

## **Pfenex Inc**

### **COMPANY AND PIPELINE OVERVIEW REPORT**

A comprehensive coverage of the company and a summary of the drug pipeline portfolio.

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## ABOUT COMPANY AND PIPELINE OVERVIEW 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i.e. where the development status for the drug(s) is one of the following: No Development Reported, Discontinued, or Withdrawn.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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**PLEASE NOTE:** the financials section where present in the report includes: Share Information, Stock Performance chart (including the consensus recommendation), and Major Shareholders. Financial Performance presents graphical and tabular data on Worldwide Sales, Operating Income and Net Income over time, together with a Quarterly earnings update. Balance Sheet lists Assets, Liabilities and Stockholders Equity, and Forecasts includes: EPS Forecast and Other Forecasts. The data reported in all sections (except share information and major stock holders) are correct as of the publication date of the report (and not the download date). For share information and major stock holders the data is correct for the date shown with these sections

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# Pfenex Inc

## COMPANY OVERVIEW

Company Name	Pfenex Inc
Parent Company Name	Pfenex Inc
Website	<a href="http://www.pfenex.com/">http://www.pfenex.com/</a>
Country	US
Number of Drugs in Active Development	14
Number of Inactive Drugs	4
Number of Patents as Owner	5
Number of Patents as Third Party	0
Number of Deals	17
Key Indications	Neutropenia, Growth hormone deficiency, Bacillus anthracis infection, Hepatitis C virus infection, Multiple sclerosis, Plasmodium falciparum infection, Acute lymphoblastic leukemia, Age related macular degeneration, Inflammatory disease, Plasmodium infection, Unidentified indication
Key Target-based Actions	Interferon beta ligand, GCSF receptor agonist, Growth hormone ligand, GCSF ligand, Interferon alpha 2 ligand, Asparaginase stimulator, GP IIb IIIa antagonist, Interferon alpha 2 ligand modulator, Interferon receptor modulator, TNF alpha ligand inhibitor, TNF antagonist, VEGF-A ligand inhibitor
Key Technologies	Biological therapeutic, Protein recombinant, Parenteral formulation unspecified, Biosimilar product, Injectable formulation, PEGylated formulation, Antibody fragment, Subcutaneous formulation, Antigen, Infusion, Intravenous formulation, Monoclonal antibody

## COMPANY PROFILE

### SUMMARY

Pfenex Inc, headquartered in San Diego, CA is a leading biotechnology company focused on recombinant protein expression for a broad range of applications including therapeutic proteins, vaccines, research, reagents and biosimilars.

### ACQUISITIONS AND SPINOFFS

In April 2013, Pfenex, established an unnamed joint venture with Strides Acrolab subsidiary, Agila Biotech, to develop biosimilar products at Agila's Malaysian manufacturing facility. In July 2014, Strides disclosed that R&D programs for the biosimilar products were on track but further delays were expected in the manufacturing facility setup in Malaysia.

### FINANCIAL

In April 2015, the company priced its follow-on public offering of 6 million shares of its common stock at \$15.50 per share. Of the 6 million shares being offered, 2,610,000 were being offered by Pfenex and the remaining 3,390,000 shares were being offered by existing stockholders. Pfenex would not receive any proceeds from the shares sold by existing stockholders. The underwriters were granted a 30-day option to buy up to an additional 0.75 million shares of common stock from certain existing stockholders. Later in April 2015, the offering was closed and 6.75 million shares were sold, including 0.75 million shares from full exercise of underwriters' option, raising \$38 million in net proceeds. A total of 2,610,000 common shares were sold by Pfenex and 4,140,000 shares were sold by existing stockholders.

In September 2014, the shares began trading on the Russell Microcap and the Russell Global Indices.

In June 2014, Pfenex planned an IPO of common stock; in July 2014, the company priced its IPO of 8,333,333 common stock shares at a price of \$6.00 per share to the public and at that time, the underwriters were granted a 30-day option to purchase up to 1,250,000 additional common stock shares at the same price. The shares had begun trading under the symbol "PFNX" on the NYSE MKT; later that month, the offering was closed.

