

UNITED STATES PATENT AND TRADEMARK OFFICE

BEFORE THE PATENT TRIAL AND APPEAL BOARD

INTAS PHARMACEUTICALS LTD.,
Petitioner

v.

ATOSSA THERAPEUTICS, INC.,
Patent Owner

Case PGR2025-00043
Patent 12,071,391

DECLARATION OF STEPHEN GRAHAM DAVIES DPHIL

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I, Stephen Graham Davies, DPhil hereby declare under penalty of perjury:

I. Introduction

1. I have been retained by Groombridge, Wu, Baughman & Stone LLP, on behalf of Atossa Therapeutics, Inc. (“Atossa”) to provide opinions regarding U.S. Patent No. 12,071,391 (“the ’391 patent”, EX1001). Specifically, I have been asked to consider the validity of claims 1-44 of the ’391 patent (the “Challenged Claims”) in connection with Post Grant Review (PGR) No. 2025-00043 (“Petition” “Pet.”), filed by Intas Pharmaceuticals Ltd. (“Intas” or “Petitioner”), which challenges the patentability of all claims of the ’391 patent. Except as otherwise indicated, I have personal knowledge of the facts and opinions set forth in this declaration, and believe them to be true. If called upon to do so, I would testify competently thereto.

2. I am being compensated for my time at my standard consulting rate of £450/hour. I will be reimbursed for the expenses that I incur in the course of this work. My compensation is not contingent upon the results of my analysis, the substance of my opinions, or the outcome of any proceeding involving the Challenged Claims. I have no financial interest in the outcome of this matter or in the pending matters involving Petitioner or Atossa.

II. Background And Qualifications

3. I offer statements and opinions on behalf of Atossa, generally regarding the novelty and non-obviousness of the Challenged Claims, the prior art, and the

understanding of a person of ordinary skill in the art as it relates to the '391 patent and I offer responses to the opinions presented in the declarations of Dr. Ron Bihovsky (EX1034) and Dr. Jason McConville (EX1033).

4. My extensive background, training and research endeavors in the field of organic and pharmaceutical chemistry are relevant to the subjects of this declaration. My qualifications in these areas, as well as other areas of knowledge, are established below and by my curriculum vitae, attached as **Appendix A**.

5. I received my B.A. in Chemistry from the University of Oxford in 1973. I earned my D. Phil. in Chemistry from the University of Oxford in 1975. I received my D. Sc. in Chemistry from the University of Paris in 1980. Between 1975 and 1980, I also completed two Postdoctoral fellowships. First, I held an ICI Postdoctoral Fellowship and later a NATO Fellowship, before I joined the Centre National de la Recherche Scientifique (CNRS) at Gif-sur-Yvette as Attaché de Recherche (Research Assistant). The University of Salamanca, Spain also awarded me a Doctor Honoris Causa (honorary degree).

6. My current position is the Waynflete Professor of Chemistry Emeritus at the University of Oxford and Extraordinary Lecturer in Chemistry at New College, Oxford, England. I first began working as a chemistry instructor at Oxford in 1980. In 1996, I became a Professor of Chemistry at Oxford. I was Chairman of the Department of Chemistry from 2006 to 2011. As the Chairman, I had full

responsibility for all research, teaching, managerial and financial matters in one of the largest academic chemistry departments in the world. At Oxford, I have also supervised more than 100 graduate students and 100 post-doctoral fellows in the areas of organic organometallic, and medicinal chemistry.

7. In addition, I have received several editorial appointments. I was the Founding Editor and Editor-in-chief of the journal, "Tetrahedron: Asymmetry" from 1990-2017. I was also the Founding Editor and Editor of the Organic Series of "Oxford Chemistry Primers" and "Oxford Chemistry Masters." I also the Editor of the "On Chemistry" Books, and I was an Executive Editorial Board Member of the "Tetrahedron" family of Journals from 1989-2017.

8. I have continuously conducted academic, peer-reviewed, grant-funded research in the areas of medicinal chemistry and organic chemistry throughout my career. I have published over 600 peer-reviewed publications in addition to giving scores of research lectures. I have also been a committee member of many professional bodies, which are listed in my curriculum vitae.

9. Pertinent to the '391 patent, I have been interested in researching and have many publications on synthetic organic and medicinal chemistry, and in particular, the preparation of chemically and isomerically pure organic compounds, including the asymmetric and stereoselective synthesis of organic compounds for potential therapeutic use. I also have research experience and many publications on

the identification, synthesis, and evaluation of small molecule inhibitors of potential breast cancer biomarkers. A list of my more than 600 publications is included with my curriculum vitae.

10. I have also founded numerous companies including several focused on the preparation and development of compounds for potential pharmaceutical use. I founded Oxford Asymmetry, Ltd. in 1992 along with several other colleagues, which became a division of Oxford Asymmetry International plc, with a mission to provide pharmaceutical companies with enantiomerically pure compounds of interest on any desired scale, from small amounts for biological evaluation and research, to commercial quantities. I also am one of the founders of Summit Therapeutics plc and Summit Therapeutics Inc., which develop pharmaceutical compounds and have one such compound for treating Duchenne Muscular dystrophy which is currently being reformulated after a Phase II clinical trial and a novel specific antibiotic against the *C. difficile* bacterium that is being reevaluated after two phase III trials. I am also the Founder and Non-executive Director of Raphael Laboratories Limited, a company which focuses on developing prophylactics against airborne respiratory viruses including COVID-19 and its variants, one of which successfully completed a Phase II clinical trial and is being prepared for a Phase III trial. I am also the Founder and Non-executive Chairman of Sci-ink Ltd. And I previously was a Non-executive Director of Oxford University Innovation Ltd. In addition, I was a

Founder and Non-executive Director of OxStem Ltd., OxStem Neuro Ltd., Ox-Stem Cardio Ltd., OxStem Oncology Ltd., OxStem Ocular Ltd, Ox-Stem Beta Ltd, and OxStem Immuno Ltd. I am also the Founder and Non-executive director of OxReGen Ltd which uses AI and zebrafish for drug discovery.

11. I have received several awards, over the course of my career, including the Hickinbottom Fellowship (1984); Pfizer Award for Chemistry (1985); 1984 Corday Morgan Medal, Royal Society of Chemistry (1986); Royal Society of Chemistry Award for Organometallic Chemistry (1987); Pfizer Award for Chemistry (1988); Royal Society of Chemistry Bader Award (1989); Tilden Lecture Award, Royal Society of Chemistry (1996); Royal Society of Chemistry Award in Stereochemistry (1997); Prize Lectureship of the Society of Synthetic Organic Chemistry, Japan (1998); Distinguished Technopreneur Award, Singapore (2008); Royal Society of Chemistry Perkin Prize for Organic Chemistry (2011); and Doctor Honoris Causa, University of Salamanca, Spain.

