SONOMA BIOTHERAPEUTICS

Protocol Clarification Letter #1

Date: August 31, 2023

Protocol: SBT777101-01, A Phase 1 Study to Evaluate the Safety, Tolerability, Pharmacokinetics, Pharmacodynamics, and Activity of Single Ascending Doses of SBT777101 in Subjects with Rheumatoid Arthritis

Dear SBT777101-01 Study Investigators,

This letter serves to clarify wording in the SBT777101-01 protocol, Version 5.0, dated May 2, 2023. Please review and share with your team and IRB as appropriate. Please let me know if you have any questions or concerns.

Clarifications:

1. **Reporting of AEs**

There is a discrepancy in Appendix A, footnote h which indicates "After informed consent has been obtained but prior to initiation of study drug, only SAEs caused by a protocol-mandated intervention should be reported."

This is being clarified to align with Section 8.2.2 which states "All SAEs plus any AE that is the result of a protocol specified procedure or intervention will be collected from the signing of the ICF until study drug administration."

2. **Study Days**

There is an error in Appendix B. Week 8 is erroneously listed as Day 168. The correct study day is **Day 56**.

3. **Erythrocyte Sedimentation Rate**

Erythrocyte Sedimentation Rate (ESR), also called Sedimentation Rate, is a nonspecific marker of inflammation that is commonly and routinely performed in clinical settings in conjunction with C-reactive protein (CRP), including in the evaluation and management of autoimmune diseases like rheumatoid arthritis (RA). ESR is elevated in some subjects with RA and may provide important information for understanding subjects' disease activity. ESR should be collected contemporaneously with all scheduled and unscheduled evaluations of CRP in the Schedule of

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Assessments. The addition of ESR to coincide with all evaluations of CRP will occur at the following timepoints:

Screening
Pre-Infusion (Days -10 to -4)
[Post-SBT777101 Infusion] Study Days 2, 7, 14, **21**, 28, 42, 56, 70, 84, 126, 168, 252, and 336
At any unscheduled visit in which CRP is also collected
Early Termination visit

Inclusion of ESR does not impact the frequency of blood collections.

These aforementioned clarifications will be reflected in the next protocol amendment.

Signature: DocuSigned by: Mai Hope Le 34857E85FCFB4C7... Date: 9/1/2023

Mai H. Le, MD

201 Haskins Way, Suite 203 * San Francisco, CA 94080 * (415)992-6245