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COMPANY FINANCIALS

SHARE INFORMATION

Close Price (USD)	19.19
Change (USD)	-0.70 (-3.52%)
Previous Close Price (USD)	19.89
Volume	191,608
52-Week High (USD)	21.01
52-Week Low (USD)	5.28
Date	02-Jul-2015
Exchange	NYSE AMEX(COMPOSITE)
Current Number of Shares Outstanding	23,133,268
Current Market Capitalization	443,927,413
EPS (Date Reported)	-0.47723

STOCK PERFORMANCE

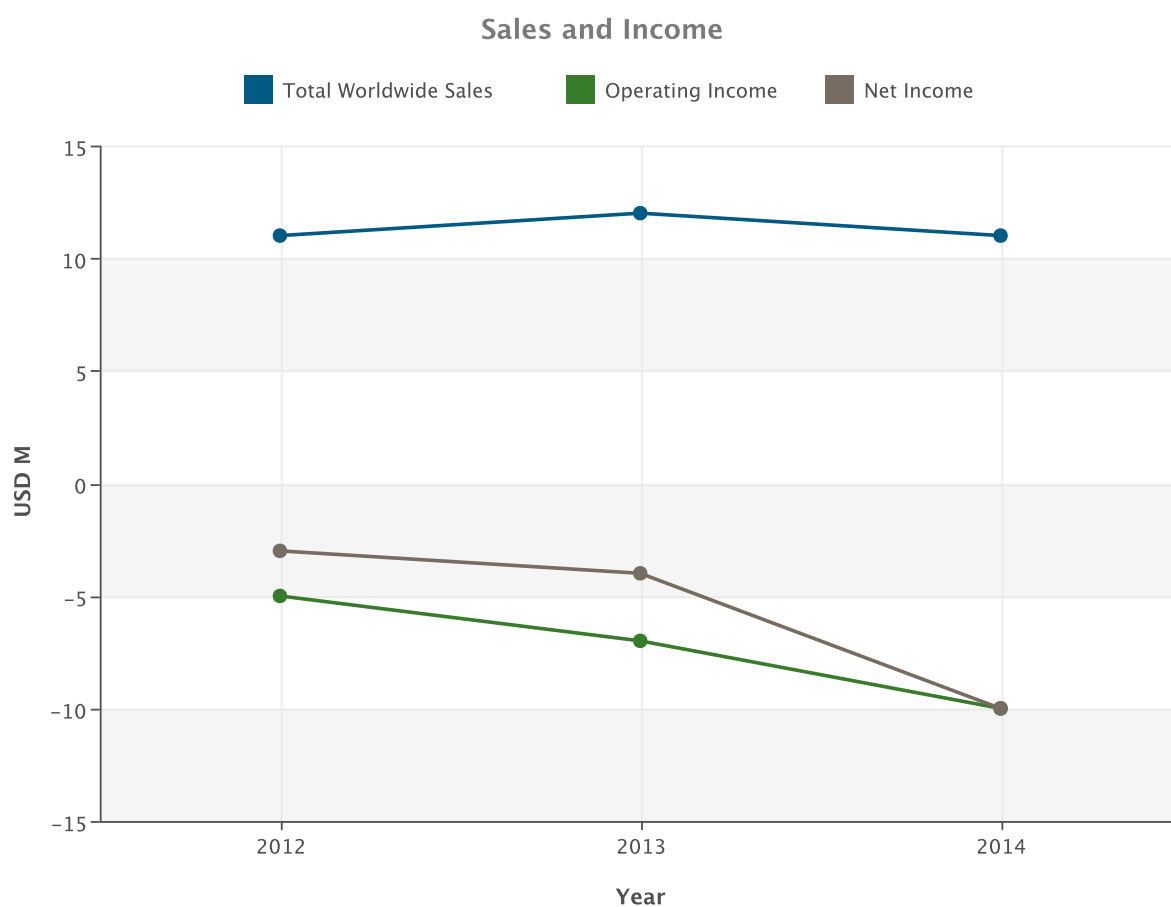


MAJOR SHAREHOLDERS

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Shareholder	Type	Country	Shares held	% of shares held	Change in holding	% changes in shares held	Date
Liang (Bertrand C)	Individual Investor	United States	546,980	2.36	-5,000	-0.01	01-Jul-2015

