

## GlobelImmune Inc

### CORTELLIS COMPANY DETAILED PIPELINE REPORT

A comprehensive coverage of the the company's drug pipeline portfolio including detailed product records.

Publication Date: 04-Apr-2015

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# ABOUT CORTELLIS COMPANY DETAILED PIPELINE REPORT

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## GLOSSARY

### Number of Drugs in Active Development

Number of drugs associated with the company or subsidiary that are currently in active development, i.e. the development status for the drug(s) is one of the following: Discovery, Clinical, Phase I, Phase II, Phase III, Pre-registration, Registered, Launched, or Suspended.

### Number of Inactive Drugs

Number of drugs associated with the company or subsidiary that are currently classified as inactive, i.e. where the development status for the drug(s) is one of the following: No Development Reported, Discontinued, or Withdrawn.

### Number of Patents as Owner

Number of patents associated with the company where the company is listed as owner; i.e. the relationship type (or way the patent refers to the company) is: Patent Assignee/Owner, Patent owner (not assignee), Licensee for development and marketing, Licensee – marketing only (Distributor), Patent assignee of family member, Inferred assignee.

### Number of Patents as Third Party

Number of patents associated with the company where the company is listed as third party; i.e. the relationship type (or way the patent refers to the company) is: Patent assignee (not owner), Ex-Licensee for development and marketing, Ex-Licensee marketing only (Distributor), Customer of technology, Ex-Customer of technology, Patent opponent or infringer, Affiliate organization of inventor, Owner of underlying technology.

### Patents summary table

This table represents a summary of the core patent coverage for this company covering Therapeutic EP, US and WO patents since 1990 only.

### Number of Deals

A count of deals where the company or one of its subsidiaries is the primary company.

### Key Indications

Displays top ten key indications for the company and its subsidiaries based on frequency (indications occurring with high and identical frequency are always included, and this may result in more than ten Key Indications being listed). Includes both indications associated with patents where the company is patent owner and indications associated with drugs in active development. A drug is classified as 'active' if it features on a row (or rows) in the current development status table where the status is one of the following: Discovery, Clinical, Phase I, Phase II, Phase III, Pre-registration, Registered, Launched, or Suspended.

### Key Target-based Actions

Displays top ten key target-based actions for the company and its subsidiaries based on frequency (actions occurring with high and identical frequency are always included, and this may result in more than ten Key Target-based Actions being listed). Includes both target-based actions associated with patents where the company patent owner and target-based actions associated with drugs in active development. A drug is classified as 'active' if it features on a row (or rows) in the current development status table where the status is one of the following: Discovery, Clinical, Phase I, Phase II, Phase III, Pre-registration, Registered, Launched, or Suspended. A target-based action is one that is associated with a target.

### Key Technologies

Displays top ten key technologies for the company and its subsidiaries based on frequency (technologies occurring with high and identical frequency are always included, and this may result in more than ten Key Technologies being listed). Includes both key technologies associated with patents where the company relationship is patent owner and key technologies associated with drugs in active development. A drug is classified as 'active' if it features on a row (or rows) in the current development status table where the status is one of the following: Discovery, Clinical, Phase I, Phase II, Phase III, Pre-registration, Registered, Launched, or Suspended.

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# GlobelImmune Inc

## COMPANY OVERVIEW

Company Name	GlobelImmune Inc
Parent Company Name	GlobelImmune Inc
Website	<a href="http://www.globeimmune.com/">http://www.globeimmune.com/</a>
Country	US
Number of Drugs in Active Development	6
Number of Inactive Drugs	12
Number of Patents as Owner	20
Number of Patents as Third Party	2
Number of Deals	9
Key Indications	Breast tumor,Chordoma,HIV infection,Hepatitis D virus infection,Mycobacterium tuberculosis infection,Non-small-cell lung cancer,Pancreas tumor,Colorectal tumor,Medullary thyroid cancer,Hepatitis B
Key Target-based Actions	Hepatitis C virus NS3 protease modulator,Mucin 1 stimulator,CD66e modulator,Brachyury protein modulator,CD95 agonist,Epidermal growth factor receptor modulator,HIV GAG protein modulator,PARP inhibitor,Protease inhibitor,Ras GTPase modulator,SETX gene modulator
Key Technologies	Yeast recombinant,Biological therapeutic,Antigen presentation system,Parenteral formulation unspecified,Tumor antigen therapeutic,Subcutaneous formulation,Small molecule therapeutic,Protein fusion,Viral core protein,Antigen,Drug combination,Peptide,Tumor antigen

## COMPANY PROFILE

### SUMMARY

GlobelImmune Inc is a biopharmaceutical company which is engaged in the discovery, development and manufacturing of potent, targeted molecular immunotherapies, named Tarmogens, for the treatment of cancer and infectious diseases. Tarmogens are whole, heat-killed recombinant *Saccharomyces cerevisiae* yeast which has been genetically modified to express protein targets. They taken up by antigen presenting cells, and stimulate a cytotoxic T lymphocytes against cells expressing the desired target.

### COMPANY LOCATION

In December 2005, GlobelImmune relocated its headquarters to Louisville, CO.

### TECHNOLOGY INFORMATION

Tarmogens are whole, heat-killed, recombinant *Saccharomyces cerevisiae* engineered to produce one or more target disease proteins or antigens that stimulate the immune system against diseased cells.

### LICENSING AGREEMENTS

In May 2009, GlobelImmune granted exclusive license to all their oncology programs, including GI-4000 immunotherapies, to Celgene, for which GlobelImmune will receive a \$40 million upfront payment from Celgene. GlobelImmune will conduct the early development of the product candidates through certain pre-defined endpoints. Celgene will have the option to obtain an exclusive worldwide license to develop and commercialize these immunotherapy product candidates. GlobelImmune is eligible to receive over \$500 million in development and regulatory milestones, double-digit royalties and additional milestone payments based on net sales of the licensed product candidates.

In July 2008, GlobelImmune and the National Cancer Institute (NCI) at the National Institutes of Health (NIH) signed a CRADA to jointly develop Tarmogen based immunotherapy products for cancer. GlobelImmune would use its Tarmogen technology to develop the products which would express cancer antigens provided by the NIH. The NIH would conduct and fund preclinical and early clinical development of the product candidates. CEA (carcinoembryonic antigen) was the

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first cancer antigen to be evaluated in this collaboration.

In January 2005, GlobelImmune and MycoLogics Inc signed a non-exclusive research license and option agreement. MycoLogics was to undertake proof-of-concept preclinical tests of vaccines targeting aspergillosis, coccidioidmycosis, cryptococcosis leishmaniasis, discovered using GlobelImmune's Tarmogen technology. The research was supported by NIH SBIR and STTR awards.

## FINANCIAL

In July 2014, the company planned to conduct an IPO of 1.5 million shares priced at \$10 each for gross proceeds of \$15 million. Underwriters would be granted a 45-day overallotment option to purchase up to 225,000 additional shares. The stock was approved to be listed on the NASDAQ Capital Market and trading of shares began under the ticker symbol 'GBIM'. At that time, the offering was expected to close on July 08, 2014. Later that month, the company raised gross proceeds of \$17.25 million from the offering of 1.725 million shares.

In July 2012, the company filed a common stock IPO registration statement with the US Security and Exchange Commission. At that time, the company also filed for its common stock to be listed on the NASDAQ Global Market under the symbol "GBIM".

In January 2010, GlobelImmune raised \$17.5 million from a series E preferred stock financing round.

In September 2007, GlobelImmune closed a \$41.2 million series C preferred stock financing round.

In January 2006, GlobelImmune completed a second closing of its series B preferred stock financing, raising a further \$4.1 million in addition to the previous \$34.3 million. The Company would use the funds to finish a phase II trial of GI-4000 for pancreatic cancer, and a phase Ib trial of GI-5005 for chronic hepatitis C infection.

In June 2003, GlobelImmune closed a series A preferred venture financing round. The round provided for up to \$8 million in two tranches, with closure of the second tranche dependent on achievement of certain milestones.

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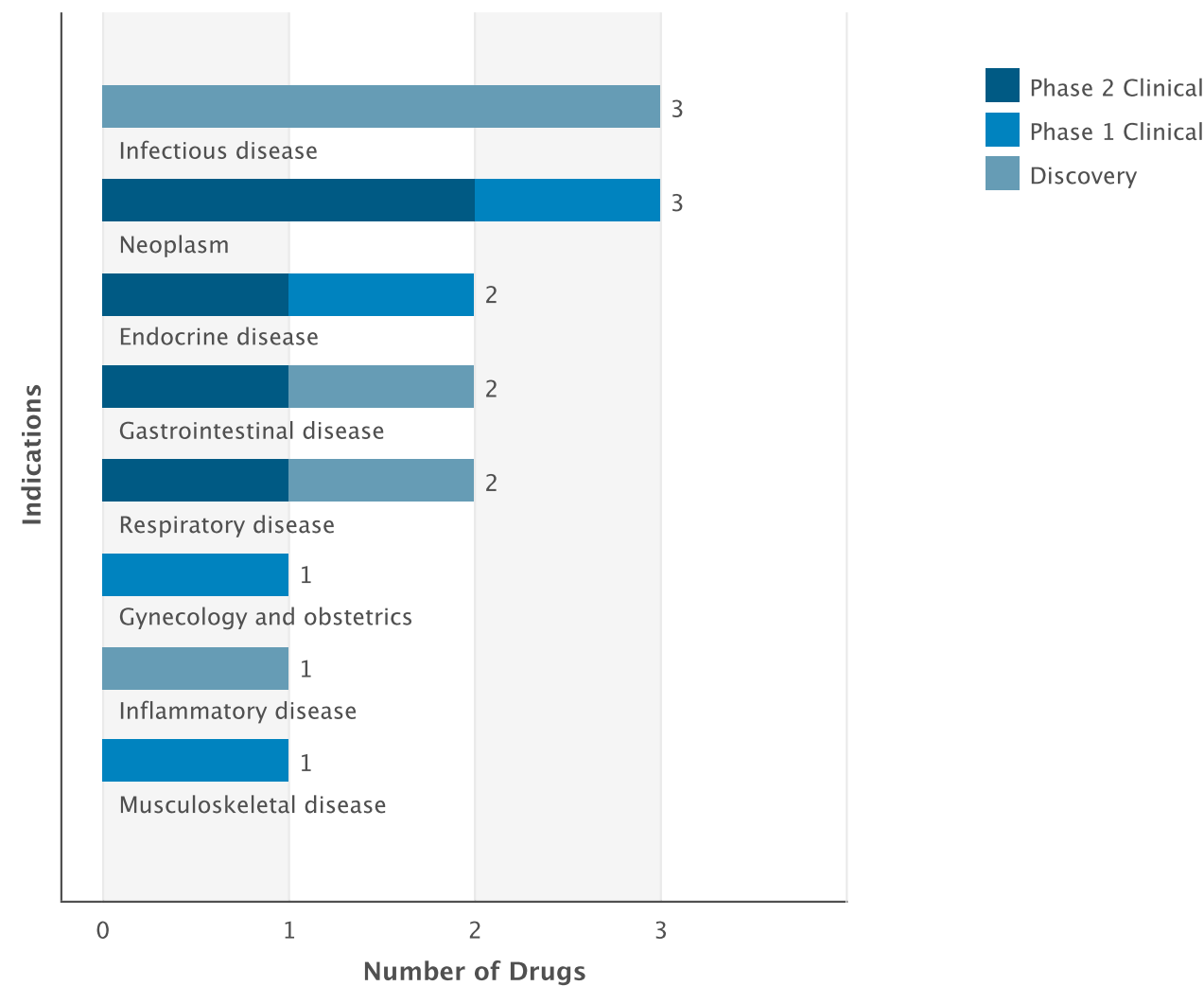