12. In the past four years I provided testimony in the following proceedings:

- *Mitsubishi Tanabe Pharma Corp. v. Sandoz Inc et al*, CA No. 17-5319 (FLW)(DEA) (D.N.J.) (2021)
- *Biodelivery Sciences International Inc. and Arius Two Inc. v. Alvogen Group Inc.*, CA No. 1:18-cv-01395-CFC-CJB (D. Del.) (2021)

- *Celgene Corp. v. Sandoz Inc. et al*, CA No. 18-11026 (MAS)(DEA) (D.N.J.) (2021)
- *Slayback Pharma LLC v. Eye Therapies LLC*, Case IPR2022-00142 (2022)
- *Gilead Sciences Inc. v. Nucana Ltd London*, Claim No. HP-2021-000007 (2023)
- *Mylan Pharmaceuticals Inc. v. Bausch Health Ireland Ltd*, IPR2022-00722 (2023)
- *Bausch Health Ireland Ltd. v. Mylan Pharmaceuticals Inc.*, CA No. 22-cv-00020 (N.D. W.Va.) (2023)
- *Bausch Health Ireland Ltd. v. MSN Laboratories Pvt. Ltd.*, CA No. 21-cv-10057 (D.N.J.) (2023/2025)
- *Eisai R&D Management Co. v. Shilpa Medicare Ltd. and Sun Pharmaceutical Industries Inc.*, CA No. 19-19998 (CPO)(AMD) (D.N.J.) (2023)
- *Arbor Pharmaceuticals et al v. Saba Ilac Sansyii Ve Ticareet As, et al*, C.A. No. 22-353-MN (Consolidated) (D. Del.) (2023)
- *Bausch Health Ireland Ltd. And Eye Therapies LLC v. Dr Reddy's Laboratories Inc and Slayback Pharma LLC*, CA No. 21-16766 (RK) (RLS) (Consolidated) (D.N.J.) (2024)

- *Bausch Health Ireland Ltd. And Salix Pharmaceuticals Inc. v. MSN Laboratories Private Ltd and MSN Pharmaceuticals Inc.*, CA No. 21-10057 (SRC) (JSA) (D.N.J.) (2024)
- *Intas Pharmaceuticals Ltd. v. Atossa Therapeutics, Inc.*, PGR No. 2023-0043 (2024)
- *Eisai Inc and MSD Int GMBH v. Dr Reddy's Laboratories Inc*, C.A. No. 24-6765 (CPO) (AMD) (D.N.J.) (2025)
- *AbbVie Inc. v. Alkem Laboratories Limited*, CA No. 1:22-cv-01423 (JLH) (D. Del.) (2025)
- *Biogen Inc. and Alkermes Pharma Ireland Ltd. v. Zydus Worldwide et al*, CA No. 23-732 (GBW) (D. Del.) (2025)
- *Marck Sharp & Dohme LLC v. Zydus Pharmaceuticals Inc.*, CA No. 1:24-cv-10820 (KMW) (SAK) (D.N.J.) (2025)
- *Bausch Health Ireland Ltd. v. MSN Laboratories Pvt. Ltd.*, CA No. 21-cv-10057 (D.N.J.) (2023/2025)
- *Eisai Inc and MSD Int GMBH v. Shilpa Medicare Ltd and Sun Pharmaceutical Industries Inc.*, CA No 19-19998 (ZNQ)(DEA) (D.N.J.) (2023/2025)

- *Harmony Biosciences et al v. Lupin Ltd et al*, CA No. 23-1286 (JLH) (D. Del.) (2025)

III. Materials Relied Upon

13. In reaching the conclusions described in this declaration, I have relied on the documents and materials cited in this Declaration and those identified in **Appendix B**. These materials are the Petition, as well as the Petitioner's Exhibits, patents, related documents, and printed publications. Each of these is a type of document that experts in my field would reasonably rely upon when forming their opinions.

14. My opinions are also based on my education, training, knowledge, and personal and professional experience in the relevant areas of organic and medicinal chemistry.

IV. Legal Standards

15. I am not an attorney, but I have been informed by Atossa's counsel about the appropriate legal standards as set forth below for anticipation, obviousness, and written description, and have applied these standards in rendering my opinions.

16. I understand that the Board has instituted a post grant review of claims 1-44 of the '391 patent in its Institution Decision. I understand that the challenged grounds are as follows: **Ground 1** challenges claims 1-6, 8, 9, 11-15, 20, 23, 26-37, 40-44 as anticipated by Ahmad; **Ground 2** challenges claims 1-6, 8, 9, 11-16,

20, 23, 26–37, 40–44 as obvious over Ahmad; **Ground 3** challenges claims 26–29, 33–37, 40, 41 as obvious over “Ahmad in view of Ahmad 2010/Ahmad 2012”; **Ground 4** challenges claim 7 as obvious over “Ahmad in view of Benameur”; **Ground 5** challenges claims 10, 12–15, 30, 31 as obvious over “Ahmad in view of de Villiers/Gandhi”; **Ground 6** challenges claims 21–25 as obvious over “Ahmad in view of Stegemann/HPE”; **Ground 7** challenges claims 7–19, 38, 39 as obvious over “Ahmad in view of Cole”; **Ground 8** challenges claims 10, 12-15 and 30 as “Lack[ing]Written Description/Enablement.” Pet.3.

17. I understand that for post grant review, invalidity must be shown under a preponderance of the evidence standard. I understand that to establish something by a preponderance of the evidence it must be proven that it is more likely true than not.

V. Claim Construction

A. Anticipation

18. I understand that anticipation occurs when a given prior art reference discloses each and every limitation of a claimed invention, either expressly or inherently. I further understand that a reference must not only disclose all elements of the claim within the four corners of the document, but must also disclose those elements arranged as in the claim.

19. I understand that prior art that must be modified to meet the disputed claim limitation does not anticipate the claim. I have also been informed that, to establish inherent anticipation, a party must show that the natural result flowing from the operation as taught would result in the performance of the claimed method. I further understand that inherent anticipation requires that the teaching of a prior art reference necessarily and inevitably results, as opposed to presenting a mere possibility of resulting, in the challenged claimed invention.

B. Obviousness

20. I understand that to find a patent claim unpatentable for obviousness, the claimed invention, as a whole, when considered against the prior art, as a whole, must have been obvious to a person having ordinary skill in the art at the time the invention was made.