## FINANCIAL PERFORMANCE



	2012	2013	2014		
<b>Sales (USD M)</b>	11.294	11.914	10.644		
<b>Operating Income (USD M)</b>	-4.627	-6.697	-9.717		
<b>Net Income (USD M)</b>	-2.593	-4.062	-9.794		

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## Quarterly earnings update

Period	Sales (USD M)	Operating Income (USD M)	Net Income (USD M)
2015 Q1	1.975	-6.033	-5.972
2014 Q4	2.019	-3.556	-3.574
2014 Q3	2.801	-2.476	-2.495
2014 Q2	3.266	-2.162	-2.63
2014 Q1	2.558	-1.523	-1.977
2013 Q3	1.989	-2.799	-2.12
2013 Q2	2.309	-1.945	-1.596
2013 Q1	3.385	-1.207	-1.134

## BALANCE SHEET

### Assets (USD M)

	2012	2013	2014		
Cash & Short Term Investments	9.966	5.204	45.722		
Inventories - Total	0.754	0.026	0.023		
Current Assets - Total	15.579	12.854	52.765		
Property, Plant And Equipment - Net	2.681	2.329	2.31		
Other Assets - Total	13.078	12.506	11.993		
Total Assets	32.932	31.813	71.023		

### Liabilities (USD M)

	2012	2013	2014		
Accounts Payable	2.012	1.804	2.042		
Short Term Debt & Current Portion Of Long Term Debt	0	0	3.862		
Current Liabilities - Total	5.541	6.01	7.776		
Long Term Debt	1.14	3.59	0.097		
Deferred Taxes	3.602	3.481	3.281		
Other Liabilities	0.009	0.003	-0.005		
Total Liabilities	10.292	13.084	11.149		

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## Stockholders Equity (USD M)

	2012	2013	2014		
Minority Interest	0	0	0		
Preferred Stock	42.5	113.18	0		
Common Stock	0.002	0.002	0.021		
Treasury Stock	0				
Total Liabilities & Shareholders' Equity	32.932	31.813	71.023		

## FORECASTS

### EPS Forecast

Year ending	Current Forecast	1 month ago	3 months ago
31-Dec-2015	-1.62	-1.79	-1.23
31-Dec-2016	-1.89	-1.89	-1.45
31-Dec-2017	-1.76	-1.5	-1.5

### Other Forecasts

Year ending	DPS	CPS	Pretax	Sales
31-Dec-2015	0	-1.63	-34.71	8.52
31-Dec-2016	0	-2.45	-44.25	9.15
31-Dec-2017	0	-2.15	-47.78	9.2

