	Immunogenicity tests - detection of anti-ALT-803 antibodies	52
8.2.15	Assays for immune cell number, phenotype, and function	52
8.2.16	Fc receptor polymorphism testing	53

8.2.17	Evaluation of recurrent lymphoma mutations.....	53
8.2.18	Lymph node biopsy evaluation.....	53
9.	MEASUREMENT OF EFFECT.....	54
9.1	MEASURABLE DISEASE.....	54
9.2	METHODOLOGY OF RESPONSE EVALUATION	54
9.3	RESPONSE EVALUATION CRITERIA	54
9.4	DISEASE PROGRESSION EVALUATION CRITERIA.....	54
10.	STATISTICAL ANALYSIS	54
10.1	SAMPLE SIZE.....	54
10.2	DATA COLLECTION.....	56
10.3	DATA ANALYSIS	56
10.3.1	Analysis of safety.....	56
10.3.2	Analysis of response.....	56
10.3.3	Pharmacokinetics.....	56
11.	REGULATORY AND REPORTING REQUIREMENTS.....	58
11.1	ADVERSE EVENTS RECORDING, REPORTING AND COMMUNICATION.....	58
11.2	ADVERSE EVENT TERMINOLOGY AND DEFINITIONS	58
11.3	ADVERSE EVENT REPORTING PROCEDURES	59
11.4	ADVERSE EVENT EXPEDITED REPORTING GUIDELINES.....	60
11.5	SUBMISSION OF SERIOUS ADVERSE EVENT REPORTING.....	60
11.6	DATA REPORTING FORMS	60
11.7	REPORT /DATA SUBMISSION ADDRESS & CONTACT.....	61
11.8	PATIENT RECORDS, QUALITY ASSURANCE, RECORDS RETENTION	61
11.9	METHOD OF REVIEW	61
11.10	SPECIAL REGULATORY CONSIDERATIONS.....	62
11.10.1	HIPAA	62
11.10.2	Protocol amendments, informed consent, and IRB approval.....	62
12.	CONFIDENTIALITY	62
13.	ETHICAL STANDARDS & INVESTIGATOR OBLIGATIONS	62
14.	LIST OF EXPECTED ADVERSE EVENTS.....	63
15.	CTCAE.....	65
16.	REFERENCES	66
17.	APPENDIX A: ECOG	70
18.	APPENDIX B: NEW YORK HEART ASSOCIATION CLASSIFICATION	70
19.	APPENDIX C: ETHICAL STANDARDS	71
20.	APPENDIX D: INVESTIGATOR OBLIGATIONS.....	72
21.	APPENDIX E: CONTACT LIST - ALTOR.....	76
22.	APPENDIX F: CONTACT LIST – DATA SAFETY MONITORING BOARD (DSMB).....	77
23.	APPENDIX G: CONTACT LIST - LABORATORIES	77

SYNOPSIS

Sponsor: Altor Bioscience Corporation

Protocol#: CA-ALT-803-02-14

Study Drug Name: ALT-803

Study Treatment

Active agents: ALT-803, a “recombinant human super agonist interleukin-15 (IL-15) complex” (AKA, IL-15N72D:IL-15R α Su/IgG1 Fc complex)

Study Type: Interventional

Study Phase: 1/2

Protocol Title: A phase 1/2 study of ALT-803 in patients with relapse/refractory indolent B cell non-Hodgkin lymphoma in conjunction with rituximab

Objectives: To evaluate the safety and tolerability of escalating doses, identify the Maximum Tolerated Dose level (MTD) or Minimum Efficacious Dose (MED) and designate a dose level for Phase 2 study (RP2D) of ALT-803 in combination with standard-of-care rituximab therapy in patients with relapsed or refractory (rel/ref) indolent B cell non-Hodgkin lymphoma (iNHL).

To estimate the anti-tumor activity of ALT-803 as measured by response rate, overall survival, progression free survival, time to response, duration of response, time to treatment failure, and time to subsequent treatment in patients with rel/ref iNHL.

To evaluate the effect of ALT-803 on the peripheral absolute lymphocyte counts (ALC) and white blood cell (WBC) counts, the number, phenotype and repertoire of peripheral blood T (total and subsets) and NK cells. In addition, a subset of patients will be evaluated for changes in lymph node immune composition.

To characterize the immunogenicity and pharmacokinetic profile, including induced serum levels of IL-2, IL-4, IL-6, IL-10, IFN- γ , MCP-1 and TNF- α of ALT-803 in rel/ref iNHL patients.

To correlate clinical outcomes with *fcgr3a* polymorphisms and recurrent genomic mutations in rel/ref iNHL patients.

Study Design: This is a Phase 1/2, open-label, multi-center, competitive enrollment and dose-escalation study of ALT-803 in patients with rel/ref iNHL in conjunction with rituximab.

The study includes a dose escalation phase to determine the MTD or MED using a 3+3 dose escalation design and to designate a dose level for the Phase 2 expansion (RP2D) of ALT-803 in combination with rituximab and an expansion phase at the ALT-803 RP2D level using a Simon two-stage design. In Phase 1, seven cohorts will be evaluated. A step-down dose level (level -1) will be provided in the event of encountering DLT in two patients at the planned initial dose level.

The study will be conducted in conformity with Good Clinical Practice (GCP).

Treatments:

The study treatment plan for each enrolled patient includes one 4-week induction treatment cycle. During induction for cohort 1, 2 and 3, patients will receive up to four weekly doses of ALT-803 and rituximab (375 mg/m²) by intravenous injection (IV). During induction for cohort 4, 5, 6 and 7, patients will receive four weekly doses of ALT-803 by subcutaneous (SubQ) injection and rituximab (375 mg/m²) by IV. For the first dose of treatment in all cohorts, patients will receive rituximab on day 1 followed by ALT-803 on day 2 in order to avoid simultaneous dosing of both agents and reduce the potential of infusion-related adverse events. Eligible patients will receive the consolidation treatment. Consolidation consists of treatment with ALT-803 at the same dose level and route of administration used in the induction plus rituximab (375 mg/m²) every 8 weeks (1 cycle = 8 weeks), for a total of 4 consolidation cycles.

Treated patients will have at least two response evaluation visits. Patients who receive at least two study drug doses during the induction treatment period will be evaluated for disease response during week 11. Patients who have at least stable disease from the first anti-tumor evaluation and who do not experience or have sufficiently recovered from toxicities of the induction treatment cycle and who meet other criteria to continue study treatment will receive up to four consolidation treatment cycles, with a single treatment of ALT-803 plus rituximab, repeated every 8 weeks for a total of 4 additional ALT-803 plus rituximab doses. The ALT-803 dose level and route of administration utilized in the induction cycle will be continued in consolidation, with reassessment for continued tumor response performed upon completion at week 40.