# PRODUCT PORTFOLIO SUMMARY

## DRUGS

### Drugs by Indication

Active Drugs by Indication Chart



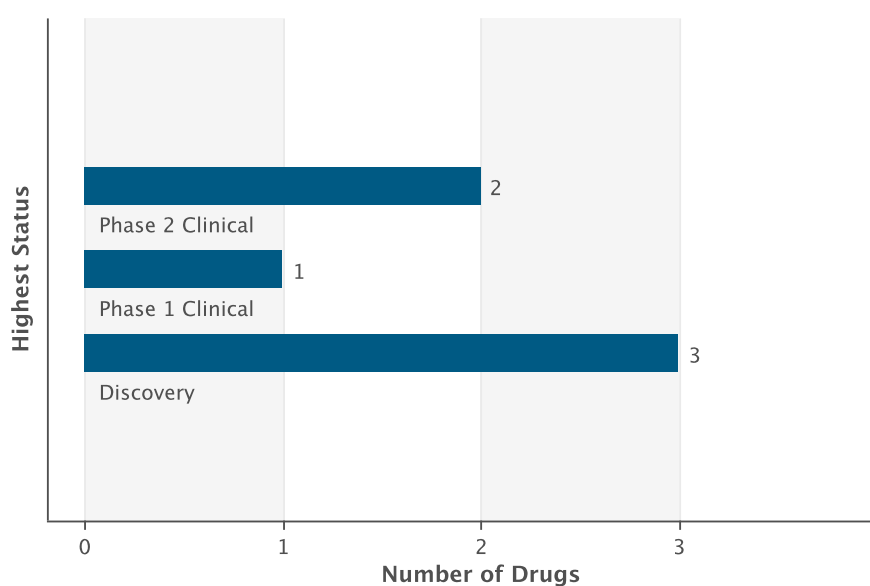
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## Drugs by Indication Table

Indication	Active	Inactive	Total
Neoplasm	3	6	9
Infectious disease	3	6	9
Gastrointestinal disease	2	2	4
Respiratory disease	2	2	4
Inflammatory disease	1	2	3
Endocrine disease	2	1	3
Dermatological disease	0	2	2
Gynecology and obstetrics	1	1	2
Immune disorder	0	2	2
Nutritional disorder	0	1	1
Musculoskeletal disease	1	0	1
Hematological disease	0	1	1
Neurological disease	0	1	1

## Drugs by Highest Status

### Active Drugs by Highest Status Chart



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## Drugs by Highest Status Table

Development Status	Number of Drugs
Phase 2 Clinical	2
Phase 1 Clinical	1
Discovery	3
Discontinued	1
No Development Reported	11

## DEALS

Deal Type	Principal		Partner		Total
	Active	Inactive	Active	Inactive	
Drug - Discovery/Design	1	0	0	0	1
Drug - Funding	3	0	0	0	3
Drug - CRADA	1	0	0	0	1
Drug - Early Research/Development	0	0	1	0	1
Drug - Development/Commercialization License	1	0	0	0	1
Drug - Development Services	1	0	1	0	2

## CLINICAL TRIALS

### Trials by Condition Studied

Condition Studied	Ongoing	All
Neoplasm	3	7
Gastrointestinal disease	0	5
Respiratory disease	0	2
Inflammatory disease	0	2
Infectious disease	0	2
Endocrine disease	1	1
Musculoskeletal disease	1	1

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## Trials by Phase

Phase	Ongoing	All
Phase 2	2	6
Phase 1	1	3

### Phase Definitions

#### Phase 3 Clinical

Includes Phase 3, Phase 3b, Phase 3a, Phase 2/3 (where enrolment count is 300 or over)

#### Phase 2 Clinical

Includes Phase 2, Phase 2a, Phase 2b, Phase 1/2 (where enrolment count is 100 or over), Phase 2/3 (where enrolment count is under 300 or not specified)

#### Phase 1 Clinical

Includes Phase 1, Phase 1a, Phase 1, Phase 1/2 (where enrolment count is under 100 or not specified), Phase 0

## PATENTS \*

Indication	As Owner	As Third Party	Total
Cardiovascular disease	0	1	1
Endocrine disease	3	0	3
Gastrointestinal disease	7	0	7
Genitourinary disease	2	0	2
Hematological disease	0	1	1
Degeneration	1	0	1
Andrology	1	0	1
Immune disorder	1	1	2
Musculoskeletal disease	1	0	1
Neoplasm	11	0	11
Ocular disease	0	1	1
Neurological disease	2	1	3
Nutritional disorder	1	0	1
Prophylaxis	1	0	1
Respiratory disease	5	0	5
Infectious disease	15	1	16
Inflammatory disease	7	1	8

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Gynecology and obstetrics	2	0	2
Dermatological disease	1	0	1

\* This table represents a summary of the core patent coverage for this company covering Therapeutic EP, US and WO patents since 1990 only.

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## PRODUCT PORTFOLIO DRUG PIPELINE DETAIL

**PLEASE NOTE:** Highest status refers to highest development of that drug for one of the active companies

### GI-4000

#### GI-4000 SNAPSHOT

Drug Name	GI-4000
Key Synonyms	
Originator Company	GlobelImmune Inc
Active Companies	GlobelImmune Inc
Inactive Companies	
Highest Status	Phase 2 Clinical
Active Indications	Non-small-cell lung cancer;Pancreas tumor;Colorectal tumor
Target-based Actions	Ras GTPase modulator
Other Actions	Therapeutic vaccine;Anticancer;Recombinant fungal vector vaccine
Technologies	Tumor antigen therapeutic;Biological therapeutic;Subcutaneous formulation;Yeast recombinant;Antigen presentation system
Last Change Date	09-Apr-2014

#### GI-4000 DEVELOPMENT PROFILE

##### SUMMARY

GlobelImmune (formerly CERES) is developing GI-4000, the lead from a Tarmogen vaccine program based on inactivated *Saccharomyces cerevisiae* that deliver four antigens correlating to seven tumor-associated mutations in the Ras protein, for the potential sc treatment of cancer, including pancreatic cancer, non-small-cell lung cancer (NSCLC), colorectal cancer,. In June 2006, the company began a phase II trial of GI-4000 for pancreatic cancer ; by November 2013, the study had been completed. In September 2007, two additional phase II trials were planned ; in March 2008, a phase IIa NSCLC trial began ; by November 2013, data had been reported. By April 2009, the vaccine was in phase II trials for colorectal cancer ; in October 2011, a phase II trial in combination with bevacizumab was initiated in patients with colorectal cancer and was expected to be completed in October 2014; by June 2013, the trial was ongoing. In October 2007, the company was seeking to outlicense GI-4000. In May 2009, an exclusive license option to all GlobelImmune's oncology programs, including GI-4000, was granted to Celgene.

The company was previously investigating GI-4014, GI-4015, and GI-4016 from the same series; however, no further development was reported.

#### GI-4000 DEVELOPMENT STATUS

##### CURRENT DEVELOPMENT STATUS

Company	Indication	Country	Development Status	Date
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Company	Indication	Country	Development Status	Date
Globelmmune Inc	Colorectal tumor	US	Phase 2 Clinical	16-Apr-2009
Globelmmune Inc	Non-small-cell lung cancer	US	Phase 2 Clinical	19-Mar-2008
Globelmmune Inc	Pancreas tumor	India	Phase 2 Clinical	09-Jun-2006
Globelmmune Inc	Pancreas tumor	US	Phase 2 Clinical	08-Jun-2006

## GI-4000 DRUG NAMES

Names	Type
GI-4016	Research Code
CERES-Vax vaccine delivery system (cancer)	
GI-4015	Research Code
GI-4000 series (anticancer vaccine), Globelmmune	
GI-4000	Research Code
GI-4014	Research Code
vaccine delivery system (cancer), Globelmmune	
GI-4000 series (Ras), Globelmmune	
GI-4000 series (anticancer vaccine, Tarmogen), Globelmmune	

## GI-4000 CLINICAL TRIALS

### Trials by Phase and Condition Studied

Phase 4 Clinical		Phase 3 Clinical		Phase 2 Clinical		Phase 1 Clinical		Phase Unspecified		Total	
On-going	All	On-going	All	On-going	All	On-going	All	On-going	All	On-going	All
Pancreas tumor											
0	0	0	0	0	1	0	2	0	0	0	3
Non-small-cell lung cancer											
0	0	0	0	0	1	0	1	0	0	0	2
Colorectal tumor											
0	0	0	0	0	0	0	1	0	0	0	1

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Metastatic colorectal cancer											
0	0	0	0	0	1	0	0	0	0	0	1

Total Trials by Phase and Status

Phase 4 Clinical		Phase 3 Clinical		Phase 2 Clinical		Phase 1 Clinical		Phase Unspecified		Total	
On-going	All	On-going	All	On-going	All	On-going	All	On-going	All	On-going	All
Total by Phase and Status											
0	0	0	0	0	3	0	2	0	0	0	5