## SUBSIDIARY COMPANIES

Names
Pfenex/Stelis Joint Venture

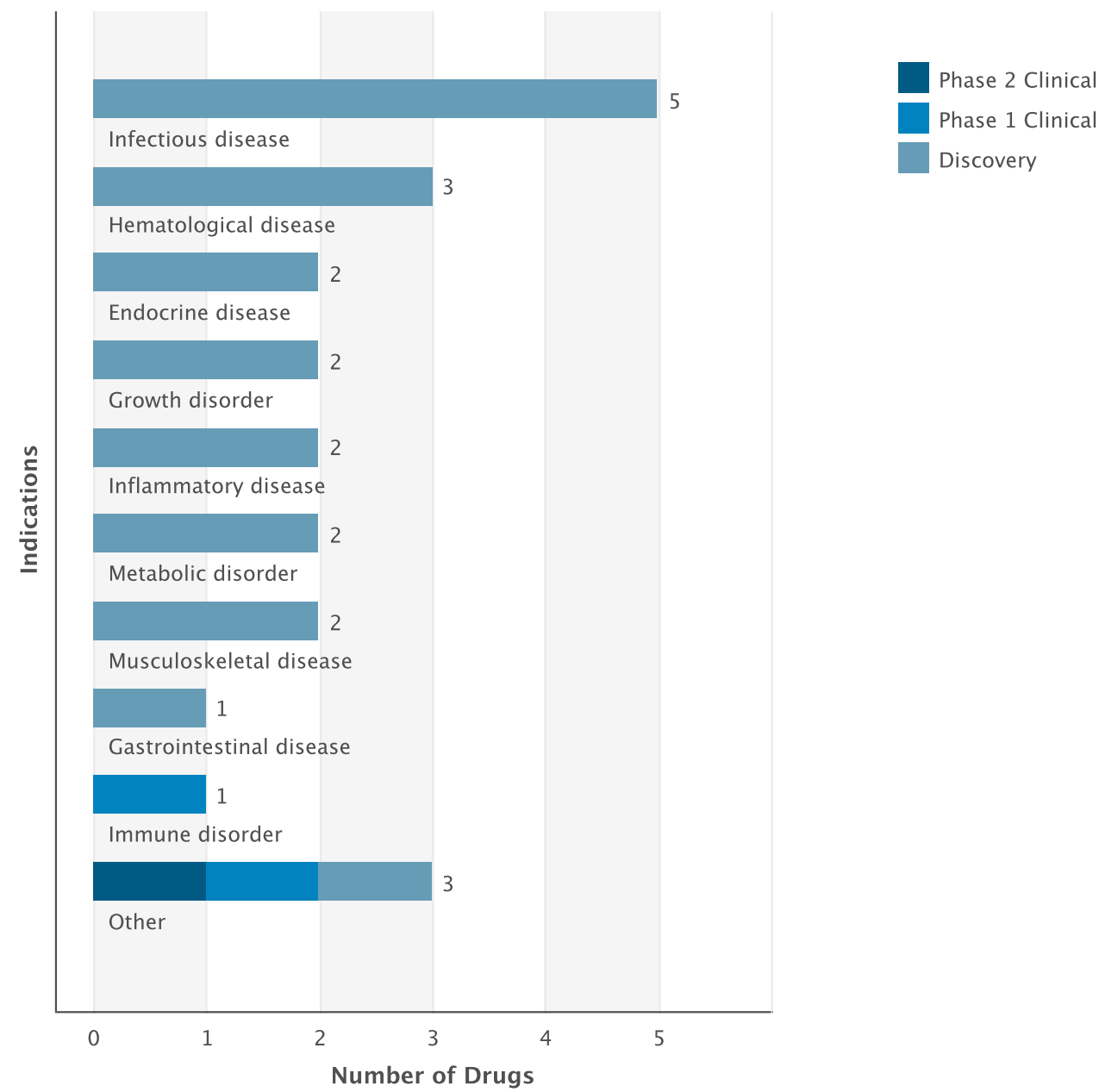
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PRODUCT PORTFOLIO SUMMARY

DRUGS

Drugs by Indication

Active Drugs by Indication Chart



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## Drugs by Indication Table

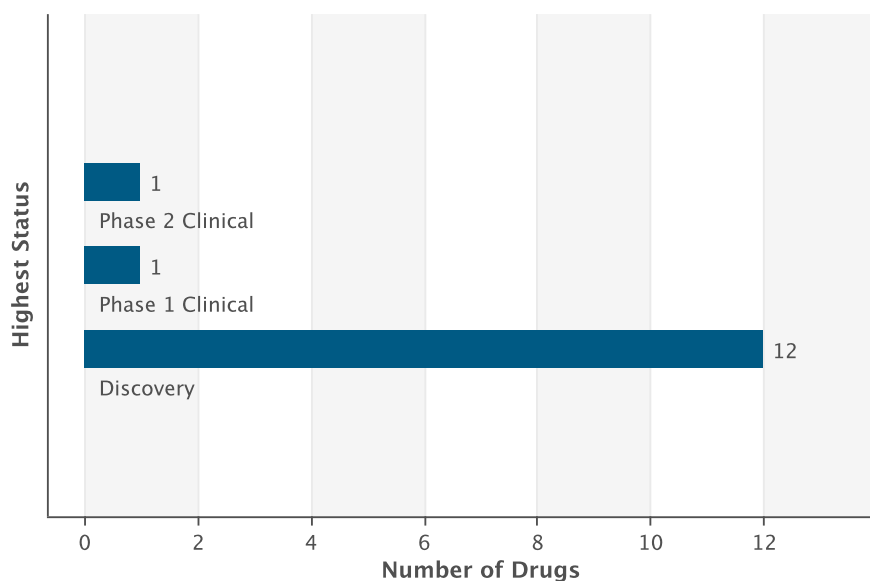
Indication	Active	Inactive	Total
Infectious disease	5	1	6
Hematological disease	3	1	4
Inflammatory disease	2	1	3
Neoplasm	1	1	2
Musculoskeletal disease	2	0	2
Metabolic disorder	2	0	2
Growth disorder	2	0	2
Endocrine disease	2	0	2
Neurological disease	1	0	1
Ocular disease	1	0	1
Immune disorder	1	0	1
Gastrointestinal disease	1	0	1
Unidentified indication	1	0	1
Cardiovascular disease	0	1	1
Respiratory disease	0	1	1