21. I understand that in evaluating obviousness, I must consider: 1) the level of skill in the art, 2) the scope and content of the prior art, 3) differences between the claimed invention and prior art, and 4) objective evidence of non-obviousness.

22. I understand that the claimed invention and the prior art must each be looked at as a whole and that the party alleging obviousness has the burden of establishing that a person of ordinary skill in the art would have been motivated to make the invention as claimed with a reasonable expectation of success in doing so.

23. I further understand that whether a person of ordinary skill in the art would have had a reasonable expectation of success in practicing the claims is determined based on the degree of unpredictability in the art as well as the guidance provided by the art.

24. I also understand that, in making an obviousness determination, it is improper to consider the prior art with a hindsight bias based on the teachings of the subject patent. Specifically, one must not use the subject patent as a template to suggest how the elements of the prior art could have been combined.

25. For the purposes of my opinions herein, I have assumed that the priority date for the '391 patent is September 11, 2017.

C. Written Description

26. I understand that the test for sufficiency of written description is whether the disclosure of the application relied upon reasonably conveys to those skilled in the art that the inventor had possession of the claimed subject matter as of the filing date. I further understand that the description requirement does not demand any particular form of disclosure, or that the specification recite the claimed invention *in haec verba*.

VI. Claim Construction

27. I understand that, for purposes of post grant review, claim terms are construed in accordance with their ordinary and customary meaning. I understand

claim construction begins with the claim language itself. Claim terms are presumed to have their ordinary and customary meaning in light of the patent's specification as understood by persons of skill at the time of invention, unless (1) the patentee sets out a definition and acts as his own lexicographer, or (2) the patentee disavows the full scope of a claim term either in the specification or during prosecution. I understand that the "ordinary and customary" meaning of a claim term is the meaning that the term would have to persons of skill at the time of the invention.

28. I have been asked to assume that, "[a] composition comprising an endoxifen and an enteric material" as used in each of the Challenged Claims means a mixture of an endoxifen and an enteric material. I have applied this understanding in my analysis below in Section VIII with respect to the independent claims (claims 1 and 32). I have applied both this understanding as well as Petitioner's position (noted above) in my analysis below in all other sections (e.g., Sections IX-XIV), and my opinions therein remain the same under this understanding as well as under Petitioner's position.

29. I have been asked to assume that, "stable" as used in claim 16, means "the continued presence of at least 90% (Z)-endoxifen in a composition...measurable by (Z)-endoxifen conversion to (E)-endoxifen starting from the date of synthesis." EX1001 ('391 patent), 81:14-18. I have applied this understanding in my analysis below.

30. For all other terms, I have been asked to assume that they have their plain and ordinary meaning as they would have been understood by a person of ordinary skill in the art (“POSITA”) in light of the specification.

VII. Person Of Ordinary Skill In The Art

31. I understand that a POSITA is a hypothetical person who is presumed to have known the relevant art at the time of the invention. I understand that POSITA is also a person of ordinary creativity, who in many cases will be able to fit the teachings of multiple patents or printed publications together. I further understand that the factors that may be considered in determining the level of ordinary skill in a particular field of art include (1) the level of education and experience of those working in the field, (2) the types of problems encountered in the field, and (3) the sophistication of the technology at the time of the invention, which I understand to be September 11, 2017. I understand this date is sometimes referred to as the “priority date” or “earliest filing date” of the patent. I understand that not every factor may be present in every case. I understand that POSITA is not a specific real person, but rather is a hypothetical person having the qualities reflected by the above-discussed factors. I further understand that POSITA would have knowledge from the teachings of the prior art, including the art cited herein.

32. I understand that the Board has preliminarily adopted Petitioner’s definition of a POSITA as “someone with a graduate degree in organic chemistry,

medicinal chemistry, pharmaceutical chemistry, or a related field, and four to six years of experience in the synthesis, purification, analysis, design, and/or formulation of pharmaceutical compounds and derivatives,” and “would have worked with a team of professionals with training in related disciplines, such as pharmacology, pharmacokinetics, formulation, drug discovery and/or drug development as of the date of the claimed inventions.” I have been asked to assume this definition of a POSITA for the purpose of my analysis.

33. Well before September 11, 2017, my level of skill in the art was at least that of POSITA under the Board’s adopted definition. I am qualified to provide opinions concerning what such POSITA would have known or understood as of that time. Unless otherwise stated, my analysis and conclusions provided herein are from the perspective of POSITA, as defined by the Board, as of that date.

VIII. Technical Background

A. The ’391 Patent

34. The ’391 Patent addresses persistent shortcomings in tamoxifen-based hormone breast cancer therapy by enabling delivery of (Z)-endoxifen, the primary active metabolite of tamoxifen, using a novel pharmaceutical composition that improves stability, purity, and therapeutic reliability. *See* EX1001, 2:41-43. The patented composition includes (Z)-endoxifen and an *enteric material*, which, when formulated together (without the need for, *e.g.*, an external enteric coating), such as

in an uncoated enteric tablet, enable intestinal absorption of endoxifen while protecting it from degradation in the acidic environment of the stomach. *See id.*, cl.1; 39:22-28.

35. The specification explains that oral dosage forms such as tablets, caplets, and capsules may employ enteric functionality, and it identifies pH-dependent (i.e., enteric) polymers and other acid insoluble polymers as examples of materials suitable for this purpose. *Id.*, 4:31-40, 10:63-68, 36:9-13, 36:65-37:4. 39:1-51. In particular, the specification states that “the enteric tablets ... may be uncoated.” EX1001, 40:1-2. In my opinion, a POSITA would understand that if a tablet is described as “enteric” yet “uncoated,” the enteric behavior would be achieved by the formulation of the tablet itself (rather than an exterior coating around the tablet), meaning that one or more enteric materials (such as pH-dependent polymers or other enteric excipients) would be incorporated into the tablet, for example by being mixed with the active ingredient and compressed into the tablet matrix.

B. The Asserted Prior Art

1. Ahmad (EX1003)

36. U.S. Patent No. 9,333,190 (“Ahmad”), which is listed on the face of the ’391 patent, is entitled “Endoxifen compositions and methods.” EX1003, Cover. Ahmad discloses that “[w]hen desired, [the] composition containing endoxifen or

endoxifen-lipid complex can be encapsulated in enteric-coated capsules to protect it from acids in the stomach.” EX1003, 18:19-21.

IX. Ahmad Fails To Disclose The “Composition” Of Independent Claims 1 And 32 (Grounds 1 through 7)

37. I have reviewed independent claims 1 and 32, which recite “[a] composition comprising an endoxifen and an enteric material.” EX1001 (’391 Patent), cls. 1, 32. As noted above, I have been asked to assume this phrase means a mixture of an endoxifen and an enteric material.