The study treatment and response evaluation visits are illustrated below (refer to study calendar for all study visits):

Treatment Phase	Induction				REST	Response Evaluation	Consolidation				Response Evaluation
Treatment Week	1	2	3	4	5-10	11	12	20	28	36	40**
Treatment Day	1, 2*	8	15	22	29-70	71-77	78	134	190	246	274-280
ALT-803	1	2	3	4	Rest		5	6	7	8	
rituximab	1	2	3	4			5	6	7	8	
Consolidation Cycle							1	2	3	4	
Response Evaluation						X					X

*For the first week, rituximab is administered on day 1, ALT-803 on day 2

**Long term follow-up after 40 weeks includes restaging every 6 months for 2 years, and then every 12 months for 5 years (until progression).

Patients will be assessed for response using the 2007 IHP criteria¹. Patients will be followed for progression, and at the time of progression there are no restrictions on further therapies.

Enrolled patients will receive the study treatment at qualified cancer treatment centers with adequate diagnostic and treatment facilities to provide appropriate management of therapy and complications. ALT-803 will be administered by intravenous infusion for cohort 1, 2 and 3 into a central or peripheral vein under the supervision of a qualified physician experienced in the use of biologic anti-cancer agents. ALT-803 will be administered by subcutaneous injection for cohort

4, 5, 6 and 7 under the supervision of a qualified physician experienced in the use of biologic anti-cancer agents. Rituximab will be administered as described in the product package insert provided by the manufacturer.

Dose Escalation

Phase:

A 3 + 3 design will be used for identifying a tolerable dose of ALT-803 for Phase 2 studies by monitoring patients for DLTs to determine the MTD and for identifying an efficacious dose by monitoring patients' ALC and WBC count to determine the MED during the DLT observation period. The dose escalation phase is concluded when either the MTD or the MED is determined. An ALT-803 dose level (RP2D) will then be designated for Phase 2 study. There are seven cohorts of ALT-803 and a step-down cohort (-1) with a lower dose level of ALT-803 in the event that unexpected toxicity is encountered at the initial dose level.

Below are the planned dose levels and respective route of administration for the study drug during the dose escalation phase of the study.

Cohort	ALT-803 Dose ($\mu\text{g/kg}$)	Route	Number of patients
-1	0.5	IV	3 to 6
1 (initial)	1	IV	3 to 6
2	3	IV	3 to 6
3	6	IV	3 to 6
4	6	SubQ	3 to 6
5	10	SubQ	3 to 6
6	15	SubQ	3 to 6
7	20	SubQ	3 to 6

Dose limiting toxicity (DLT) is defined as follows: any toxicity that is not clearly unrelated to drug administration that is of Grade 3 and does not resolve to Grade 1 or lower within a week despite the use of medical intervention or that is of Grade 4, with exceptions described in the study protocol.

The DLT Observation Period is defined as the duration of the induction treatment, days 1-28.

Maximum Tolerated Dose level (MTD) is defined as a dose level at which <2 out of 6 patients experienced DLT and that is one level below a dose that was not tolerated or the maximum planned dose level if designated by the study committee.

Minimal Efficacious Dose (MED) is defined as a dose level which produces an ALC $\geq 25,000/\mu\text{L}$ sustained for 14 days or a total WBC $\geq 35,000/\mu\text{L}$ sustained for 14 days among 2/3 or 4/6 of patients. For safety, a dose level is also defined as "exceeding MED" with the occurrence of ALC $\geq 50,000/\mu\text{L}$ or WBC $\geq 60,000/\mu\text{L}$ sustained for 14 days. If patients have circulating malignant lymphocytes in the peripheral blood, these lymphoma cells will be excluded from the WBC and ALC calculations for MED.

Expansion

Phase

Two expansion arms will be used to investigate indolent NHL patients with different expectations regarding response to single agent rituximab: rituximab-refractory (RR) and rituximab-sensitive (RS). For each arm, a two-stage expansion phase at the MTD or the MED level will be conducted using an optimal Simon's two-stage design. The best objective overall response rate (ORR) is defined as complete response (CR) + partial response (PR) assessed at the week 11 or 40 response assessment, or during the 2 year follow-up period. For RR patients, a lack of efficacy for ORR of 10% will be used, with an ORR \geq 35% constituting a clinically interesting result. For RS patients, a lack of efficacy for ORR of 40% will be used, with a clinically interesting ORR \geq 60%. Each expansion arm will be analyzed independently for preliminary efficacy.

Stopping Rules:

Patient enrollment will be temporarily suspended based on occurrence of any of the following events, and the study committee, including the sponsor, the Data Safety Monitoring Board and principal investigators will meet to discuss how to proceed with future patient enrollment in the study.

During the dose escalation phase of the study,

- If the maximum planned dose level has been reached, but neither the MTD nor MED can be determined.
- If de-escalation occurs and the step-down dose level cannot be designated as the MTD or MED.

Any time during the expansion phase of the study,

- More than 33% of patients experience a possible, probable or definite study drug related DLT.
- Favorable anti-tumor response data collected from enrolled patients.

At any time during the study,

the study committee may meet to discuss how to proceed with the study and may make any or all of the following recommendations for further patient enrollment:

- Downward adjust the study drug dose.
- Adjust the study drug dosing schedule.
- Recommend more effective pre-therapy, intra-therapy and post-therapy side effect mitigation interventions.
- Correct protocol technical errors that caused unnecessary dose omissions or premature treatment discontinuations. After correction of protocol errors, the DSMB may meet to re-evaluate the safety profile of the study treatment and recommend how to proceed with the study, if necessary.

Evaluations:

Patients will be evaluated for clinical toxicities during the treatment. The disease response will be evaluated at weeks 11 and 40 from the start of study treatment, and every 6 months for 2 years thereafter. After this two year period the institutional standards for disease assessment will be followed, with at least annual

disease assessments, for up to 5 years. Prior to and during the treatment period, patients' blood and serum samples will be collected to assess the pharmacokinetic profile and immunogenicity of the study drug, as well as for immunomodulation, and *fcgr3a* polymorphisms. Disease containing biopsies and an oral sample will be used for recurrent lymphoma gene mutation analysis. All patients who receive at least 2 doses of the study drug ALT-803 will be included in the anti-tumor response evaluation.

Population: Patients of 18 years of age and above with relapsed or refractory CD20⁺ indolent NHL (follicular lymphoma (FL), marginal zone lymphoma (MZL), small lymphocytic lymphoma (SLL), and lymphoplasmacytic lymphoma (LPL)). Rituximab-refractory (RR) patients are defined as those that progress on rituximab therapy or within 6 months of their last dose of rituximab. For RR patients, a biopsy to confirm CD20 expression is required. Patients also need to have adequate cardiac, pulmonary, liver and kidney functions and have an Eastern Cooperative Oncology Group (ECOG) performance status of 0, 1 or 2.