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## Drugs by Highest Status

Active Drugs by Highest Status Chart



Drugs by Highest Status Table

Development Status	Number of Drugs
Phase 2 Clinical	1
Phase 1 Clinical	1
Discovery	12
No Development Reported	4

## DEALS

Deal Type	Principal		Partner		Total
	Active	Inactive	Active	Inactive	
Technology - Other Proprietary	7	0	0	0	7
Drug - Funding	4	0	1	0	5
Drug - Development/Commercialization License	1	0	0	0	1
Drug - Manufacturing/Supply	0	0	3	0	3

## CLINICAL TRIALS

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## Trials by Condition Studied

Condition Studied	Ongoing	All
Ocular disease	1	2

## Trials by Phase

Phase	Ongoing	All
Phase 1	2	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	2	0	2
Endocrine disease	6	0	6
Gastrointestinal disease	4	0	4
Growth disorder	2	0	2
Hematological disease	2	0	2
Immune disorder	5	0	5
Musculoskeletal disease	1	0	1
Neoplasm	8	0	8
Genetic disorder	1	0	1
Metabolic disorder	3	0	3
Neurological disease	4	0	4
Respiratory disease	3	0	3
Infectious disease	13	0	13
Unidentified indication	2	0	2
Inflammatory disease	4	0	4

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Gynecology and obstetrics	1	0	1
Dermatological disease	2	0	2

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

## PRODUCT PORTFOLIO DRUGS

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

### PF-582

<b>Drug Name</b>	PF-582
<b>Key Synonyms</b>	ranibizumab
<b>Originator Company</b>	Pfenex Inc
<b>Active Companies</b>	Hospira Inc, Pfenex Inc
<b>Inactive Companies</b>	
<b>Highest Status</b>	Phase 2 Clinical
<b>Active Indications</b>	Age related macular degeneration
<b>Target-based Actions</b>	VEGF-A ligand inhibitor
<b>Other Actions</b>	Angiogenesis inhibitor, Ocular antineovascularisation agent
<b>Technologies</b>	Monoclonal antibody humanized, Antibody fragment, Injectable formulation, Ophthalmic formulation, Biological therapeutic, Parenteral formulation unspecified, Protein recombinant, Biosimilar product
<b>Last Change Date</b>	17-Mar-2015

### interferon beta-1b biosimilar, Pfenex

<b>Drug Name</b>	interferon beta-1b biosimilar, Pfenex
<b>Key Synonyms</b>	interferon beta-1b
<b>Originator Company</b>	Pfenex Inc
<b>Active Companies</b>	Pfenex Inc
<b>Inactive Companies</b>	Pfenex/Stelis Joint Venture
<b>Highest Status</b>	Phase 1 Clinical
<b>Active Indications</b>	Multiple sclerosis
<b>Target-based Actions</b>	Interferon beta ligand, Interferon receptor modulator
<b>Other Actions</b>	Immunomodulator
<b>Technologies</b>	Subcutaneous formulation, Biological therapeutic, Protein recombinant, Biosimilar product
<b>Last Change Date</b>	20-May-2015

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**Px-563L**

<b>Drug Name</b>	Px-563L
<b>Key Synonyms</b>	
<b>Originator Company</b>	Pfenex Inc
<b>Active Companies</b>	Pfenex Inc, US Health and Human Services Department
<b>Inactive Companies</b>	
<b>Highest Status</b>	Discovery
<b>Active Indications</b>	Bacillus anthracis infection
<b>Target-based Actions</b>	
<b>Other Actions</b>	Recombinant bacterial vector vaccine, Antibacterial
<b>Technologies</b>	Injectable formulation, Quick release formulation, Antigen, Biological therapeutic, Parenteral formulation unspecified
<b>Last Change Date</b>	30-Jun-2015

