

SCHEDULE OF ASSESSMENTS: BASELINE AND SAFETY FOLLOW-UP PERIOD SONOMA BIOTHERAPEUTICS, INC. | PROTOCOL SBT777101-01

Protocol: Version 5.0 | 02 May 2023

	Safety Follow Up															UVª	ET	
Study Week	1			2		3	4	6	8	10	12	18	24	36	48/ES			
Study Day (visit window)	1	2	4 or 5	7 ±1	11 ±1	14 ±2	21 ±2	28 ±2	42 ±2	56 ±2	70 ±2	84 ±3	126 ±7	168 ±7	252 ±7	336 ±7		
Vital signs ^b	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Adverse events ^c	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Prior/Concomitant medications	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Full physical exam				•				•		•						•		•
Directed physical exam	•	•	•		•	•	•		•		•	•	•	•	•		•	
ICE score d	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•		•
Weight										•						•		•
12-lead triplicate ECG				•		•										•	•	•
Synovial biopsy for tissue ^e								•										•
Synovial fluid collection ^e								•				•						•
Assessment of synovitis (clinical and/or ultrasound)								•				•						•
Urine pregnancy test	•											•	•	•		•		•
Lipid tests ^f																•		
Coagulation ^f													•	•		•		
Hematology ^f		•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Clinical chemistry ^f		•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Urinalysis ^f										•					•	•		•
Blood sample for markers of inflammation ⁹																	•	
CRP		•		•		•	•	•	•	•	•	•	•	•	•	•	•	•
ESR		•		•		•	•	•	•	•	•	•	•	•	•	•	•	•
Joint count assessment (28 SJC/28 TJC)						•		•		•			•	•		•		•
Joint count assessment (66 SJC/68 TJC)												•						
Physician's Global Assessment of Arthritis						•		•		•		•	•	•		•		•
Patient's Global Assessment of Arthritis and Assessment of Arthritis Pain)						•		•		•		•	•	•		•		•
HAQ-DI						•		•		•		•	•	•		•		•
FACIT-F													•	•		•		•
Blood samples for PK (ddPCR) h		•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•

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PBMC sample for cellular immunogenicity								•		•		•				•	•	•
Serum sample for ADA								•		•		•				•	•	•
Plasma sample for exploratory markers		•		•		•	•	•	•	•	•	•	•	•	•	•	•	•
Serum sample for exploratory markers		•		•		•	•	•	•	•	•	•	•	•	•	•	•	•
PBMC sample for exploratory biomarkers		•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
PBMC sample for RCL												•		•		•	•	
SBT777101 administration	•																	
Overnight stay/acute safety monitoring (post-dose)	•																	
Patient self-temperature monitoring ⁱ		•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Patient check-in (phone call, text etc) j		•	•	•														

ADA = anti-drug antibody; CRP = C-reactive protein; ddPCR = droplet digital polymerase chain reaction; ECG = electrocardiogram;

ES = End of Study; ET = early termination; FACIT-F = Functional Assessment of Chronic Illness Therapy – Fatigue; HAQ-DI = health assessment questionnaire disability index;

ICE score = Immune Effector Cell-Associated Encephalopathy Score; PK = pharmacokinetic; RCL = replication competent lentivirus; SJC = swollen joint count;

TJC = tender joint count; UV = unscheduled visit; VAS= visual analogue score

Note: On Day 1, all assessments should be performed prior to dosing, unless otherwise specified.

- a. Assessments (which may include safety labs, ECG, ICE assessment, PK, ADA, and biomarker sample collection and synovial biopsy/fluid collection) should be performed as clinically indicated.
- b. Vital signs must be measured approximately 60 minutes prior to infusion, then approximately every 15 minutes during the infusion. Vitals should include cardiorespiratory monitoring (CRM, eg, telemetry) and be recorded every 4 hours during the first 24 hours from initiation of infusion.
- c. After informed consent has been obtained but prior to initiation of study drug, only SAEs caused by a protocol-mandated intervention should be reported. After initiation of study drug, all AEs will be reported until the end of the study. After this period, the Sponsor should be notified if the investigator becomes aware of any SAE that is believed to be related to prior study drug treatment.
- **d.** Every 4 hours while awake during the first 24 hours after initiation of infusion, with vital signs.
- e. The synovial biopsy/fluid collection can be performed at or up to 1 week after the scheduled assessment visit. The timing of the synovial biopsy and/or synovial fluid collection may be changed based on evaluation of data from the first dose escalation cohort. The synovial fluid collection at Week 12 and the synovial biopsy/fluid collection and at the ET visit are optional.
- f. Tests included in laboratory assessments are described in protocol Appendix C.
- g. A sample to test for markers of inflammation, including but not limited to ferritin, IL-6, IFNγ, and CRP, should be collected as soon as possible after the onset of a suspected adverse event per institutional standards of care.
- h. The PK sample collected on study Day 2 should be collected at approximately the same time of day that the infusion of study drug took place on study Day 1 (+/- 1 hour). An unscheduled PK sample should be collected as soon as possible after a suspected infusion related reaction adverse event.
- i. Subjects are required to measure and record their temperatures in the patient diary at least once daily. Sites are required to review patient diaries at each visit.
- j. Subjects should be contacted daily by the site (eq. by phone or text) following discharge through Day 7.