Sample Size: A total of up to 42 assessable patients will be accrued to the dose escalation phase of the study (Phase 1). Anticipated enrollment to this phase is 24 patients. For the RS patient arm, a total of 16 patients will be enrolled at the MTD/MED dose in the first stage and 30 patients in the second stage of a 2-stage Phase 2 cohort (total for RS expansion cohort 46). For the RR, a total of 8 patients will be enrolled in the first stage and an additional 14 patients in the second stage of a 2-stage Phase 2 study (total for RR expansion cohort 22). Thus, enrollment of evaluable patients on the Phase 1 portion, and the first stage of both expansion cohorts (including 6 patients of the MTD/MED cohort) is expected to be 42 patients, with the maximum number of 60 patients. Assuming a 5% frequency of non-evaluable patients, the phase 1 and the first stage of both expansion cohorts is estimated at 45 patients.

Primary Endpoints

For Phase 1 only (1) Determination of the MTD or MED of ALT-803 and designation of the recommended dose level (RP2D) for Phase 2 study of ALT-803 in conjunction with rituximab in patients with rel/ref iNHL.

For Phase 1 & 2 (2) Safety profile of ALT-803 plus rituximab in treated patients.
(3) Overall response rate (CR+PR) of treated patients.

Secondary Endpoints

- (1) Evaluate overall survival, progression free survival, time to response, duration of response, time to treatment failure, and time to subsequent treatment.
- (2) Evaluation of the effect of ALT-803 on the peripheral ALC and WBC counts, the number, phenotype and repertoire of peripheral blood NK cells and T (total and subsets), and NK cell function. In addition, a subset of patients will be evaluated for changes in lymph node immune composition.

- (3) Characterization of the immunogenicity and pharmacokinetic profile, including serum levels of IL-2, IL-4, IL-6, IL-10, IFN- γ , MCP-1 and TNF- α , of ALT-803 in treated patients.
- (4) Correlation of *fcgr3a* polymorphism status and recurrent lymphoma mutations with clinical outcomes of the study.

**Pharmacokinetics
& Biomarkers:**

Fresh blood samples will be collected to assess immune cell number, phenotype, repertoire and function prior to and during the study treatment. Serum samples will be collected for pharmacokinetics (PK) and immunogenicity of the study drug ALT-803. The same serum samples collected for PK analysis will be used to assess the serum levels of IL-2, IL-4, IL-6, IL-10, IFN- γ , MCP-1 and TNF- α . Non-compartmental and compartmental PK analyses will be conducted. Baseline peripheral blood will be used for *fcgr3a* polymorphism testing, and a baseline tumor sample and oral sample will be used for lymphoma mutation analysis using next-generation sequencing. Lymph node biopsies will be performed to determine the impact of study treatment on the immune cell composition within the tumor microenvironment.

Monitoring Tests: Blood samples for standard chemistry and CBC with differential will be obtained at screening, on each study treatment day, and at response evaluation visits. Blood samples for immunogenicity testing of anti-ALT-803 antibodies will be collected prior to dosing on the first and fourth ALT-803 treatment visit, and at the response evaluation visit during week 11.

**Response
Assessment:**

There are at least two response assessments for treated patients: the first assessment during week 11 (following induction) and the second assessment during week 40 (following consolidation) from the start of study treatment. After completion of the induction cycle of study treatment, patients who have received at least 2 doses of ALT-803 will have the first response assessment. After completion of four additional consolidation study treatments patients will have a second response assessment. If patients are unable to continue study therapy for all 4 consolidation cycles due to an adverse event, disease assessments will be performed at the time of going off study. In non-progressing patients, after completion of consolidation, disease assessments will be performed every 6 months for 2 years, and then per institutional guidelines, at least annually, for up to 5 years. If a focused physical examination or patient symptoms raise the concern for progression, a complete response assessment should be performed at that time. Response assessments will be carried out according to the 2007 IHP criteria for response assessment of lymphoma¹. Baseline evaluations (except for baseline imaging and bone marrow biopsy) should be performed up to 28 days before study treatment start unless otherwise specified in the protocol.

**Progression &
Survival
Assessment:**

Progression-free survival, overall survival, and duration of response of all treated patients will be assessed at least every three months during years 1 and 2, every 4 months during year 3, and then every 6 months (+/- 2 months) during years 4 and

5 from the start of study treatment, or through the point designated as the end of the study follow up (5 years).

Adverse Events: All patients will be monitored and evaluated for clinical toxicities during the treatment period and queried at each follow-up visit for Adverse Events (AEs). Patients may volunteer information concerning AEs. All adverse events will be graded by using the NCI Common Terminology Criteria for Adverse Events version 4.0 (CTCAE v4.0), and logged in the patient Case Report Form. The study centers should report all Serious Adverse Events (SAEs) and all events that trigger patient's study treatment discontinuation to the sponsor via phone, fax or email (or a combination) no more than 24 hours after learning of the event. The sponsor will use the information to manage and coordinate the dose escalation, cohort expansion and patient enrollment. The sponsor will then inform all of the participating clinical sites of the current dose level and the number of patients to be enrolled at that level, or of any patient enrollment suspension via phone, fax or email within 24 hours of learning of the event. The study centers should report all other adverse events to the sponsor following the guidelines defined in the study protocol. All study drug related AEs that are both serious and unexpected will be reported to the FDA in an expedited manner in accordance with 21 CFR §312.32.

Statistical Plan: For each cohort, all AEs will be tabulated and examined and all safety, pharmacokinetic, biomarker and tumor response data will be evaluated. For estimation of duration of response and progression free survival, the Kaplan-Meier method will be used. *P*-values of ≤ 0.05 (two-sided) will be considered to indicate statistical significance.