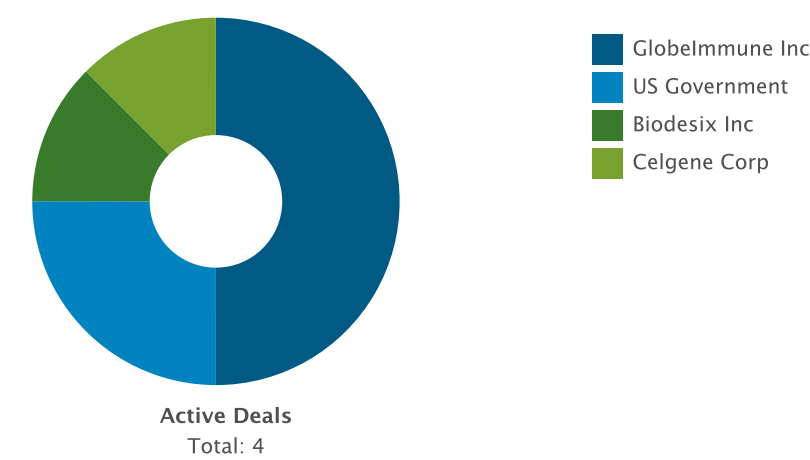
Phase Definitions

- Phase 3 Clinical**  
Includes Phase 3, Phase 3b, Phase 3a, Phase 2/3 (where enrolment count is 300 or over)
- Phase 2 Clinical**  
Includes Phase 2, Phase 2a, Phase 2b, Phase 1/2 (where enrolment count is 100 or over), Phase 2/3 (where enrolment count is under 300 or not specified)
- Phase 1 Clinical**  
Includes Phase 1, Phase 1a, Phase 1, Phase 1/2 (where enrolment count is under 100 or not specified), Phase 0

GI-4000 DEALS AND PATENTS

DEALS

Deals by Parent Company Chart

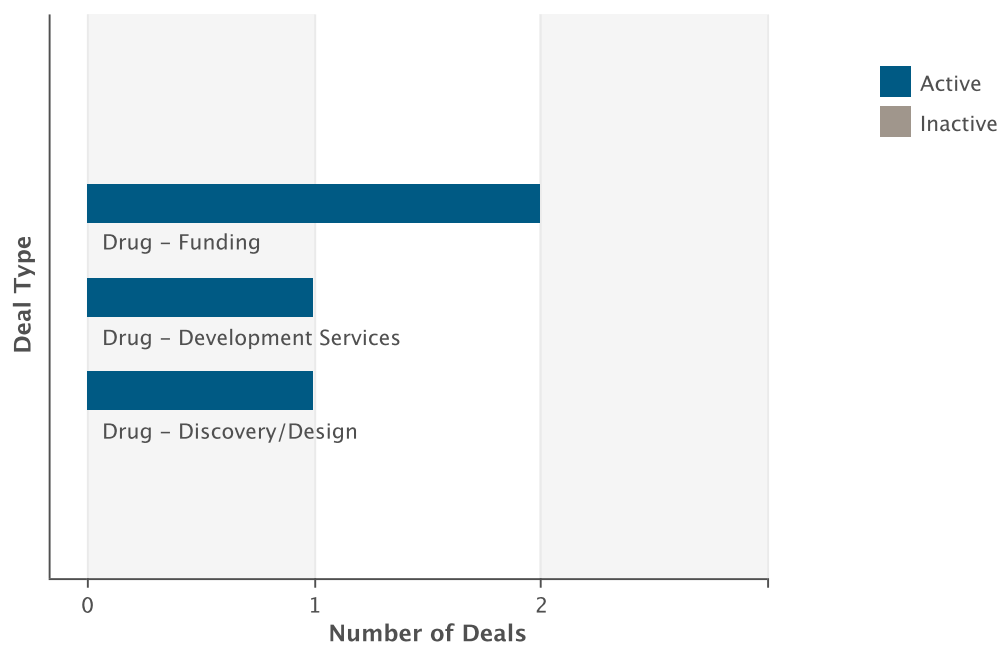


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Deals by Parent Company Table

Company Name	Principal		Partner		Total
	Active	Inactive	Active	Inactive	
Globelimmune Inc	3	0	1	0	4
US Government	0	0	2	0	2
Biodesix Inc	1	0	0	0	1
Celgene Corp	0	0	1	0	1

Deals by Type Chart

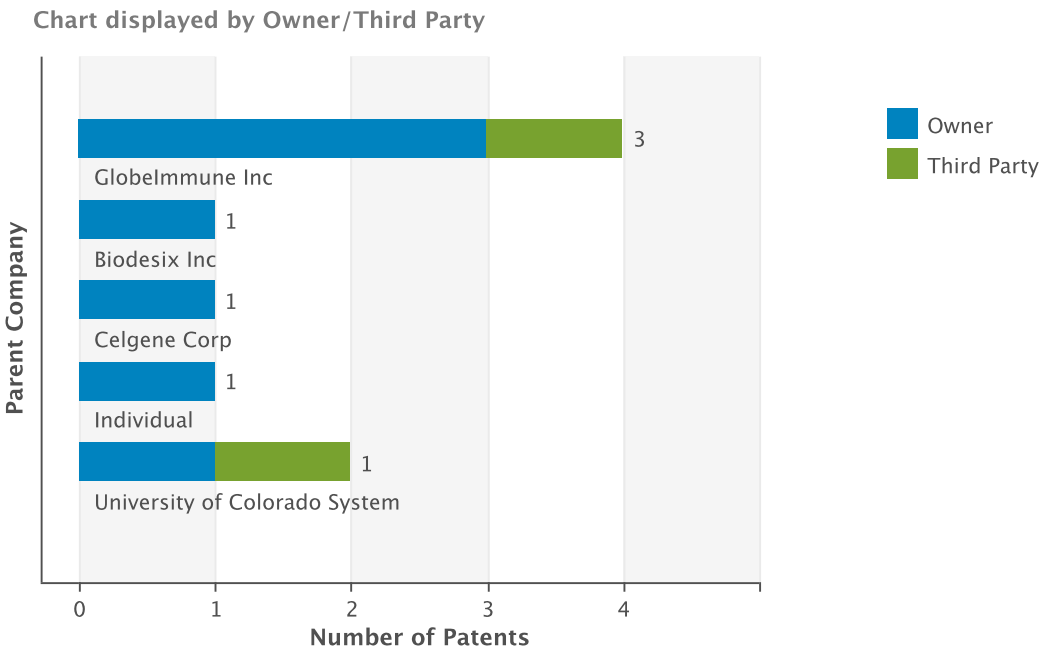


Deals by Type Table

Deal Type	Active	Inactive	Total
Drug - Funding	2	0	2
Drug - Development Services	1	0	1
Drug - Discovery/Design	1	0	1

PATENTS

Patents by Parent Company Chart



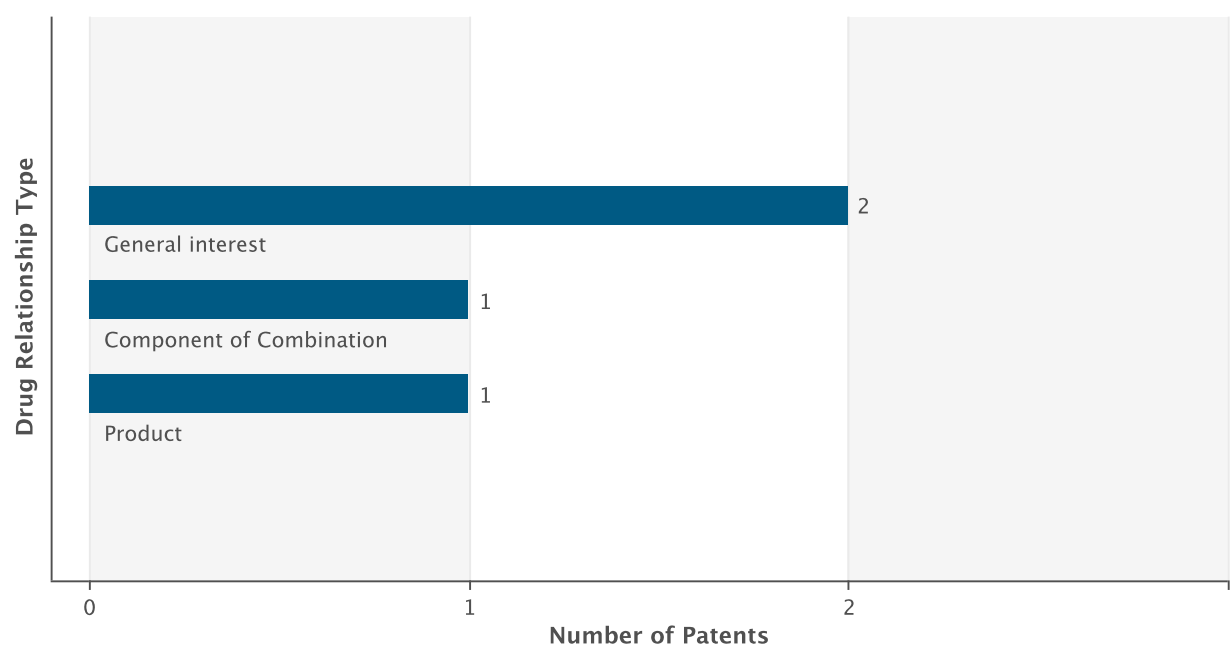
Patents by Parent Company Table

Company Name	As Owner	As Third Party	Total
GlobelImmune Inc	3	1	3
Biodesix Inc	1	0	1
University of Colorado System	1	1	1
Individual	1	0	1
Celgene Corp	1	0	1

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Patents by Drug Relationship Type Chart



Patents by Drug Relationship Type Table

Drug Relationship	Total
General interest	2
Component of Combination	1
Product	1

## GI-6207

### GI-6207 SNAPSHOT

Drug Name	GI-6207
Key Synonyms	
Originator Company	GlobelImmune Inc
Active Companies	Celgene Corp;GlobelImmune Inc;National Cancer Institute
Inactive Companies	
Highest Status	Phase 2 Clinical
Active Indications	Medullary thyroid cancer
Target-based Actions	CD66e modulator
Other Actions	Therapeutic vaccine;Anticancer;Recombinant vector vaccine
Technologies	Biological therapeutic;Subcutaneous formulation;Yeast recombinant
Last Change Date	09-Apr-2014

### GI-6207 DEVELOPMENT PROFILE

#### SUMMARY

GlobelImmune, in collaboration with Celgene, and the NCI, is developing GI-6207, a Tarmogen vaccine based on inactivated *Saccharomyces cerevisiae* genetically modified to express CEA, for the potential sc treatment of cancer,,. In February 2013, a phase II trial for recurrent medullary thyroid cancer was initiated in the US ; in March 2014, the trial was ongoing.