A. Ahmad Fails to Disclose the Claimed “Composition”

38. Dr. McConville relies on Ahmad (EX1003) as the primary reference for Grounds 1-7. Dr. McConville’s opinions across all grounds rely on his opinion that Ahmad discloses “a composition comprising an endoxifen and an enteric material.” EX1033 (McConville) ¶¶53-54. Dr. McConville states the following at ¶54:

54. Ahmad is titled “Endoxifen compositions and methods” and “provides compositions containing endoxifen.” Ex. 1003 at Title, Abstract. Ahmad further teaches that “[w]hen desired, [the] composition containing endoxifen or endoxifen-lipid complex can be encapsulated in enteric-coated capsules to protect it from acids in the stomach.” *Id.*, 18:19-21. Ahmad explains that the “enteric coatings prevent release of medication before it reaches the small intestine.” *Id.* at 18:22-24. It further teaches that “[m]ost enteric coatings work

by presenting a surface that is stable at acidic pH but breaks down rapidly at higher pH.” *Id.* at 18:24-26. It finally notes that “[e]nteric coating of capsules filled with compositions containing endoxifen can be done as methods known in the art.” *Id.* at 18:27-29. Thus, Ahmad teaches compositions comprising endoxifen and an “enteric material.”

39. Based on the construction of “composition” I have assumed, I do not agree the Ahmad disclosure relied on by Dr. McConville teaches a composition that itself comprises an endoxifen and an enteric material (i.e., a mixture of an endoxifen and an enteric material). In my opinion, Ahmad’s cited disclosure describes an approach in which a composition “containing endoxifen” is prepared, and, “when desired,” that composition is placed into a separate enteric-coated capsule. EX1003 (Ahmad), 18:19-29. The endoxifen and the enteric material (in this case an enteric-coating on the exterior of a capsule) are not mixed together, as required in a “composition.” On its face, this Ahmad a disclosure about enteric coating of a capsule containing an endoxifen composition, not a disclosure of a composition where an enteric material is mixed together with the endoxifen within the composition itself. EX1003 (Ahmad), 18:19-29. In particular, from a formulation standpoint, an “enteric-coated capsule” refers to a capsule in which the enteric material is applied as a coating layer on the outside of the capsule shell, after the capsule has been filled and closed. *See* EX1003 (Ahmad), 18:27-29 (“Enteric

coating of capsules filled with compositions containing endoxifen...”). The capsule shell and the external coating layer thus remain physically separate from, and are not mixed together with, the material contained inside the capsule. Accordingly, a POSITA would not have understood an “enteric-coated capsule” containing “an endoxifen composition” to mean a mixture of endoxifen and enteric material (*i.e.*, that the enteric coating on the capsule is mixed together with the endoxifen in the composition itself).

40. Accordingly, it is my opinion that Ahmad does not disclose the claimed composition. Therefore, Ahmad does not anticipate independent claims 1 and 32 (or any claims that depend from those claims).

X. Ahmad In View Of Gandhi Does Not Render Obvious Dependent Claim 30 (Ground 5)

41. **Claim 30** requires “suspending the endoxifen and the enteric material in a fluid.” Claim 30 depends from claim 9, which requires that “the composition of claim 1” is “formulated as a suspension.” Even under Petitioner’s construction, these claims still require a suspension that includes *both* endoxifen and enteric material in the claimed suspension or suspension-making step. Dr. McConville acknowledges that claim 9 “encompass[es] the independent claim 1... which includes endoxifen *and the enteric material.*” EX2032 (McConville Tr.), 67:3-10. Dr. McConville further admits that “Ahmad does not explicitly disclose the use of

an enteric material in a suspension,” and relies on Gandhi for claim 30 in Ground 5. EX1033 (McConville), ¶¶143-145.

42. I understand that a motivation to combine would not be supported where the proposed modification of prior art is unnecessary to prior art system that already includes the function of proposed additional feature and would do little more than add unwanted cost and complexity to the system.

43. Here, Dr. McConville opines that “[a] POSA would have been motivated to formulate a suspension of (Z)-endoxifen, as described by Ahmad, with an enteric material, as described by Gandhi, to ensure that the endoxifen was released in the small intestine where it would be absorbed into the body and have a pharmaceutical effect.”. EX1033 (McConville), ¶145. I disagree. In my opinion, Dr. McConville has not shown that a POSITA starting from Ahmad would have been driven to adopt Gandhi’s method to achieve that asserted goal. Ahmad already provides its own oral dosage form options for endoxifen, including “suspensions,” and separately describes an “enteric” approach in the form of enteric coated capsules “filled with composition containing endoxifen” to protect the endoxifen from stomach acid. EX1003 (Ahmad), 18:1-8, 18:19-31. Thus, to the extent a POSITA starting from Ahmad sought an enteric solution, Ahmad itself directs the POSITA to enteric coating of a solid dosage form, rather than to a fundamentally different sustained release pellet system as described in Gandhi. EX1003 (Ahmad), 18:19-

31. Dr. McConville's stated motivation for turning to Gandhi is to "ensure that the endoxifen was released in the small intestine where it would be absorbed into the body and have pharmaceutical effect." EX1033 (McConville), ¶145. But that goal is already expressly addressed by Ahmad's enteric coated capsule disclosure. EX1003 (Ahmad), 18:19-31. Rather than using Ahmad's straightforward enteric-coated capsule approach, Dr. McConville's theory would require a POSITA to shift to Gandhi's materially different pellet-based architecture, including creating "inert pellets" from "sugar spheres," forming the active ingredient into a "drug layer" surrounding the pellets, applying another "coating layer" of a "rate controlling polymer" surrounding the "drug layer," and then suspending those multi-layered pellets in a "suspending medium." EX1022 (Gandhi), 5:6-16, 21:1-22. In practical formulation terms, that shift would introduce additional formulation and manufacturing complexities that Ahmad does not discuss or require, including controlling pellet size distribution, achieving consistent layer-by-layer drug loading across pellets, selecting and optimizing coating compositions (including the coating polymer and associated processing solvents) and coating thickness/curing conditions to obtain the intended release profile, and avoiding pellet agglomeration or coating defects during the coating/layering process. Gandhi's approach also adds downstream complexity to Ahmad because it depends on keeping relatively large coated pellets dispersed in a liquid "suspending medium," which typically requires

careful selection and optimization of suspending agents, viscosity, and mixing to manage settling, dose uniformity and stability over time. EX1022 (Gandhi), 5:6-16, 21:1-22. For these reasons, in my opinion, Dr. McConville has not demonstrated that a POSITA would have been motivated to abandon Ahmad's optional, "when desired" straightforward enteric-coated capsule approach and instead turn to Gandhi's far more complex sustained-release pellet suspension system.