8. STUDY CALENDAR, CLINICAL PROCEDURES & TESTS

8.1 Study calendar

TESTS & PROCEDURES	SCREEN/ BASELINE ¹	INDUCTION										REST	RESPONSE EVALUATION	CONSOLIDATION				RESPONSE EVALUATION	DISEASE ASSESSMENT & FOLLOW-UPS													
Study Month		1										2-3	3	3-9				10	12	15	18	21	24	28	32	36	42	48	54	60		
Study Week		1					2	3	4			5-10	11	12	20	28	36	40														
Study Day		1	2	3	4	5	8	15	22	23	25	29-70	71-77	78	134	190	246	274-280														
Tolerance Window		+/- 2 days											+/- 7 days	+/- 7 days				+/- 7 days	+/- 2 weeks													
Medical history	X											R E S P O N D																				
Serum pregnancy test ²	X																															
Complete physical exam (PE)	X																															
Focused PE, ECOG PS, B symptom assessment		X												X	X	X	X															
Vital signs, Weight, Height ³ , Cardiac & Lung function monitoring	X	X	X				X	X	X				X	X	X	X	X	X														
Concurrent medication	X	X	X				X	X	X				X	X	X	X	X	X														
Adverse event assessment ⁴	X	X	X				X	X	X				X	X	X	X	X	X														
CBC with Differential ⁵	X	X	X	X	X	X	X	X	X	X	X		X	X	X	X	X	X														
Blood Chemistry with LDH ⁵	X	X	X				X	X	X				X	X	X	X	X	X														
EKG	X																															
PFT only when clinically indicated	X																															
Response assessment ⁶												P E R I O D	X					X	X	X		X			X		X		X		X	
Contrast CT of NCAP or PET-CT	X												X					X	X	X	X	X	X	X	X	X	X					
Bone marrow biopsy ⁷	X												X					X														
Focused PE, ECOG PS, B symptom & AE	X ¹⁷												X					X	X								X	X	X	X	X	X
Disease and survival follow-up/post therapies ⁸													X					X	X	X	X	X	X	X	X	X	X ¹⁶	X ¹⁶	X ¹⁶	X ¹⁶		
Lymph node biopsy ¹⁸	X																															
Immune cell number, phenotype & function ^{9,14}	X	X ¹⁰	X	X ¹⁹	X	X ¹⁰	X ¹⁰	X ¹⁰	X	X			X ¹¹																			
Polymorphism (SNP) testing ¹⁴		X ¹⁰																														
PK, IL-2, IL-4, IL-6, IL-10, IFN-γ, MCP-1, TNF-α ^{12,14}		X ¹²	X	X ¹⁹	X																											
Immunogenicity tests ^{13, 14}		X ¹³								X ¹⁰		X																				
Recurrent mutation evaluation ¹⁵	X																															
Rituximab		r1					r2	r3	r4					r5	r6	r7	r8															
Study drug (ALT-803)		a1					a2	a3	a4					a5	a6	a7	a8															

¹Screening/baseline evaluations including baseline CTs or PET-CT are performed ≤ 28 days prior to start of therapy and baseline bone marrow biopsy performed ≤ 42 days prior to start of therapy. If the patient's condition is deteriorating, ECOG status and laboratory evaluations should be repeated within 48 hours prior to initiation of study treatment. ²Pregnancy test is for women with childbearing potential only. ³Vital signs (especially blood pressure), clinical status and laboratory tests should be reviewed before start of therapy. Vital signs will be evaluated at 15, 30, 60 and 120 min then hourly post treatment until discharge or at completion of dose monitoring. Body weight will be collected before treatment on each drug treatment day for all patients. Height only collected at baseline. ⁴Patients who have an on-going study drug-related SAE upon study completion or at discontinuation of study will be contacted by the investigator or his/her designee every week until the event is resolved or determined to be irreversible. ⁵Safety labs can be drawn within 72 hours of scheduled dose. ⁶Disease response and progression assessment will be evaluated using the 2007 IHP criteria for assessment of lymphoma. ⁷Only performed to confirm a CR if disease present at baseline. Once confirmed, only repeat if relapse suspected. ⁸Information about tumor assessment & other therapies received after completion of study treatment will be collected if available. ⁹Fresh blood samples (6 tubes per time point) for immune cell number, phenotype & function testing will be collected. ¹⁰Collect before dosing. ¹¹Collect before dosing and 24 hours post-treatment. ¹²Collect blood samples at Time 0 (before treatment), at 30 min (+/- 5 min), 2 hour (+/- 15 min), 6 hour (+/- 60 min) or before discharge on dosing day, 24 hour (+/- 6 hour) from Time 0. IL-2, IL-4, IL-6, IL-10, IFN- γ , MCP-1 and TNF- α assays are performed using the same samples as PK. ¹³Use the sample collected before dosing for PK test. ¹⁴Residual samples may be used by Sponsor for research studies of other biomarkers. All attempts will be made to collect research samples but missed samples will not be considered a protocol deviation. ¹⁵Fresh/frozen or FFPE tissue block (or substitute) preferably from biopsy immediately prior to treatment start. An oral sample will be collected to obtain an additional non-tumor cellular sample. ¹⁶+/- 2 months. ¹⁷Complete PE required at screening, not focused PE. ¹⁸LN biopsy is optional, and will be performed on consenting patients that have lymph nodes appropriate for baseline and repeat week 4 radiology-guided biopsies. ¹⁹The Cycle 1 Day 4 visit is optional if patient is not available.

CLINICAL STUDY PROTOCOL

Protocol Number: CA-ALT-803-02-14

Protocol Title: A phase 1/2 study of ALT-803 in patients with relapse/refractory indolent B cell non-Hodgkin lymphoma in conjunction with rituximab

Date of Protocol:

Version# 01	September 4, 2014
Version# 02	March 18, 2015
Version# 03	December 17, 2015
Version# 04	February 6, 2017

Sponsor Contact:

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CORPORATION

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INVESTIGATOR SIGNATURE PAGE

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By my signature below, I hereby attest that I have read, and that I understand and will abide by all the conditions, instructions, and restrictions contained in the attached protocol.

Additionally, I will not initiate this study without approval of the appropriate Institutional Review Board (IRB), and I understand that any changes in the protocol must be approved in writing by the sponsor, the IRB, and, in certain cases the FDA, before they can be implemented, except where necessary to eliminate hazards to subjects.

Principal Investigator's Signature

Date

Principal Investigator's Name (Print)