### GI-6207 DEVELOPMENT STATUS

#### CURRENT DEVELOPMENT STATUS

Company	Indication	Country	Development Status	Date
Celgene Corp	Medullary thyroid cancer	US	Phase 2 Clinical	29-Aug-2013
GlobelImmune Inc	Medullary thyroid cancer	US	Phase 2 Clinical	28-Feb-2013
National Cancer Institute	Medullary thyroid cancer	US	Phase 2 Clinical	28-Feb-2013

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## GI-6207 DRUG NAMES

Names	Type
CEA-expressing <i>Saccharomyces cerevisiae</i> -based cancer vaccine (Tarmogen), Globelmmune/NCI/Celgene	
CEA-expressing <i>Saccharomyces cerevisiae</i> -based cancer vaccine (Tarmogen), Globelmmune/NCI	
GI-6207	Research Code

## GI-6207 CLINICAL TRIALS

### Trials by Phase and Condition Studied

Phase 4 Clinical		Phase 3 Clinical		Phase 2 Clinical		Phase 1 Clinical		Phase Unspecified		Total	
On-going	All	On-going	All	On-going	All	On-going	All	On-going	All	On-going	All
Medullary thyroid cancer											
0	0	0	0	1	1	0	0	0	0	1	1
Carcinoma											
0	0	0	0	0	0	0	1	0	0	0	1

### Total Trials by Phase and Status

Phase 4 Clinical		Phase 3 Clinical		Phase 2 Clinical		Phase 1 Clinical		Phase Unspecified		Total	
On-going	All	On-going	All	On-going	All	On-going	All	On-going	All	On-going	All
Total by Phase and Status											
0	0	0	0	1	1	0	1	0	0	1	2

### Phase Definitions

#### Phase 3 Clinical

Includes Phase 3, Phase 3b, Phase 3a, Phase 2/3 (where enrolment count is 300 or over)

#### Phase 2 Clinical

Includes Phase 2, Phase 2a, Phase 2b, Phase 1/2 (where enrolment count is 100 or over), Phase 2/3 (where enrolment count is under 300 or not specified)

#### Phase 1 Clinical

Includes Phase 1, Phase 1a, Phase 1, Phase 1/2 (where enrolment count is under 100 or not specified), Phase 0

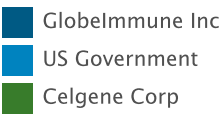
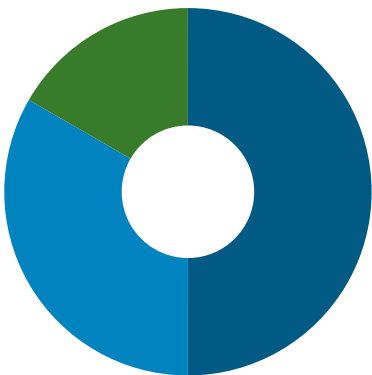
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GI-6207 DEALS AND PATENTS

DEALS

Deals by Parent Company Chart

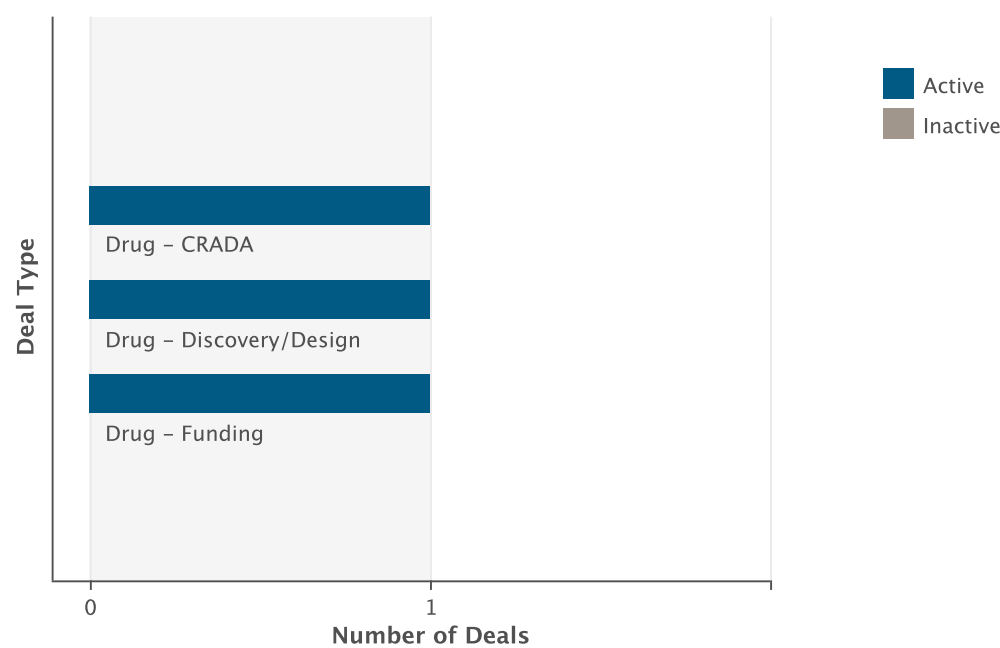


Deals by Parent Company Table

Company Name	Principal		Partner		Total
	Active	Inactive	Active	Inactive	
GlobelImmune Inc	3	0	0	0	3
US Government	0	0	2	0	2
Celgene Corp	0	0	1	0	1

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Deals by Type Chart

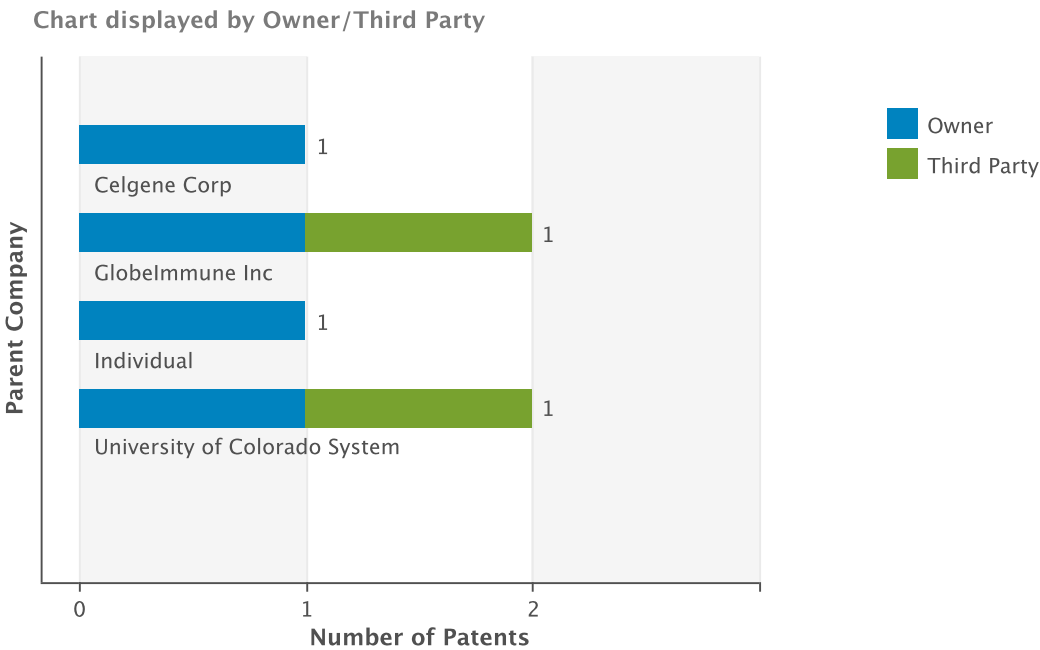


Deals by Type Table

Deal Type	Active	Inactive	Total
Drug - Discovery/Design	1	0	1
Drug - CRADA	1	0	1
Drug - Funding	1	0	1

PATENTS

Patents by Parent Company Chart

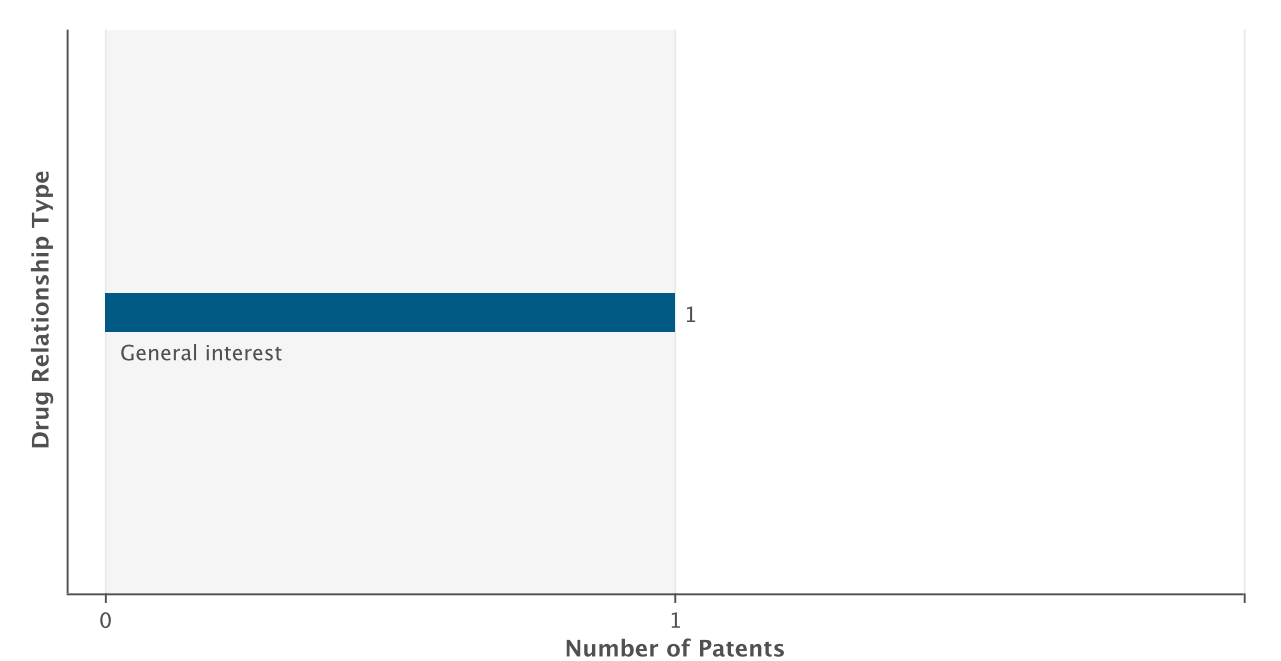


Patents by Parent Company Table

Company Name	As Owner	As Third Party	Total
University of Colorado System	1	1	1
GlobelImmune Inc	1	1	1
Individual	1	0	1
Celgene Corp	1	0	1