44. In addition, in my opinion, even if a POSITA considered Gandhi, Dr. McConville does not establish a reasonable expectation of success of practicing the claims in connection with combining Gandhi's pellet-based system with Ahmad's endoxifen suspension, and I do not agree with Dr. McConville's suggestion that expectation of success is satisfied because "this is taught in Gandhi." EX1033 (McConville), ¶¶143-145. Ahmad teaches preparing "endoxifen lipid complex" by "solubilizing or suspending endoxifen and lipid(s) together in an aqueous solution," and then "filtering" the resulting "complexes" "to control the size distribution," including "filter[ing] through a 5 micron filter to obtain complexes, each particle having a diameter of about 5 micron or less." EX1003 (Ahmad), 16:60-63, 17:45-54. Ahmad further teaches that the "average diameter" of these "complexes" may be "in the micron or submicron range," including as low as "0.1 μm or less." EX1003 (Ahmad), 17:55-66, 18:31-37. Gandhi, by contrast, is built around manufacturing and handling much larger "pellets" prepared on "spheres," including

“sugar pellets” sifted through “the 60/80 mesh,” followed by coating on spheres to form drug pellets that are later mixed into a “suspending medium.” EX1022 (Gandhi), 21:1-4, 21:18-22, 5:8-16. A POSITA would have understood Gandhi’s “60/80 mesh” terminology as referring to standard sieve mesh sizing, where the mesh number reflects the number of openings per inch in the screen used to classify particles, and “60/80 mesh” pellets would therefore be particles in the hundreds of micron range, because a 60 mesh screen has openings on the order of about 250 micron and an 80 mesh screen has openings on the order of about 180 micron, so material described as sifted through 60/80 mesh would be expected to fall in that approximate size range. In my opinion, that means Gandhi’s pellets are orders of up to hundreds to thousands magnitude larger than Ahmad’s micron or submicron complexes, and the two references teach materially different physical formats and manufacturing routes, with Ahmad focused on forming and filtering very small complexes and Gandhi focused on building coated pellets on an inert core and then suspending those pellets. EX1003 (Ahmad), 17:45-54; EX1022 (Gandhi), 5:8-16, 21:1-4. Dr. McConville does not explain how a POSITA would practically convert Ahmad’s micron or submicron complexes into Gandhi’s much larger pellet format, or otherwise adapt Gandhi’s inert-core coating process to Ahmad’s complexes. Therefore, in my opinion, given such substantial technical and formulation hurdles posed by the stark size and format mismatch, Dr. McConville has failed to

demonstrate a reasonable expectation of success in redesigning Ahmad, in view of Gandhi, to achieve the claimed method step of “suspending the endoxifen and the enteric material in a fluid.”

45. Accordingly, it is my opinion that Ahmad in view of Gandhi does not render obvious claim 30.

XI. Claim 16 (Stability Claim) Is Not Obvious Over Ahmad (Ground 2)

46. Claim 16, which depends from claim 1, requires “[a] composition comprising an endoxifen and an enteric material,” and further requires that “the compound of Formula (III) is stable in the composition for at least 10 days at about 25° C.” EX1001 (’391 Patent), cls. 1, 16.

47. Ground 2 for claim 16 is described in the Petition as obviousness over “Ahmad in view of the knowledge of a POSA.” Pet.46. Dr. Bihovsky and Dr. McConville articulate additional theories in their declarations. For example, Dr. Bihovsky states that the claimed stability is inherently disclosed by Ahmad in view of Liu-based experiments, and he also advances an obviousness theory over a combination of “Ahmad and Liu.” EX1034 (Bihovsky), ¶¶75-76, 78, 81-85. Dr. McConville similarly characterizes claim 16 as “inherently” taught by Ahmad. EX1033 (McConville), ¶119. I disagree with their opinions, as explained below.

48. The Petition relies on Dr. Bihovsky’s Liu-based work as alleged evidence of the claimed stability. Pet.44-46, EX1034, ¶¶76, 81-84. In my opinion,

Dr. Bihovsky's recreation of Liu does not provide a basis for a reasonable expectation of success that a POSITA starting from Ahmad would achieve claim 16's stability requirement in the claimed enteric-material composition. Dr. Bihovsky did not test Ahmad's endoxifen. Instead, he tested the material he synthesized in attempting to recreate Liu. *See* EX2033 (Bihovsky Tr.), 284:2-5 ("Q And your stability testing was of the same (Z)-endoxifen material that you synthesized based on your recreation of Liu, right? A That's correct."). Ahmad does not identify a specific crystal structure or polymorph for its endoxifen. Dr. Bihovsky admits that stability of a composition is dependent on "its crystal structure, and its purity." EX1034 (Bihovsky), ¶¶74. But Dr. Bihovsky never establishes that the Liu-recreated endoxifen he synthesized and tested has similar crystal structure and purity as the endoxifen of Ahmad, and there is no basis for assuming the two would be the same. Therefore, in my opinion, Dr. Bihovsky's testing is not representative of what a POSITA starting from Ahmad would reasonably expect to achieve in stability.

49. In addition, Dr. Bihovsky's description indicates that he materially departed from Liu's described process in numerous substantive ways during his work, including: (1) changing the ratios of his starting materials to be different than what Liu disclosed (thus failing to properly scale down his experiments), (2) changing the temperature of multiple reactions (EX1034, ¶¶48, pp.69, 72; EX2033,

144:1-146:15), (3) adding additional stirring (EX1034, ¶¶58, 68), (4) scratching the flask during his final recrystallization procedure despite Liu not disclosing this (EX1034, ¶58), (5) adding multiple additional purification steps (including a column chromatography step that he admitted was superior to Liu's washing step and an additional purification step to Liu Example 7) (EX1034, ¶¶49 n.4, 59; EX2033, 62:9-63:15, 67:9-12, 67:16-68:9, 293:11-294:21), (6) creating a solution when Liu expressly disclosed a suspension (EX1034, ¶64; EX2033, 271:22-272:20), and (7) adding a drying step not disclosed by Liu (EX1034, ¶48 n.1). *See* EX2033, 284:2-5 (“Q And your stability testing was of the same (Z)-endoxifen material that you synthesized based on your recreation of Liu, right? A That's correct...”). I note that Dr. Bihovsky testified that but for many of these changes, it would have been impossible or at least very difficult to proceed with the following steps of his experiments. *See, e.g.*, EX2033, 69:1-71:5, 111:11-112:9, 116:12-117:5, 118:2-11, 165:18-166:11, 296:10-297:2. He also admitted that changes to the ratio of starting ingredients would be result in a “different experiment.” *See, e.g.*, EX2033, 100:7-17, 101:7-102:8.