Table of Contents

SYNOPSIS	6
1. OBJECTIVES.....	13
1.1 PRIMARY OBJECTIVES	13
1.2 SECONDARY OBJECTIVES	13
2. BACKGROUND.....	13
2.1 ALT-803 – GENERAL INFORMATION.....	13
2.2 INDOLENT NON-HODGKIN LYMPHOMA (INHL)	14
2.3 IMMUNE-BASED THERAPIES FOR INHL	15
2.4 PHARMACOLOGICAL EFFECTS OF ALT-803 IN VITRO AND IN ANIMALS	16
2.4.1 Development of ALT-803 (IL-15N72D:IL-15RaSu/IgG1 Fc complex).....	16
2.4.2 In vitro biological activity of ALT-803 including ADCC enhancement.....	16
2.4.3 In vivo biological activity of ALT-803	19
2.4.4 Potent anti-tumor activity of ALT-803 in mouse models in vivo.....	20
2.5 NON-CLINICAL TOXICOLOGY	22
2.5.1 Multi-dose toxicity studies in mice.....	22
2.5.2 Multi-dose toxicity studies in cynomolgus monkeys.....	23
2.6 COMPARATIVE STUDIES OF INTRAVENOUS AND SUBCUTANEOUS ALT-803.....	25
2.7 PHARMACOKINETICS.....	26
2.7.1 Non-clinical pharmacokinetics	26
2.8 RATIONALE FOR HUMAN CLINICAL STARTING DOSE.....	26
2.9 HUMAN EXPERIENCE	26
3. RATIONALE FOR THE CURRENT STUDY	27
4. OVERALL STUDY DESIGN.....	28
5. STUDY POPULATION	30
5.1 INCLUSION CRITERIA.....	30
5.2 EXCLUSION CRITERIA.....	31
5.3 INCLUSION OF WOMEN AND MINORITIES.....	31
6. STUDY DESIGN	32
6.1 SCREENING AND ENROLLMENT	32
6.2 STUDY TREATMENT.....	32
6.2.1 Treatment setting	32
6.2.2 Treatment regimen and study scheme.....	32
6.2.3 Study treatment preparation	33
6.2.4 Study treatment administration.....	33
6.2.5 Pre and post-therapy intervention guidelines	34
6.3 DURATION OF PATIENT PARTICIPATION	35
6.4 DOSE ESCALATION PHASE	35
6.5 EXPANSION PHASE	37
6.6 STOPPING RULES	38
6.6.1 During dose escalation phase of the study.....	38
6.6.2 During expansion phase of the study.....	39
6.6.3 At any time during the study	39
6.7 PATIENT MONITORING, RESPONSE EVALUATION, DISEASE PROGRESSION & SURVIVAL FOLLOW-UP	39
6.7.1 Patient monitoring	39
6.7.2 Response evaluation.....	39
6.7.3 Disease progression and survival follow-up.....	40
6.8 DOSE LIMITING TOXICITY	40
6.8.1 Definition of dose limiting toxicity.....	40

6.8.2	Definition of maximum tolerated dose (MTD)	41
6.8.3	Definition of minimal efficacious dose (MED)	41
6.9	STUDY TREATMENT DISCONTINUATION	41
6.9.1	Study treatment discontinuation events	41
6.9.2	Replacement of participants	41
6.9.3	Follow-ups after treatment discontinuation	42
6.9.3.1.	Discontinuation due to SAEs or on-going study drug related AEs	42
6.9.3.2.	Discontinuation due to any other reasons	42
6.10	STUDY TREATMENT INTERRUPTION	42
6.10.1	Kidney dysfunction	42
6.10.2	Hematological dysfunction	42
6.10.3	Hypotension	42
6.10.4	Allergic reactions and cytokine release syndrome	43
6.10.5	Skin Rash in Association with Subcutaneous Administration of ALT-803	43
6.11	GENERAL SUPPORTIVE CARE GUIDELINES AND DRUG INTERACTION	43
6.11.1	ALT-803	43
6.11.1.1.	Hypotension and capillary leak syndrome	43
6.11.1.2.	Pulmonary dysfunction	44
6.11.1.3.	Impaired kidney and liver functions	44
6.11.1.4.	Infection	44
6.11.1.5.	Fever and chills	44
6.11.1.6.	Gastritis	44
6.11.1.7.	Diarrhea, nausea and vomiting	44
6.11.1.8.	Pruritus and dermatitis	44
6.11.1.9.	Acidosis	44
6.11.1.10.	Life-threatening toxicities	45
6.11.1.11.	Other supportive care	45
6.11.1.12.	Drug interaction	45
6.11.2	Rituximab	46
7.	STUDY DRUG: AVAILABILITY, ACCOUNTABILITY, PACKAGING & LABELING	46
7.1	ALT-803	46
7.1.1	Availability	46
7.1.2	Accountability	46
7.1.3	Packaging	46
7.1.4	Labeling	47
7.2	RITUXIMAB	47
8.	STUDY CALENDAR, CLINICAL PROCEDURES & TESTS	48
8.1	STUDY CALENDAR	48
8.2	PROCEDURES AND TESTS	51
8.2.1	Medical history & prior therapy	51
8.2.2	Pregnancy test	51
8.2.3	Physical examination, PS assessment, B symptom assessment	51
8.2.4	Vital signs, body weight & height	51
8.2.5	Cardiac assessment	51
8.2.6	Pulmonary function monitoring	51
8.2.7	Clinical blood tests	51
8.2.8	Disease assessment tests and procedures	52
8.2.9	Adverse event assessment	52
8.2.10	Response assessment	52
8.2.11	Disease progression and survival follow-up	52
8.2.12	Pharmacokinetic (PK) testing	52
8.2.13	Biomarker assays	53
8.2.14	Immunogenicity tests - detection of anti-ALT-803 antibodies	53
8.2.15	Assays for immune cell number, phenotype, and function	53

8.2.16	Fc receptor polymorphism testing.....	54
8.2.17	Evaluation of recurrent lymphoma mutations.....	54
8.2.18	Lymph node biopsy evaluation.....	54
9.	MEASUREMENT OF EFFECT	55
9.1	MEASURABLE DISEASE.....	55
9.2	METHODOLOGY OF RESPONSE EVALUATION	55
9.3	RESPONSE EVALUATION CRITERIA	55
9.4	DISEASE PROGRESSION EVALUATION CRITERIA.....	55
10.	STATISTICAL ANALYSIS	55
10.1	SAMPLE SIZE.....	55
10.2	DATA COLLECTION.....	57
10.3	DATA ANALYSIS	57
10.3.1	Analysis of safety.....	57
10.3.2	Analysis of response.....	57
10.3.3	Pharmacokinetics.....	57
11.	REGULATORY AND REPORTING REQUIREMENTS.....	59
11.1	ADVERSE EVENTS RECORDING, REPORTING AND COMMUNICATION.....	59
11.2	ADVERSE EVENT TERMINOLOGY AND DEFINITIONS	59
11.3	ADVERSE EVENT REPORTING PROCEDURES	60
11.4	ADVERSE EVENT EXPEDITED REPORTING GUIDELINES.....	61
11.5	SUBMISSION OF SERIOUS ADVERSE EVENT REPORTING.....	61
11.6	DATA REPORTING FORMS	61
11.7	REPORT /DATA SUBMISSION ADDRESS & CONTACT.....	62
11.8	PATIENT RECORDS, QUALITY ASSURANCE, RECORDS RETENTION	62
11.9	METHOD OF REVIEW	62
11.10	SPECIAL REGULATORY CONSIDERATIONS.....	63
11.10.1	HIPAA	63
11.10.2	Protocol amendments, informed consent, and IRB approval.....	63
12.	CONFIDENTIALITY	63
13.	ETHICAL STANDARDS & INVESTIGATOR OBLIGATIONS	63
14.	LIST OF EXPECTED ADVERSE EVENTS.....	64
15.	CTCAE.....	66
16.	REFERENCES	67
17.	APPENDIX A: ECOG	70
18.	APPENDIX B: NEW YORK HEART ASSOCIATION CLASSIFICATION	70
19.	APPENDIX C: INJECTION SITE REACTION SUBJECT DIARY	71
20.	APPENDIX D: ETHICAL STANDARDS	72
21.	APPENDIX E: INVESTIGATOR OBLIGATIONS	73
22.	APPENDIX F: CONTACT LIST - ALTOR.....	77
23.	APPENDIX G: CONTACT LIST – DATA SAFETY MONITORING BOARD (DSMB).....	78
24.	APPENDIX H: CONTACT LIST - LABORATORIES	78