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Patents by Drug Relationship Type Chart



Patents by Drug Relationship Type Table

Drug Relationship	Total
General interest	1

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## GI-6301

### GI-6301 SNAPSHOT

Drug Name	GI-6301
Key Synonyms	
Originator Company	GlobelImmune Inc
Active Companies	Celgene Corp;GlobelImmune Inc
Inactive Companies	
Highest Status	Phase 1 Clinical
Active Indications	Breast tumor;Chordoma
Target-based Actions	Brachyury protein modulator
Other Actions	Therapeutic vaccine;Recombinant fungal vector vaccine;Immunostimulant;Anticancer
Technologies	Biological therapeutic;Parenteral formulation unspecified;Yeast recombinant;Antigen presentation system
Last Change Date	18-Mar-2015

### GI-6301 DEVELOPMENT PROFILE

#### SUMMARY

GlobelImmune, in collaboration with Celgene, is developing a lead from GI-6300 program, GI-6301, a Tarmogen vaccine containing the brachyury antigen, for the potential treatment of cancer, including triple negative breast cancer and chordoma,. In January 2012, a phase I trial began ; In March 2015, a randomized, phase II trial in combination with the radiation therapy at NCI was being planned. At that time, the enrollment was expected in the first half of 2015.

### GI-6301 DEVELOPMENT STATUS

#### CURRENT DEVELOPMENT STATUS

Company	Indication	Country	Development Status	Date
Celgene Corp	Breast tumor	US	Phase 1 Clinical	29-Aug-2013
Celgene Corp	Chordoma	US	Phase 1 Clinical	29-Aug-2013
GlobelImmune Inc	Breast tumor	US	Phase 1 Clinical	26-Jan-2012
GlobelImmune Inc	Chordoma	US	Phase 1 Clinical	29-Feb-2012

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## GI-6301 DRUG NAMES

Names	Type
GI-6300	Research Code
GI-6301	Research Code
Tarmogen vaccine (triple negative breast cancer), GlobelImmune/Celgene	
Tarmogen vaccine (triple negative breast cancer), GlobelImmune	

## GI-6301 CLINICAL TRIALS

### Trials by Phase and Condition Studied

Phase 4 Clinical		Phase 3 Clinical		Phase 2 Clinical		Phase 1 Clinical		Phase Unspecified		Total	
On-going	All	On-going	All	On-going	All	On-going	All	On-going	All	On-going	All
Solid tumor											
0	0	0	0	0	0	1	1	0	0	1	1
Chordoma											
0	0	0	0	1	1	0	0	0	0	1	1

### Total Trials by Phase and Status

Phase 4 Clinical		Phase 3 Clinical		Phase 2 Clinical		Phase 1 Clinical		Phase Unspecified		Total	
On-going	All	On-going	All	On-going	All	On-going	All	On-going	All	On-going	All
Total by Phase and Status											
0	0	0	0	1	1	1	1	0	0	2	2

### Phase Definitions

#### Phase 3 Clinical

Includes Phase 3, Phase 3b, Phase 3a, Phase 2/3 (where enrolment count is 300 or over)

#### Phase 2 Clinical

Includes Phase 2, Phase 2a, Phase 2b, Phase 1/2 (where enrolment count is 100 or over), Phase 2/3 (where enrolment count is under 300 or not specified)

#### Phase 1 Clinical

Includes Phase 1, Phase 1a, Phase 1, Phase 1/2 (where enrolment count is under 100 or not specified), Phase 0

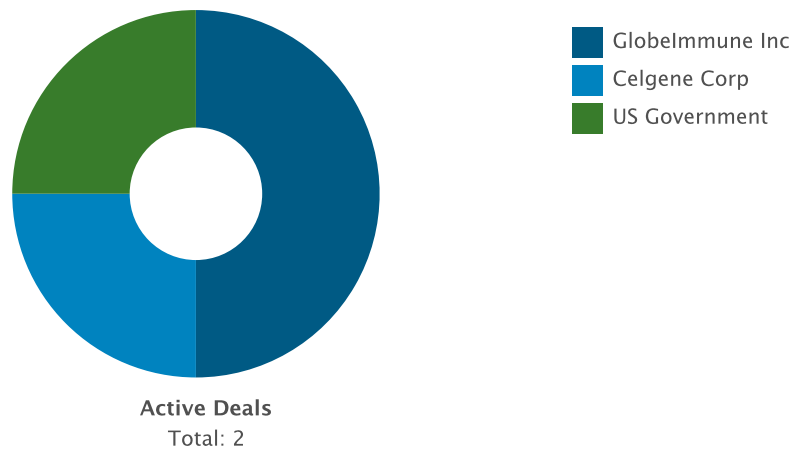
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GI-6301 DEALS AND PATENTS

DEALS

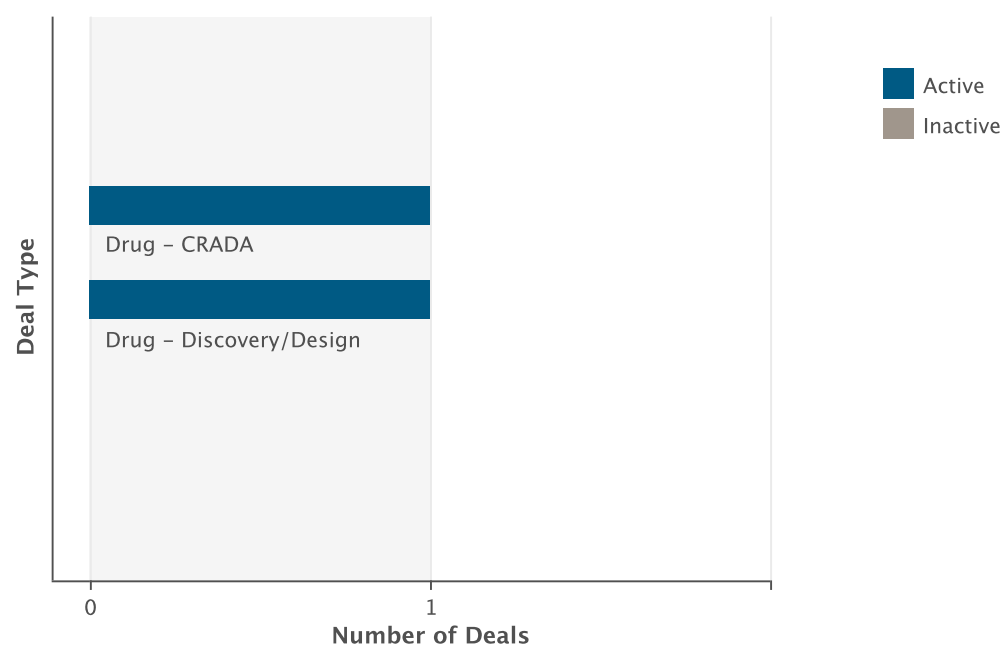
Deals by Parent Company Chart



Deals by Parent Company Table

Company Name	Principal		Partner		Total
	Active	Inactive	Active	Inactive	
GlobelImmune Inc	2	0	0	0	2
US Government	0	0	1	0	1
Celgene Corp	0	0	1	0	1