50. In my opinion, Dr. Bihovsky's Liu-based work indicates that obtaining (Z)-endoxifen with the particular crystal structure and purity characteristics required to meet the claimed stability was not a straightforward, predictable result of simply following Liu as written. Accordingly, I do not agree that Dr. Bihovsky's Liu-

recreated results support any reasonable expectation of success, or any inference of inherent stability, for a different reference such as Ahmad.

51. In addition, I do not agree that Dr. McConville's references to "formulation strategies" and "packaging solutions" establish obviousness of claim 16's specific stability requirement for the claimed enteric-endoxifen composition. EX1033 (McConville), ¶120. Dr. McConville lists general countermeasures such as stabilizers, coatings, pH optimization, polymorph selection, desiccants, and inert gas packaging. EX1033 (McConville), ¶120. At the same time, Dr. McConville acknowledges that formulation approaches are "specific to the type of degradation mechanism and API," and that "[p]ackaging solutions are dependent on the type of dosage form." EX1033 (McConville), ¶120. In my opinion, those acknowledgments confirm that such measures are not one-size-fits-all, and Dr. McConville does not identify any particular formulation or packaging choices for the specific claimed enteric-endoxifen composition with any supported basis for concluding they would achieve the claimed stability threshold.

52. Accordingly, it is my opinion that claim 16 is not obvious over Ahmad.

XII. Claims 26-29, 33-35 (Endoxifen Quantity Claims) Are Not Anticipated Or Obvious (Grounds 1, 3)

53. Claims 26-29 recite that "the composition comprises" specified amounts of (Z)-endoxifen ("0.01 mg to 200 mg" (claim 26), "1 mg to 20 mg" (claim

27), “1 mg to 4 mg” (claim 28) and “8 mg” (claim 29)), and claims 33-35 recite corresponding method of administering specified amounts of (Z)-endoxifen. EX1001, cls. 26-29, 33-35. Dr. McConville opines these claims are anticipated by Ahmad (Ground 1) and rendered obvious by Ahmad in view of Ahmad 2010/Ahmad 2012 (Ground 3). I disagree, including for the reasons explained below.

A. Ground 1: Ahmad Does Not Disclose The Claimed Endoxifen Quantity Limitations

54. Dr. McConville opines that Ahmad’s disclosure of doses of 1 mg-10mg/day discloses claim 26’s requirement that the composition comprises from 0.01 mg to 200 mg (Z)-endoxifen, claim 27’s requirement that the composition comprises from 1 mg to 20 mg of (Z)-endoxifen, claim 28’s requirement that the composition comprises from 1 mg to 4 mg of (Z)-endoxifen, and claim 29’s requirement that the composition comprises 8 mg of (Z)-endoxifen. EX1033 (McConville), ¶¶78-79 (citing EX1003 (Ahmad), 29:20-31). Dr. McConville further opines that Ahmad’s disclosure of administering 1 mg-10 mg/day discloses claim 33’s requirement of administering a composition comprising from 1 mg to 20 mg of (Z)-endoxifen, claim 34’s requirement of administering a composition comprising 1 mg to 4 mg of (Z)-endoxifen, and claim 32’s requirement of administering a composition comprising 8 mg of (Z)-endoxifen. EX1033 (McConville), ¶¶78-79. For the reasons discussed below, I disagree.

55. In my opinion, an amount administered daily expressed in *mg/day*, as Ahmad discloses, would not have been understood by a POSITA to be the same thing as a disclosure of the amount of endoxifen actually contained in the claimed composition required by **claims 26-29** or the method to administer a composition required by **claims 33-35**. A daily amount administered can be achieved in many different ways, including by multiple dosage units per day, different unit strengths, split dosing, or other dosing schedules, and the “mg/day” statement alone does not specify what amount is actually contained in a given composition (*e.g.*, in a single capsule or tablet). For example, a 8 “mg/day” regimen could be implemented as a single 8 mg dosage unit taken once daily, as two 4 mg dosage units taken twice daily, as four 2 mg dosage units taken four times daily, or as an asymmetric split dose such as 5 mg in the morning and 3 mg in the evening, depending on clinical considerations and formulation availability. Indeed, Dr. McConville acknowledges that each of these claims requires the “composition itself” to include the recited amount, and admits that a specific amount of a drug in a composition is not satisfied by taking two separate tablets a day that together add up to that specific amount. EX2032 (McConville Tr.), 75:22-76:3, 76:14-77:11.

56. Dr. McConville opines that the 1 mg – 10 mg/day range in Ahmad discloses the narrower claimed “1 mg to 4 mg” range of **claims 28 and 34** and the specific “8 mg” amount of **claims 29 and 35**, and that “[a] POSA would not

understand a reasonable difference in how (Z)-endoxifen operates over the claimed ranges” based on doses in Ahmad 2010 and 2012. EX1033 (McConville), ¶79. I disagree with Dr. McConville’s opinion.

57. Dr. McConville’s assertions about there being no “reasonable difference in how (Z)-endoxifen operates over the claimed ranges” is not directed to the amount of endoxifen in a given composition (*e.g.*, a single capsule or tablet). EX1033 (McConville), ¶79. Dr. McConville points to Ahmad 2010’s disclosure of “multiple daily endoxifen doses of 2.0-4.0 mg will result in endoxifen exposures... a dose of 4 mg of endoxifen should be appropriate.” EX1033 (McConville), ¶79 (citing EX1011, 816). But, as discussed above, this disclosure says nothing about how much endoxifen was in each tablet administered. Similarly, Dr. McConville points to Ahmad 2012’s disclosure of “[m]ultiple daily endoxifen doses.” EX1033 (McConville), ¶79 (citing EX2012, 2). But again, while Ahmad 2012 mentions tablets, this disclosure in Ahmad 2012 is not directed to the amount of endoxifen in a single tablet.

58. Accordingly, Dr. McConville’s explanations fail and it is my opinion that for these additional reasons, Ahmad does not anticipate claims 26-29, 33-35.