SYNOPSIS

Sponsor: Altor BioScience Corporation

Protocol#: CA-ALT-803-02-14

Study Drug Name: ALT-803

Study Treatment

Active agents: ALT-803, a “recombinant human super agonist interleukin-15 (IL-15) complex” (AKA, IL-15N72D:IL-15R α Su/IgG1 Fc complex)

Study Type: Interventional

Study Phase: 1/2

Protocol Title: A phase 1/2 study of ALT-803 in patients with relapse/refractory indolent B cell non-Hodgkin lymphoma in conjunction with rituximab

Objectives: To evaluate the safety and tolerability of escalating doses, identify the Maximum Tolerated Dose level (MTD) or Minimum Efficacious Dose (MED) and designate a dose level for Phase 2 study (RP2D) of ALT-803 in combination with standard-of-care rituximab therapy in patients with relapsed or refractory (rel/ref) indolent B cell non-Hodgkin lymphoma (iNHL).

To estimate the anti-tumor activity of ALT-803 as measured by response rate, overall survival, progression free survival, time to response, duration of response, time to treatment failure, and time to subsequent treatment in patients with rel/ref iNHL.

To evaluate the effect of ALT-803 on the peripheral absolute lymphocyte counts (ALC) and white blood cell (WBC) counts, the number, phenotype and repertoire of peripheral blood T (total and subsets) and NK cells. In addition, a subset of patients will be evaluated for changes in lymph node immune composition.

To characterize the immunogenicity and pharmacokinetic profile of ALT-803, and assess the induced serum levels of chemokines and cytokines in rel/ref iNHL patients.

To correlate clinical outcomes with *fcgr3a* polymorphisms and recurrent genomic mutations in rel/ref iNHL patients.

Study Design: This is a Phase 1/2, open-label, multi-center, competitive enrollment and dose-escalation study of ALT-803 in patients with rel/ref iNHL in conjunction with rituximab.

The study includes a dose escalation phase to determine the MTD or MED using a 3+3 dose escalation design and to designate a dose level for the Phase 2 expansion (RP2D) of ALT-803 in combination with rituximab and an expansion phase at the ALT-803 RP2D level using a Simon two-stage design. In Phase 1, seven cohorts will be evaluated. A step-down dose level (level -1) will be provided in the event of encountering DLT in two patients at the planned initial dose level.

The study will be conducted in conformity with Good Clinical Practice (GCP).

Treatments:

The study treatment plan for each enrolled patient includes one 4-week induction treatment cycle. During induction for cohort 1, 2 and 3, patients will receive up to four weekly doses of ALT-803 and rituximab (375 mg/m²) by intravenous injection (IV). During induction for cohort 4, 5, 6 and 7, patients will receive four weekly doses of ALT-803 by subcutaneous (SubQ) injection and rituximab (375 mg/m²) by IV. For the first dose of treatment in cohorts 1, 2, 3, and 4, patients will receive rituximab on day 1 followed by ALT-803 on day 2. For all other treatment days and for all treatment visits in cohort 5, 6 and 7, patients will receive ALT-803 and rituximab on the same day. Eligible patients will receive the consolidation treatment. Consolidation consists of treatment with ALT-803 at the same dose level and route of administration used in the induction plus rituximab (375 mg/m²) every 8 weeks (1 cycle = 8 weeks), for a total of 4 consolidation cycles.

Treated patients will have at least two response evaluation visits. Patients who receive at least two study drug doses during the induction treatment period will be evaluated for disease response during week 11. Patients who have at least stable disease from the first anti-tumor evaluation and who do not experience or have sufficiently recovered from toxicities of the induction treatment cycle and who meet other criteria to continue study treatment will receive up to four consolidation treatment cycles, with a single treatment of ALT-803 plus rituximab, repeated every 8 weeks for a total of 4 additional ALT-803 plus rituximab doses. The ALT-803 dose level and route of administration utilized in the induction cycle will be continued in consolidation, with reassessment for continued tumor response performed upon completion at week 40.

The study treatment and response evaluation visits for cohorts 5, 6, and 7 are illustrated below (refer to study calendar for all study visits):

Treatment Phase	Induction				REST	Response Evaluation	Consolidation				Response Evaluation
Treatment Week	1	2	3	4	5-10	11	12	20	28	36	40*
Treatment Day	1	8	15	22	29-70	71-77	78	134	190	246	274-280
ALT-803	1	2	3	4	Rest		5	6	7	8	
rituximab	1	2	3	4			5	6	7	8	
Consolidation Cycle							1	2	3	4	
Response Evaluation						X					X

*Long term follow-up after 40 weeks includes restaging every 6 months for 2 years, and then every 12 months for 5 years (until progression).

Patients will be assessed for response using the 2007 IHP criteria¹ with progression assessment modifications to incorporate Indeterminate Response (IR) criteria². Patients will be followed for progression, and at the time of progression there are no restrictions on further therapies.

Enrolled patients will receive the study treatment at qualified cancer treatment centers with adequate diagnostic and treatment facilities to provide appropriate management of therapy and complications. ALT-803 will be administered by intravenous infusion for cohort 1, 2 and 3 into a central or peripheral vein under the supervision of a qualified physician experienced in the use of biologic anti-cancer agents. ALT-803 will be administered by subcutaneous injection for cohort 4, 5, 6

and 7 under the supervision of a qualified physician experienced in the use of biologic anti-cancer agents. Rituximab will be administered as described in the product package insert provided by the manufacturer.

Dose Escalation

Phase:

A 3 + 3 design will be used for identifying a tolerable dose of ALT-803 for Phase 2 studies by monitoring patients for DLTs to determine the MTD and for identifying an efficacious dose by monitoring patients' ALC and WBC count to determine the MED during the DLT observation period. The dose escalation phase is concluded when either the MTD or the MED is determined. An ALT-803 dose level (RP2D) will then be designated for Phase 2 study. There are seven cohorts of ALT-803 and a step-down cohort (-1) with a lower dose level of ALT-803 in the event that unexpected toxicity is encountered at the initial dose level.

Below are the planned dose levels and respective route of administration for the study drug during the dose escalation phase of the study.