Deals by Type Chart

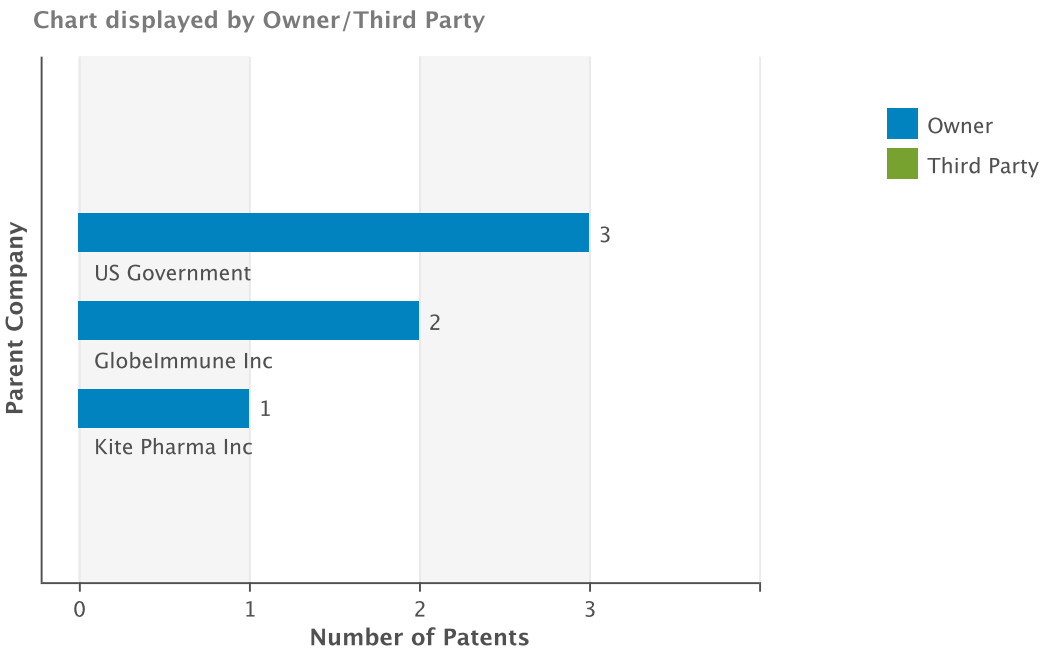


Deals by Type Table

Deal Type	Active	Inactive	Total
Drug - CRADA	1	0	1
Drug - Discovery/Design	1	0	1

PATENTS

Patents by Parent Company Chart

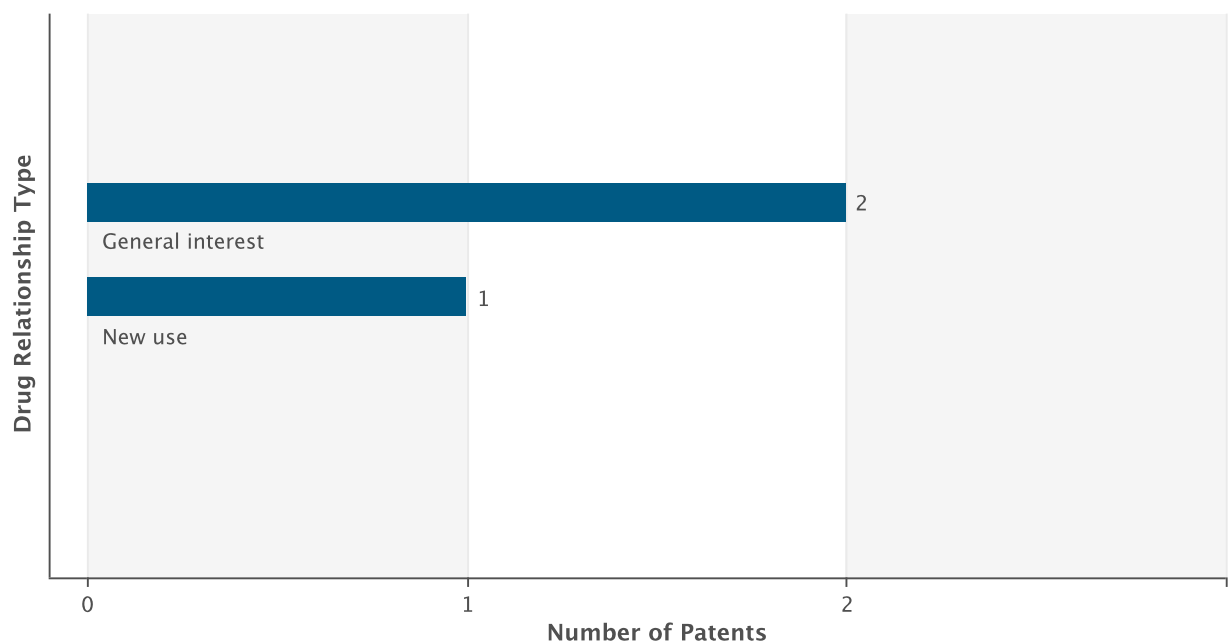


Patents by Parent Company Table

Company Name	As Owner	As Third Party	Total
US Government	3	0	3
GlobelImmune Inc	2	0	2
Kite Pharma Inc	1	0	1

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Patents by Drug Relationship Type Chart



Patents by Drug Relationship Type Table

Drug Relationship	Total
General interest	2
New use	1

## GI-2010

### GI-2010 SNAPSHOT

Drug Name	GI-2010
Key Synonyms	
Originator Company	GlobelImmune Inc
Active Companies	GlobelImmune Inc
Inactive Companies	
Highest Status	Discovery
Active Indications	HIV infection
Target-based Actions	HIV GAG protein modulator
Other Actions	Therapeutic vaccine;Immunostimulant;Recombinant fungal vector vaccine;Antiviral
Technologies	Biological therapeutic;Parenteral formulation unspecified;Yeast recombinant;Antigen presentation system;Viral core protein
Last Change Date	19-Nov-2013

### GI-2010 DEVELOPMENT PROFILE

#### SUMMARY

GlobelImmune is investigating GI-2010, a Tarmogen vaccine based on recombinant *Saccharomyces cerevisiae* genetically modified to express the gag protein of HIV, for the potential treatment of HIV infection . In September 2011, the vaccine was listed as being in preclinical development ; in November 2013, this was still the case.

The vaccine system, formerly termed the CERES-Vax vaccine delivery system, is also being investigated for carcinoma.

### GI-2010 DEVELOPMENT STATUS

#### CURRENT DEVELOPMENT STATUS

Company	Indication	Country	Development Status	Date
GlobelImmune Inc	HIV infection	US	Discovery	14-Jun-2001

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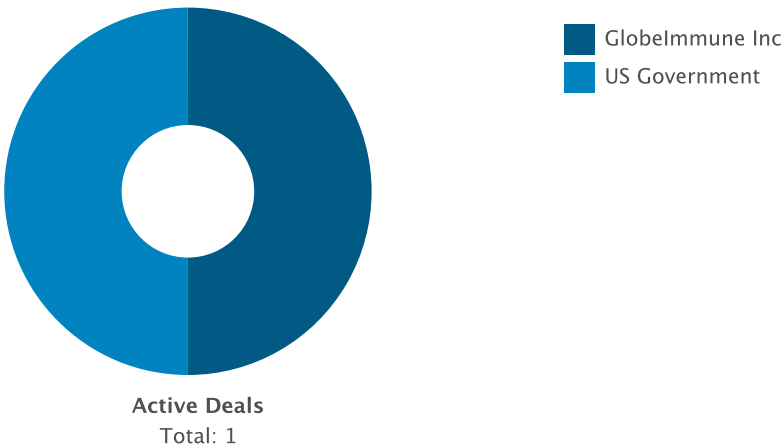
## GI-2010 DRUG NAMES

Names	Type
GI-004	Research Code
HIVAX-GS	
HIVAX-2	
GI-2010	Research Code
HIV GAG protein modulator (HIV infection), GlobelImmune Inc	
vaccine delivery system (HIV), GlobelImmune	
CERES-Vax vaccine delivery system (HIV)	

## GI-2010 DEALS AND PATENTS

### DEALS

#### Deals by Parent Company Chart

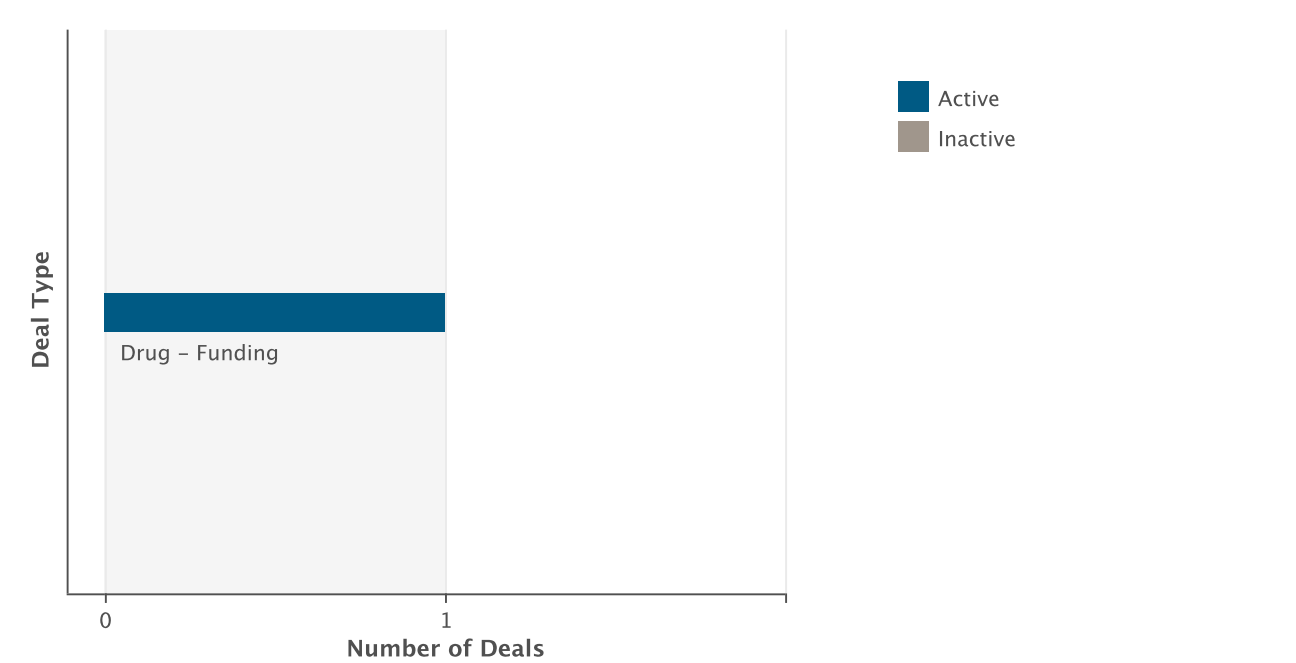


#### Deals by Parent Company Table

Company Name	Principal		Partner		Total
	Active	Inactive	Active	Inactive	
GlobelImmune Inc	1	0	0	0	1
US Government	0	0	1	0	1

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Deals by Type Chart



Deals by Type Table

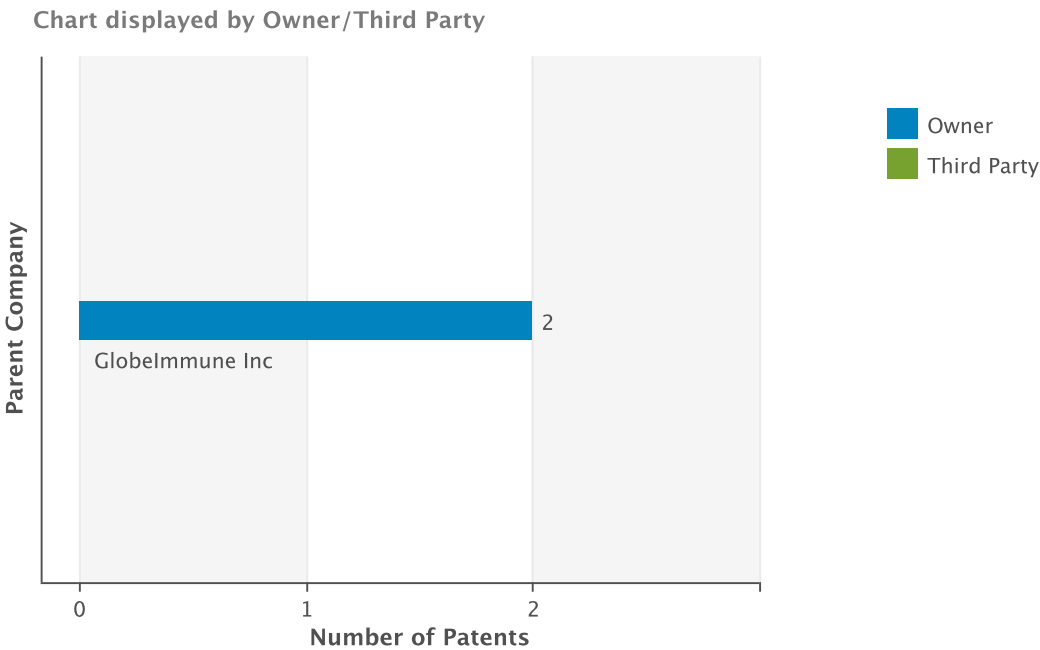
Deal Type	Active	Inactive	Total
Drug - Funding	1	0	1