B. Ground 3: Ahmad In View Of Ahmad 2010/Ahmad 2012 Does Not Render Obvious Claims 29 and 35

59. Dr. McConville opines that a POSITA would have been “motivated...to try dosages” in the claimed amounts. EX1033 (McConville), ¶93. Dr. McConville relies on Ahmad’s generalized statement that endoxifen may be administered at “1 to 10 mg/day,” and on Ahmad 2010 and Ahmad 2012. EX1033 (McConville), ¶93; EX1011 (Ahmad 2010), 816; EX1012 (Ahmad 2012), 2. However, Dr. McConville does not provide any analysis directed to the 8 mg limitations, and the only reference he points to that mentions “8” is a statement in Ahmad 2012 referring to “doses of 4.0–8.0 mg.” EX1033 (McConville), ¶93 (citing EX1012 (Ahmad 2012), 1-2). In my opinion, that statement would not be understood by a POSITA to disclose a single formulated dosage unit that contains 8 mg of (Z)-endoxifen. It is instead a general statement about administered “doses,” which as discussed above could be achieved through numerous dosing regimens and multiple dosage units, and therefore does not teach or suggest the claimed 8 mg formulation required by claims 29 and 35. Therefore, in my opinion, Dr. McConville’s explanation fails. Accordingly, it is my opinion that claims 29 and 35 are not obvious over Ahmad in view of Ahmad 2010/Ahmad 2012.

XIII. Claims 36-37 (Steady State Claims) Are Not Anticipated Or Obvious (Grounds 1, 3)

60. Claims 36 and 37 depend from claim 32 and require administering the claimed composition in a manner that “maintains the subject’s plasma endoxifen at a steady state level above 30 nM” (claim 36) or “from 30 nM to 300 nM” (claim 37). EX1001, cls. 36-37. Dr. McConville opines that Ahmad “inherently teaches the pharmacokinetics recited in claims 36, 37” (Ground 1), and that “to the extent” not inherent, a POSITA would have “optimized a formulation” to achieve the claimed levels in view of Ahmad 2010/2012 (Ground 3). EX1033 (McConville), ¶¶80, 97-100. I disagree. In my opinion, Dr. McConville does not provide any evidence showing that administering Ahmad’s formulations is inherent—i.e., that it necessarily achieves and maintains the specific steady state plasma endoxifen thresholds recited in claims 36 and 37, and he likewise does not provide a supported rationale showing a POSITA would have been motivated to target these specific thresholds with a reasonable expectation of success.

A. Ground 1: Ahmad Does Not Inherently Disclose The Claimed Steady State Limitations

61. In Ground 1, Dr. McConville opines that “because Ahmad teaches the claimed composition of claim 32, Ahmad inherently teaches the pharmacokinetics recited in claims 36, 37...” EX1033 (McConville), ¶80. I disagree. In my opinion, Dr. McConville has not established that the particular formulation and dosing regimen disclosed in Ahmad will necessarily and inevitably maintain steady state

plasma endoxifen above 30 nM or within 30 nM to 300 nM, especially where Ahmad provides *no* human plasma concentration data and no steady state data for the asserted formulation. In particular, without *any* disclosure or data linking Ahmad's disclosure to the specific steady state maintenance ranges claimed here, a POSITA could not have concluded that the claimed steady state levels are necessarily achieved by practicing Ahmad. As the Board noted in the Final Written Decision in the '334 PGR (PGR2023-00043, Pap.37) differences in synthetic pathways and the resulting impurity profiles could impact pharmacokinetics. PGR2023-00043, Pap.37, 47-48.

62. For example, Dr. McConville assert that Ahmad 2012 provides “steady state plasma levels ranging from 65.5 to 359 nM.” EX1033 (McConville), ¶99. In my opinion, this evidence further underscores that the claimed steady state levels are not necessarily maintained, because, if the steady state levels can reach **359 nM**, then practicing the asserted prior art approach does not *necessarily* maintain steady state plasma endoxifen within the claimed upper limit of **300 nM** required by claim 37.

63. In addition, Dr. McConville also acknowledges that achieving a desired steady-state range requires adjusting dose/absorption and “play[ing] around with the formulation,” not an automatic or inevitable outcome. EX2032 (McConville Tr.), 36:22-37:12. Moreover, Dr. McConville admits that whether inclusion of “enteric

material” would change PK metrics is something “you’d have to test,” and he could not rule out differences without testing. *Id.*, 23:21-24:5, 33:15-20, 35:4-10.

64. Finally, the '391 reports comparative steady state data demonstrating that the pharmacokinetics of the claimed composition are not encompassed by the published endoxifen literature values. Table 22 presents steady state concentrations from published literature (including Ahmad 2010 and Ahmad 2012) alongside the study results for the '391 composition, and reports that at the same nominal doses (*e.g.*, 1 mg, 2 mg, and 4 mg), the study results for the '391 composition show higher average steady-state concentrations (150% - 204%) than the published values. EX1001, Table 22. In my opinion, this comparison shows that steady state exposure is formulation-dependent and can differ materially even at the same nominal dose, which means the claimed steady state levels cannot be assumed to be an inevitable result of administering endoxifen generally as described in the Ahmad-related references.

65. Accordingly, it is my opinion that Ahmad does not anticipate claims 36-37.

B. Ground 3: Ahmad In View Of Ahmad 2010/Ahmad 2012 Do Not Render Obvious The Claimed Steady State Limitations

66. Under Ground 3, Dr. McConville opines that “[t]o the extent the claimed pharmacokinetics were not inherently achieved following Ahmad, a POSA

would have been aware of the target pharmacokinetics expected to be efficacious and would have optimized a formulation to achieve them (e.g., as indicated by Ahmad 2010 and Ahmad 2012) with a reasonable expectation of success.” EX1033 (McConville), ¶¶97-100. I disagree.

67. First, Dr. McConville has not provided a supported “optimization” rationale that is tied to the specific steady state thresholds recited in claims 36 and 37. Dr. McConville simply asserts a POSITA would have been aware of “target pharmacokinetics expected to be efficacious” and would have optimized a formulation to achieve them with a reasonable expectation of success. EX1033, ¶¶97-100. In my opinion, this does not identify any teaching in the cited Ahmad references that a POSITA would have specifically targeted maintaining steady state above 30 nM or within 30 nM to 300 nM, including the specific 30 nM reference point and the 300 nM upper limit. The ’391 patent, by contrast, explains that maintaining steady state levels greater than 30 nM is advantageous in reducing the likelihood of relapse. EX1001, 46:34-38. Dr. McConville does not identify any corresponding teaching in the asserted Ahmad references that recognizes that threshold as a target for maintenance through administration.