Cohort	ALT-803 Dose (µg/kg)	Route	Number of patients
-1	0.5	IV	3 to 6
1 (initial)	1	IV	3 to 6
2	3	IV	3 to 6
3	6	IV	3 to 6
4	6	SubQ	3 to 6
5	10	SubQ	3 to 6
6	15	SubQ	3 to 6
7	20	SubQ	3 to 6

Dose limiting toxicity (DLT) is defined as follows: any toxicity that is not clearly unrelated to drug administration that is of Grade 3 and does not resolve to Grade 1 or lower (or to Baseline or lower, if a patient enters the study with a toxicity that is Grade 2 or higher) within a week despite the use of medical intervention or that is of Grade 4, with exceptions described in the study protocol.

The DLT Observation Period is defined as the duration of the induction treatment, days 1-28.

Maximum Tolerated Dose level (MTD) is defined as a dose level at which <2 out of 6 patients experienced DLT and that is one level below a dose that was not tolerated or the maximum planned dose level if designated by the study committee.

Minimal Efficacious Dose (MED) is defined as a dose level which produces an ALC $\geq 25,000/\mu\text{L}$ sustained for 14 days or a total WBC $\geq 35,000/\mu\text{L}$ sustained for 14 days among 2/3 or 4/6 of patients. For safety, a dose level is also defined as "exceeding MED" with the occurrence of ALC $\geq 50,000/\mu\text{L}$ or WBC $\geq 60,000/\mu\text{L}$ sustained for 14 days. If patients have circulating malignant lymphocytes in the peripheral blood,

these lymphoma cells will be excluded from the WBC and ALC calculations for MED.

**Expansion
Phase**

Two expansion arms will be used to investigate indolent NHL patients with different expectations regarding response to single agent anti-CD20 mAB: anti-CD20 mAB-refractory (CD20-R) and anti-CD20 mAB-sensitive (CD20-S). For each arm, a two-stage expansion phase at the MTD or the MED level will be conducted using an optimal Simon's two-stage design. The best objective overall response rate (ORR) is defined as complete response (CR) + partial response (PR) assessed at the week 11 or 40 response assessment, or during the 2 year follow-up period. For CD20-R patients, a lack of efficacy for ORR of 10% will be used, with an $ORR \geq 35\%$ constituting a clinically interesting result. For CD20-S patients, a lack of efficacy for ORR of 40% will be used, with a clinically interesting $ORR \geq 60\%$. Each expansion arm will be analyzed independently for preliminary efficacy.

Stopping Rules:

Patient enrollment will be temporarily suspended based on occurrence of any of the following events, and the study committee, including the sponsor, the Data Safety Monitoring Board and principal investigators will meet to discuss how to proceed with future patient enrollment in the study.

During the dose escalation phase of the study,

- If the maximum planned dose level has been reached, but neither the MTD nor MED can be determined.
- If de-escalation occurs and the step-down dose level cannot be designated as the MTD or MED.

Any time during the expansion phase of the study,

- More than 33% of patients experience a possible, probable or definite study drug related DLT.
- Favorable anti-tumor response data collected from enrolled patients.

At any time during the study, the study committee may meet to discuss how to proceed with the study and may make any or all of the following recommendations for further patient enrollment:

- Downward adjust the study drug dose.
- Adjust the study drug dosing schedule.
- Recommend more effective pre-therapy, intra-therapy and post-therapy side effect mitigation interventions.
- Correct protocol technical errors that caused unnecessary dose omissions or premature treatment discontinuations. After correction of protocol errors, the DSMB may meet to re-evaluate the safety profile of the study treatment and recommend how to proceed with the study, if necessary.

Evaluations:

Patients will be evaluated for clinical toxicities during the treatment. The disease response will be evaluated at weeks 11 and 40 from the start of study treatment, and

every 6 months for 2 years thereafter (starting from Month-18). After this two year period the institutional standards for disease assessment will be followed, with at least annual disease assessments, for up to 5 years. Prior to and during the treatment period, patients' blood and serum samples will be collected to assess the pharmacokinetic profile and immunogenicity of the study drug, as well as for immunomodulation, and *fcgr3a* polymorphisms. Disease containing biopsies and an oral sample will be used for recurrent lymphoma gene mutation analysis. All patients who receive at least 2 doses of the study drug ALT-803 will be included in the anti-tumor response evaluation.

Population: Patients of 18 years of age and above with relapsed or refractory CD20⁺ indolent NHL (follicular lymphoma (FL), marginal zone lymphoma (MZL), small lymphocytic lymphoma (SLL), and lymphoplasmacytic lymphoma (LPL)). Anti-CD20 mAb-refractory (CD20-R) patients are defined as those that progress on Anti-CD20 mAb therapy or within 6 months of their last dose of Anti-CD20 mAb. For CD20-R patients, a biopsy to confirm CD20 expression is required. Patients also need to have adequate cardiac, pulmonary, liver and kidney functions and have an Eastern Cooperative Oncology Group (ECOG) performance status of 0, 1 or 2.

Sample Size: A total of up to 42 assessable patients will be accrued to the dose escalation phase of the study (Phase 1). Anticipated enrollment to this phase is 24 patients. For the CD20-S patient arm, a total of 16 patients will be enrolled at the MTD/MED dose in the first stage and 30 patients in the second stage of a 2-stage Phase 2 cohort (total for CD20-S expansion cohort 46). For the CD20-R, a total of 8 patients will be enrolled in the first stage and an additional 14 patients in the second stage of a 2-stage Phase 2 study (total for CD20-R expansion cohort 22). Thus, enrollment of evaluable patients on the Phase 1 portion, and the first stage of both expansion cohorts (including 6 patients of the MTD/MED cohort) is expected to be 42 patients, with the maximum number of 60 patients. Assuming a 5% frequency of non-evaluable patients, the phase 1 and the first stage of both expansion cohorts is estimated at 45 patients.

Primary Endpoints

For Phase 1 only (1) Determination of the MTD or MED of ALT-803 and designation of the recommended dose level (RP2D) for Phase 2 study of ALT-803 in conjunction with rituximab in patients with rel/ref iNHL.

For Phase 1 & 2 (2) Safety profile of ALT-803 plus rituximab in treated patients.
(3) Overall response rate (CR+PR) of treated patients.

Secondary Endpoints

- (1) Evaluate overall survival, progression free survival, time to response, duration of response, time to treatment failure, and time to subsequent treatment.
- (2) Evaluation of the effect of ALT-803 on the peripheral ALC and WBC counts, the number, phenotype and repertoire of peripheral blood NK cells and T (total and subsets), and NK cell function. In addition, a subset of patients will be evaluated for changes in lymph node immune composition.

- (3) Characterization of the immunogenicity and pharmacokinetic profile of ALT-803, and assess the serum levels of chemokines and cytokines in treated patients.
- (4) Correlation of *fcgr3a* polymorphism status and recurrent lymphoma mutations with clinical outcomes of the study.