**Px-533**

<b>Drug Name</b>	Px-533
<b>Key Synonyms</b>	
<b>Originator Company</b>	Pfenex Inc
<b>Active Companies</b>	National Institutes of Health, Science Applications International Corp, Pfenex Inc
<b>Inactive Companies</b>	
<b>Highest Status</b>	Discovery
<b>Active Indications</b>	Plasmodium falciparum infection
<b>Target-based Actions</b>	
<b>Other Actions</b>	Antiparasitic, Protein subunit vaccine
<b>Technologies</b>	Injectable formulation, Biological therapeutic, Parenteral formulation unspecified, Peptide
<b>Last Change Date</b>	17-Mar-2015

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### GCSF biosimilar, Pfenex/Sun

<b>Drug Name</b>	GCSF biosimilar, Pfenex/Sun
<b>Key Synonyms</b>	
<b>Originator Company</b>	Pfenex Inc
<b>Active Companies</b>	Pfenex Inc, Sun Pharmaceutical Industries Ltd
<b>Inactive Companies</b>	Ranbaxy Laboratories Ltd
<b>Highest Status</b>	Discovery
<b>Active Indications</b>	Neutropenia
<b>Target-based Actions</b>	GCSF receptor agonist, GCSF ligand
<b>Other Actions</b>	Hematopoietic stimulant, Neutrophil stimulator
<b>Technologies</b>	Subcutaneous formulation, Intravenous formulation, Infusion, Biological therapeutic, Protein recombinant, Biosimilar product
<b>Last Change Date</b>	26-Mar-2015

### somatropin biosimilar, Pfenex/Sun

<b>Drug Name</b>	somatropin biosimilar, Pfenex/Sun
<b>Key Synonyms</b>	somatropin
<b>Originator Company</b>	Pfenex Inc
<b>Active Companies</b>	Pfenex Inc, Sun Pharmaceutical Industries Ltd
<b>Inactive Companies</b>	Ranbaxy Laboratories Ltd
<b>Highest Status</b>	Discovery
<b>Active Indications</b>	Growth hormone deficiency
<b>Target-based Actions</b>	Growth hormone ligand
<b>Other Actions</b>	
<b>Technologies</b>	Biological therapeutic, Parenteral formulation unspecified, Protein recombinant, Biosimilar product
<b>Last Change Date</b>	26-Mar-2015

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## pegfilgrastim biosimilar, Pfenex

<b>Drug Name</b>	pegfilgrastim biosimilar, Pfenex
<b>Key Synonyms</b>	pegfilgrastim
<b>Originator Company</b>	Pfenex Inc
<b>Active Companies</b>	Pfenex Inc
<b>Inactive Companies</b>	Pfenex/Stelis Joint Venture
<b>Highest Status</b>	Discovery
<b>Active Indications</b>	Neutropenia
<b>Target-based Actions</b>	GCSF receptor agonist
<b>Other Actions</b>	Hematopoietic stimulant, Neutrophil stimulator
<b>Technologies</b>	PEGylated formulation, Subcutaneous formulation, Biological therapeutic, Protein recombinant, Biosimilar product
<b>Last Change Date</b>	17-Mar-2015

## PRIMALVAC

<b>Drug Name</b>	PRIMALVAC
<b>Key Synonyms</b>	
<b>Originator Company</b>	European Vaccine Initiative
<b>Active Companies</b>	INSERM, European Vaccine Initiative, Pfenex Inc
<b>Inactive Companies</b>	
<b>Highest Status</b>	Discovery
<b>Active Indications</b>	Plasmodium infection
<b>Target-based Actions</b>	
<b>Other Actions</b>	Protein subunit vaccine, Prophylactic vaccine
<b>Technologies</b>	Biological therapeutic, Protein recombinant
<b>Last Change Date</b>	20-Feb-2015

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**PF-688**

<b>Drug Name</b>	PF-688
<b>Key Synonyms</b>	certolizumab pegol
<b>Originator Company</b>	Pfenex Inc
<b>Active Companies</b>	Pfenex Inc
<b>Inactive Companies</b>	
<b>Highest Status</b>	Discovery
<b>Active Indications</b>	Inflammatory disease
<b>Target-based Actions</b>	TNF alpha ligand inhibitor, TNF antagonist
<b>Other Actions</b>	Anti-inflammatory, TNF binding agent
<b>Technologies</b>	Monoclonal antibody humanized, Antibody fragment, PEGylated formulation, Injectable formulation, Biological therapeutic, Parenteral formulation unspecified, Protein recombinant, Biosimilar product
<b>Last Change Date</b>	18-Jun-2015