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PATENTS

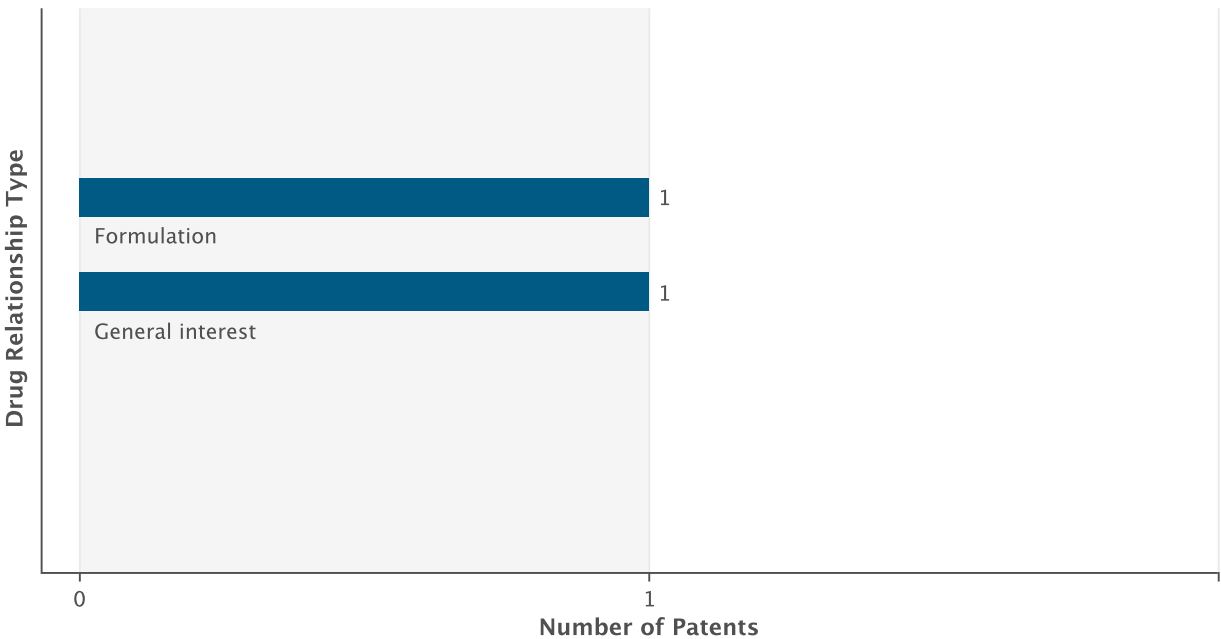
Patents by Parent Company Chart



Patents by Parent Company Table

Company Name	As Owner	As Third Party	Total
GlobelImmune Inc	2	0	2

Patents by Drug Relationship Type Chart



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Patents by Drug Relationship Type Table

Drug Relationship	Total
General interest	1
Formulation	1

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## GI-18000

### GI-18000 SNAPSHOT

Drug Name	GI-18000
Key Synonyms	
Originator Company	GlobelImmune Inc
Active Companies	GlobelImmune Inc
Inactive Companies	
Highest Status	Discovery
Active Indications	Hepatitis D virus infection
Target-based Actions	
Other Actions	Antiviral;Unspecified drug target;Anti-inflammatory
Technologies	Biological therapeutic;Parenteral formulation unspecified;Yeast recombinant;Antigen presentation system
Last Change Date	19-Nov-2013

### GI-18000 DEVELOPMENT PROFILE

#### SUMMARY

GlobelImmune is investigating GI-18000, based on company's Tarmogen platform, for the potential treatment of Hepatitis Delta viral infection. In September 2012, the drug was listed as being in preclinical development ; in November 2013, this was still the case.

### GI-18000 DEVELOPMENT STATUS

#### CURRENT DEVELOPMENT STATUS

Company	Indication	Country	Development Status	Date
GlobelImmune Inc	Hepatitis D virus infection	US	Discovery	18-Sep-2012

### GI-18000 DRUG NAMES

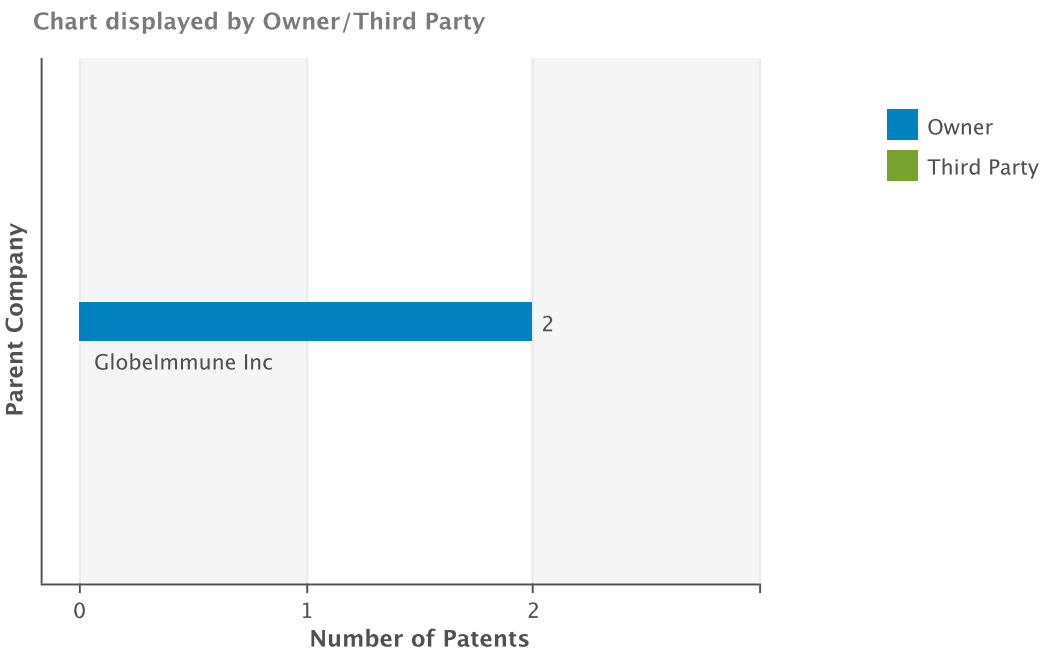
Names	Type
GI-18000	Research Code

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PATENTS

Patents by Parent Company Chart

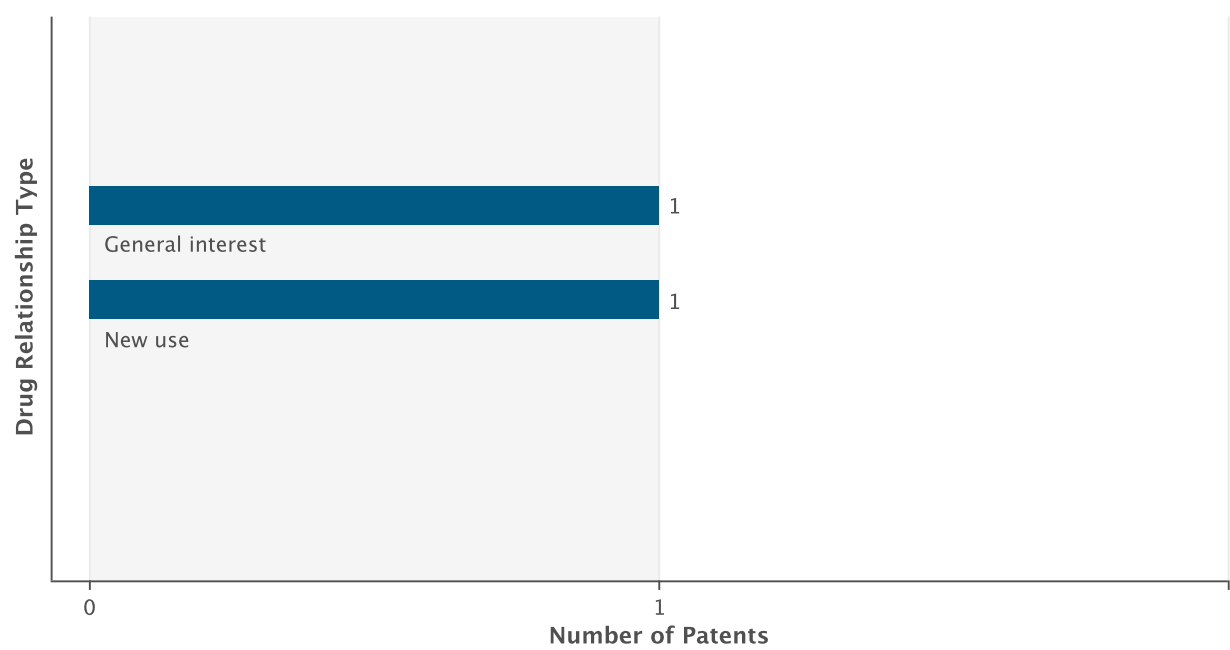


Patents by Parent Company Table

Company Name	As Owner	As Third Party	Total
GlobelImmune Inc	2	0	2

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Patents by Drug Relationship Type Chart



Patents by Drug Relationship Type Table

Drug Relationship	Total
New use	1
General interest	1

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## GI-19000

### GI-19000 SNAPSHOT

Drug Name	GI-19000
Key Synonyms	
Originator Company	GlobelImmune Inc
Active Companies	GlobelImmune Inc;Colorado State University
Inactive Companies	
Highest Status	Discovery
Active Indications	Mycobacterium tuberculosis infection
Target-based Actions	
Other Actions	Prophylactic vaccine;Unspecified drug target;Therapeutic vaccine;Antibacterial
Technologies	Yeast recombinant;Biological therapeutic;Parenteral formulation unspecified
Last Change Date	20-Jan-2015

### GI-19000 DEVELOPMENT PROFILE

#### SUMMARY

GlobelImmune and the Colorado State University are investigating GI-19000, a recombinant yeast based vaccine, based on GlobelImmune's Tarmogen platform, for the potential prevention and treatment of Mycobacterium tuberculosis infection,. In June 2013, the drug was listed as being in preclinical development. In July 2014, development was ongoing.