**Pharmacokinetics
& Biomarkers:**

Fresh blood samples will be collected to assess immune cell number, phenotype, repertoire and function prior to and during the study treatment. Serum samples will be collected for pharmacokinetics (PK) and immunogenicity of the study drug ALT-803. The same serum samples collected for PK analysis will be used to assess the serum levels including but not limited to IL-2, IL-4, IL-6, IL-10, IFN- γ , MCP-1 and TNF- α . Non-compartmental and compartmental PK analyses will be conducted. Baseline peripheral blood will be used for *fcgr3a* polymorphism testing, and a baseline tumor sample and oral sample will be used for lymphoma mutation analysis using next-generation sequencing. Lymph node biopsies will be performed to determine the impact of study treatment on the immune cell composition within the tumor microenvironment.

Monitoring Tests: Blood samples for standard chemistry and CBC with differential will be obtained at screening, on each study treatment day, and at response evaluation visits. Blood samples for immunogenicity testing of anti-ALT-803 antibodies will be collected prior to dosing on the first and fourth ALT-803 treatment visit, and at the response evaluation visit during week 11.

**Response
Assessment:**

There are at least two response assessments for treated patients: the first assessment during week 11 (following induction) and the second assessment during week 40 (following consolidation) from the start of study treatment. After completion of the induction cycle of study treatment, patients who have received at least 2 doses of ALT-803 will have the first response assessment. After completion of four additional consolidation study treatments patients will have a second response assessment. If patients are unable to continue study therapy for all 4 consolidation cycles due to an adverse event, disease assessments will be performed at the time of going off study. In non-progressing patients, after completion of consolidation, disease assessments will be performed every 6 months for 2 years (starting at Month-18), and then per institutional guidelines, at least annually, for up to 5 years. If a focused physical examination or patient symptoms raise the concern for progression, a complete response assessment should be performed at that time. Response assessments will be carried out according to the 2007 IHP criteria for response assessment of lymphoma¹ with progression assessment modifications to incorporate Indeterminate Response (IR) criteria². Baseline evaluations (except for baseline imaging and bone marrow biopsy) should be performed up to 28 days before study treatment start unless otherwise specified in the protocol.

**Progression &
Survival
Assessment:**

Progression-free survival, overall survival, and duration of response of all treated patients will be assessed at least every three months during years 1 and 2, every 4

months during year 3, and then every 6 months (+/- 2 months) during years 4 and 5 from the start of study treatment, or through the point designated as the end of the study follow up (5 years).

Adverse Events: All patients will be monitored and evaluated for clinical toxicities during the treatment period and queried at each follow-up visit for Adverse Events (AEs). Patients may volunteer information concerning AEs. All adverse events will be graded by using the NCI Common Terminology Criteria for Adverse Events version 4.0 (CTCAE v4.0), and logged in the patient Case Report Form. The study centers should report all Serious Adverse Events (SAEs) and all events that trigger patient's study treatment discontinuation to the sponsor via phone, fax or email (or a combination) no more than 24 hours after learning of the event. The sponsor will use the information to manage and coordinate the dose escalation, cohort expansion and patient enrollment. The sponsor will then inform all of the participating clinical sites of the current dose level and the number of patients to be enrolled at that level, or of any patient enrollment suspension via phone, fax or email within 24 hours of learning of the event. The study centers should report all other adverse events to the sponsor following the guidelines defined in the study protocol. All study drug related AEs that are both serious and unexpected will be reported to the FDA in an expedited manner in accordance with 21 CFR §312.32.

Statistical Plan: For each cohort, all AEs will be tabulated and examined and all safety, pharmacokinetic, biomarker and tumor response data will be evaluated. For estimation of duration of response and progression free survival, the Kaplan-Meier method will be used. *P*-values of ≤ 0.05 (two-sided) will be considered to indicate statistical significance.

8. STUDY CALENDAR, CLINICAL PROCEDURES & TESTS

8.1 Study calendar

*Note: Refer to the next page for all footers that correlate with this table.

TESTS & PROCEDURES	SCREEN/ BASELINE ¹	INDUCTION								REST	RESPONSE EVALUATION	CONSOLIDATION						RESPONSE EVALUATION	DISEASE ASSESSMENT & FOLLOW-UPS												
Study Month		1								2-3	3	3-9						10	12	15	18	21	24	28	32	36	42	48	54	60	
Study Week		1		2	3	4			5-10	11	12		20	28	36	40															
Study Day		1	2	5	8	15	22	23	26	29-70	71-77	78	79	82	134	190	246	274-280													
Tolerance Window		+/- 2 days									+/- 7 days	+/- 7 days						+/- 7 days	+/- 2 weeks												
Medical history	X									R E S T P E R I O D																					
Serum pregnancy test ²	X																														
Complete physical exam (PE)	X																														
Focused PE, ECOG PS, B symptom assessment		X ²⁴										X			X	X	X														
Vital signs, Weight, Height ³ , Cardiac & Lung function monitoring	X	X			X	X	X				X	X			X	X	X	X													
Concurrent medication	X	X			X	X	X				X	X			X	X	X	X													
Adverse event assessment ^{4, 22}	X	X			X	X	X				X	X			X	X	X	X													
Injection Site Reaction Subject Diary ²⁵		X			X	X	X					X			X	X	X														
CBC with Differential ⁵	X	X	X	X ¹⁹	X	X	X	X	X ²⁰		X	X	X	X ²¹	X	X	X	X													
Blood Chemistry with LDH ⁵ , B2M ²³	X	X			X	X	X				X	X			X	X	X	X													
EKG	X																														
PFT only when clinically indicated	X																														
Response assessment ⁶										P E R I O D	X							X			X		X			X		X		X	
Contrast CT of NCAP or PET-CT	X										X									X		X		X							
Bone marrow biopsy ⁷	X										X																				
Focused PE, ECOG PS, B symptom & AE	X ¹⁷										X									X		X		X							
Disease and survival follow-up/post therapies ⁸																			X	X	X	X	X	X	X	X	X ¹⁶	X ¹⁶	X ¹⁶	X ¹⁶	
Lymph node biopsy ^{18, 26}	X								X ²⁰	O D																					
Immune cell number, phenotype & function ^{9, 14, 26}		X ¹⁰	X	X ¹⁹	X ¹⁰	X ¹⁰	X ¹⁰	X	X ²⁰			X ¹¹	X	X ²¹																	
Polymorphism (SNP) testing ^{14, 26}		X ¹⁰																													
PK, IL-2, IL-4, IL-6, IL-10, IFN-γ, MCP-1, TNF-α ^{12, 14, 26}		X ¹²	X	X ¹⁹	X ¹⁰																										
Immunogenicity tests ^{13, 14, 26}		X ¹³					X ¹⁰				X																				
Recurrent mutation evaluation ^{15, 26}		X ¹⁰																													
Rituximab		r1			r2	r3	r4					r5			r6	r7	r8														
Study drug (ALT-803)		a1			a2	a3	a4					a5			a6	a7	a8														