**Px-563L SDI**

<b>Drug Name</b>	Px-563L SDI
<b>Key Synonyms</b>	
<b>Originator Company</b>	Pfenex Inc
<b>Active Companies</b>	Pfenex Inc, Glide Pharmaceutical Technologies Ltd
<b>Inactive Companies</b>	
<b>Highest Status</b>	Discovery
<b>Active Indications</b>	Bacillus anthracis infection
<b>Target-based Actions</b>	
<b>Other Actions</b>	Antibacterial, Recombinant bacterial vector vaccine
<b>Technologies</b>	Injectable controlled release formulation, Antigen, Biological therapeutic, Parenteral formulation unspecified, Formulation solid
<b>Last Change Date</b>	30-Jun-2015

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### peginterferon beta 1b, Pfenex

<b>Drug Name</b>	peginterferon beta 1b, Pfenex
<b>Key Synonyms</b>	
<b>Originator Company</b>	Pfenex/Stelis Joint Venture
<b>Active Companies</b>	Pfenex Inc
<b>Inactive Companies</b>	Pfenex/Stelis Joint Venture
<b>Highest Status</b>	Discovery
<b>Active Indications</b>	Unidentified indication
<b>Target-based Actions</b>	Interferon beta ligand
<b>Other Actions</b>	
<b>Technologies</b>	PEGylated formulation, Biological therapeutic, Parenteral formulation unspecified, Protein recombinant
<b>Last Change Date</b>	19-Jun-2015

### somatropin biosimilar, Pfenex/Stelis Joint Venture

<b>Drug Name</b>	somatropin biosimilar, Pfenex/Stelis Joint Venture
<b>Key Synonyms</b>	somatropin
<b>Originator Company</b>	Pfenex/Stelis Joint Venture
<b>Active Companies</b>	Pfenex/Stelis Joint Venture
<b>Inactive Companies</b>	
<b>Highest Status</b>	Discovery
<b>Active Indications</b>	Growth hormone deficiency
<b>Target-based Actions</b>	Growth hormone ligand
<b>Other Actions</b>	
<b>Technologies</b>	Biological therapeutic, Parenteral formulation unspecified, Protein recombinant
<b>Last Change Date</b>	18-Jun-2015

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### peg-interferon alpha-2a biosimilar, Pfenex/Stelis Joint Venture

<b>Drug Name</b>	peg-interferon alpha-2a biosimilar, Pfenex/Stelis Joint Venture
<b>Key Synonyms</b>	peginterferon alfa-2a
<b>Originator Company</b>	Pfenex/Stelis Joint Venture
<b>Active Companies</b>	Pfenex/Stelis Joint Venture
<b>Inactive Companies</b>	
<b>Highest Status</b>	Discovery
<b>Active Indications</b>	Hepatitis C virus infection
<b>Target-based Actions</b>	Interferon alpha 2 ligand
<b>Other Actions</b>	Anti-inflammatory, Antiviral
<b>Technologies</b>	Biological therapeutic, Parenteral formulation unspecified, Protein recombinant
<b>Last Change Date</b>	19-Jun-2015

### peg-asparaginase biosimilar, Pfenex/Stelis Joint Venture

<b>Drug Name</b>	peg-asparaginase biosimilar, Pfenex/Stelis Joint Venture
<b>Key Synonyms</b>	pegasparaginase
<b>Originator Company</b>	Pfenex/Stelis Joint Venture
<b>Active Companies</b>	Pfenex/Stelis Joint Venture
<b>Inactive Companies</b>	
<b>Highest Status</b>	Discovery
<b>Active Indications</b>	Acute lymphoblastic leukemia
<b>Target-based Actions</b>	Asparaginase stimulator
<b>Other Actions</b>	Anticancer
<b>Technologies</b>	PEGylated formulation, Biological therapeutic, Parenteral formulation unspecified, Protein recombinant, Recombinant enzyme
<b>Last Change Date</b>	19-Jun-2015

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