### GI-19000 DEVELOPMENT STATUS

#### CURRENT DEVELOPMENT STATUS

Company	Indication	Country	Development Status	Date
Colorado State University	Mycobacterium tuberculosis infection	US	Discovery	22-Aug-2013
GlobelImmune Inc	Mycobacterium tuberculosis infection	US	Discovery	13-Jun-2013

### GI-19000 DRUG NAMES

Names	Type
GI-19000	Research Code

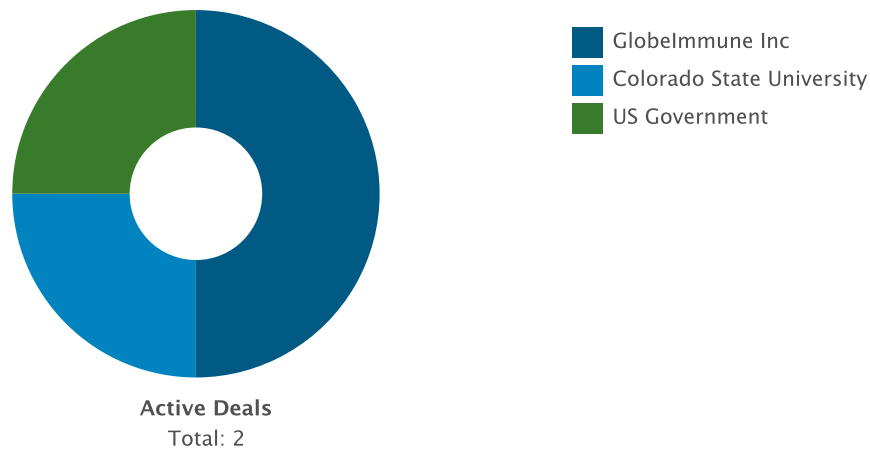
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GI-19000 DEALS AND PATENTS

DEALS

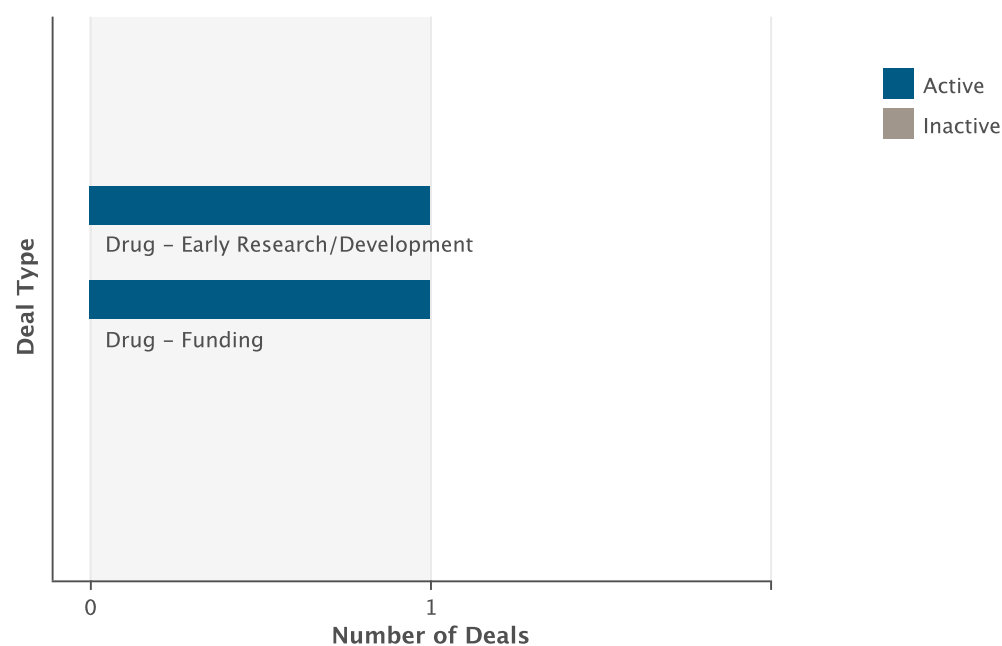
Deals by Parent Company Chart



Deals by Parent Company Table

Company Name	Principal		Partner		Total
	Active	Inactive	Active	Inactive	
GlobelImmune Inc	1	0	1	0	2
Colorado State University	1	0	0	0	1
US Government	0	0	1	0	1

Deals by Type Chart



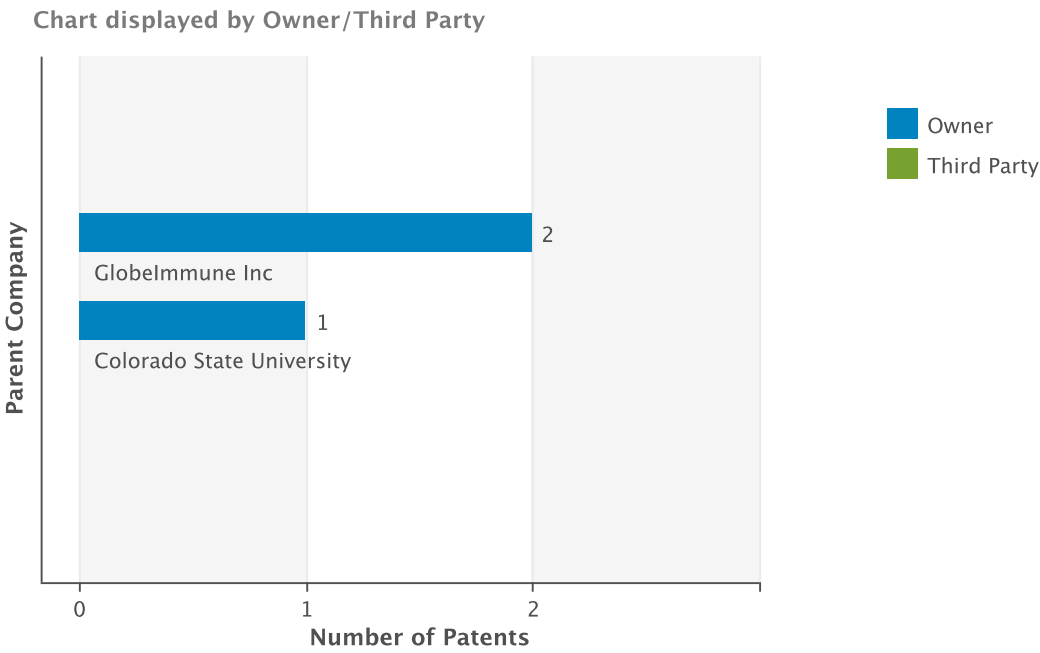
Deals by Type Table

Deal Type	Active	Inactive	Total
Drug - Funding	1	0	1
Drug - Early Research/Development	1	0	1



PATENTS

Patents by Parent Company Chart

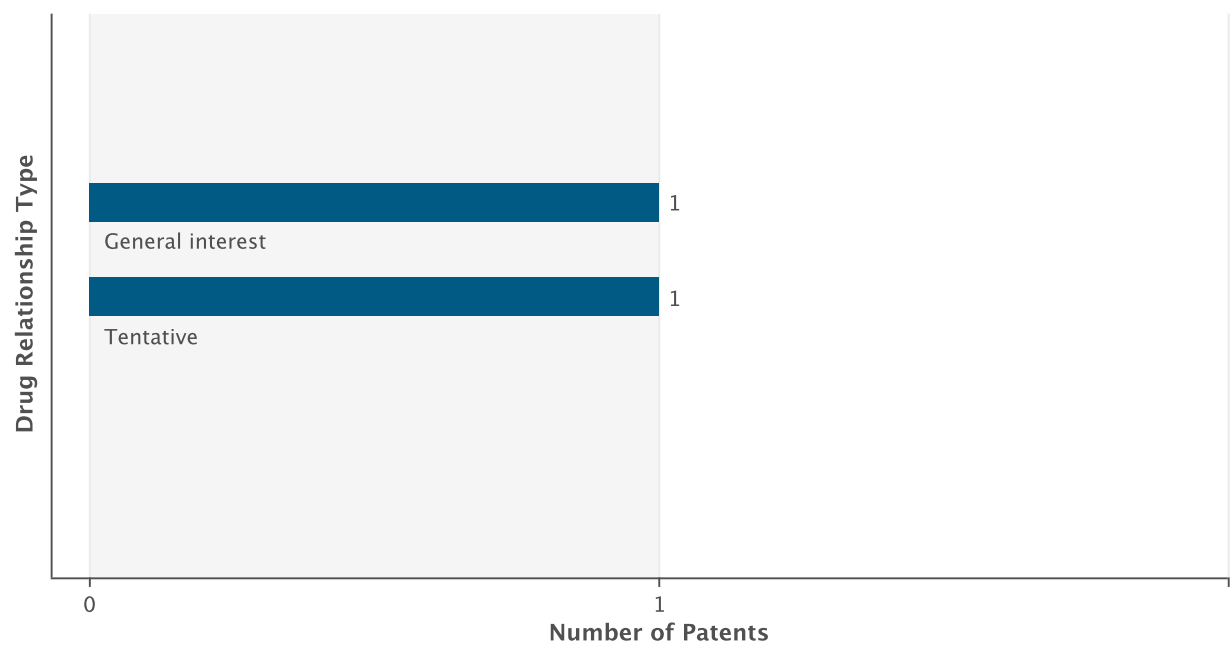


Patents by Parent Company Table

Company Name	As Owner	As Third Party	Total
GlobelImmune Inc	2	0	2
Colorado State University	1	0	1

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Patents by Drug Relationship Type Chart



Patents by Drug Relationship Type Table

Drug Relationship	Total
General interest	1
Tentative	1

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