68. Second, as discussed above, the pharmacokinetic behavior of the compositions described in the ’391 patent is *different* from the pharmacokinetic behavior reported for the formulations studied in the Ahmad publications. The ’391

patent itself provides a side-by-side comparison in Table 22, which summarizes steady state concentration data from published literature, including Ahmad 2010 and Ahmad 2012, and compares those values to the study results obtained for the claimed formulation. EX1001, Table 22. As shown in Table 22, at the same nominal dose levels of 1 mg, 2 mg, and 4 mg, the claimed formulation achieved higher average concentration at steady state than the published literature values, with reported ratios of approximately 154%, 204%, and 150%, respectively. EX1001, Table 22. In my opinion, these data reflect meaningful differences in bioavailability and overall pharmacokinetic profile between the claimed compositions and the Ahmad formulations, and reinforce that Dr. McConville's asserted "optimization" path is not a predictable, routine exercise with a reasonable expectation of success for achieving and maintaining the specific steady state thresholds recited in claims 36 and 37.

69. Finally, even accepting Dr. McConville's citations to steady state values in Ahmad 2010 and Ahmad 2012 for purposes of argument, the cited evidence reflects variability and includes values that exceed the claim 37 ceiling. Dr. McConville assert that Ahmad 2012 provides steady state levels "ranging from 65.5 to 359 nM" in addressing claim 37. EX1033 (McConville), ¶¶99-100. In my opinion, that asserted range does not support a conclusion that a POSITA would have reasonably expected, without additional technical guidance, to achieve and

maintain steady state levels that remain within 30 nM to **300 nM** as claim 37 requires, and it also does not identify any basis showing that a POSITA would have viewed the 30-300 nM range as an “optimal” or even a specific target range to be achieved and maintained. Rather, Ahmad 2012 indicates that steady state levels can exceed 300 nM at least in some subjects or conditions, and Dr. McConville does not explain what formulation or dosing choices would reliably keep steady state levels within the claimed range while also maintaining them above 30 nM.

70. Accordingly, it is my opinion that Ahmad in view of Ahmad 2010/Ahmad 2012 does not render obvious claims 36-37.

XIV. Claims 10, 12-15 And 30 Are Described And Enabled (Ground 8)

71. Dr. McConville did not opine on Petitioner’s Ground 8, but I have reviewed Petitioner’s Ground 8 allegations directed to claims 10, 12-15, and 30. Pet.73-74.

A. Claims 10, 12-15 and 30 Are Supported

72. For claims 10, 12-15, Petitioner’s stated premise is that “although the 391 patent mentions syrups, elixirs, alcohols, etc., nowhere does the 391 patent specification disclose a suspension that comprises such substances.” Pet.73-74. In my opinion, a POSITA would not read the ’391 patent disclosures so narrowly. The ’391 patent expressly teaches that its “compositions” may be “prepared in ... fluid unit dosage forms,” including “elixirs, suspensions,... [and] syrups.” EX1001,

36:10-16. The patent further explains that the “composition ... further comprises one or more excipient,” EX1001, 36:26-28, and provides extensive examples of excipients and formulation components that may be used in the disclosed compositions, including substances that a POSITA would recognize as conventional fluid vehicles and/or ingredients for suspension formulations (e.g., glycerin, glycol, mineral oil, plant oils, and “combinations thereof”). EX1001, 36:65-37:4; 37:63-38:44. For example, the patent describes that an excipient may be a “lubricant” and provides examples of lubricants including “sorbitol, mannitol,... stearic acid, [and] sodium lauryl sulfate” as well as “glycerin,” “glycol” and “mineral oil,” EX1001, 36:65-37:4, 38:3-23. In my opinion, these disclosures reasonably convey to a POSITA that the inventors contemplated and possessed suspension embodiments in which the suspension includes fluid vehicles and related excipients of the types expressly identified for the disclosed fluid dosage forms, even if the specification does not separately restate the exact phrase “a suspension comprising [each named vehicle]” for each possible combination. *See, e.g.*, EX1001, 14:18-24; 35:13-14, 36:10-16, 36:26-33, 36:65-37:3, 37:27-36, 37:63-38:11, 38:24-39, 38:48-67, 39:1-16, 39:22-51, 39:22-38, 42:17-31, 42:54-59, 53:16-20, 53:60-67, 54:7-24, 54:30-36; 56:29-57; 81:22-39, 82:40-44.

73. For claim 30, Petitioner asserts the '391 specification “fails to describe a formulation in which the enteric material is suspended in a fluid with the

endoxifen.” Pet.74. In my opinion, a POSITA would understand the ’391 patent to expressly contemplate preparing the claimed composition in a fluid dosage form (including a suspension) while also including an enteric (pH-dependent) polymer as a formulation component of that same composition. As noted above, the ’391 patent teaches that its “compositions” may be “prepared in ... fluid unit dosage forms,” including “suspensions,” and that the “composition ... further comprises one or more excipients.” EX1001, 36:13-14; 36:26-27. The patent then describes “[e]xamples of excipients that can be used in the compositions.” EX1001, 36:65-37:4, 39:1-51. For example, the specification describes various exemplary liquid excipients including, *e.g.*, “lubricants” such as glycerin, glycol, mineral oil, plant oils, and “combinations thereof,” and further explains that “[a]dditional excipients may generally be found in Remington’s The Science and Practice of Pharmacy” (*id.*, 42:22-42), a widely used and comprehensive reference that Petitioner does not address. EX1001, 37:63-38:44. In my opinion, these disclosures would reasonably convey to a POSITA that the inventors possessed a method of suspending the endoxifen and the enteric material in a fluid. *See, e.g.*, EX1001, 35:13-14, 36:10-16, 36:65-37:4, 38:56-67, 39:1-67, 42:54-59, 53:60-67, 54:7-24, 54:30-36, 56:29-57:19, 81:22-39, 82:1-77.

74. Therefore, it is my opinion that claims 10, 12-15 and 30 are supported.

* * *

XV. Conclusion

75. In summary, for the reasons described above, it is my opinion that each of the Challenged Claims are not invalid as anticipated under 35 U.S.C. § 102 or as obvious under § 103 in light of the prior art references and based on the grounds discussed above. In addition, claims 10, 12-15, and 30 do not lack written description support or enablement.

76. I reserve the right to supplement by opinions in the future and to respond to any arguments that Petitioner or its expert(s) may raise and to take into account any new information as it becomes available to me.

77. I have been warned that willful false statements and the like are punishable by fine or imprisonment, or both. I make this declaration of my own personal knowledge, and all statements made of my own knowledge are true. All statements made on information and belief are believed to be true. If called to testify as to the truth of the matters stated herein, I could and would testify competently.

I declare under penalty of perjury of the laws of the United States of America that
the foregoing is true and correct.

Executed on January 26, 2026.



Stephen Graham Davies, DPhil

APPENDIX A

PROFESSOR STEPHEN GRAHAM DAVIES

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Date of Birth: 24.02.50 (Birmingham, UK) **Age:** 75

Education:

School: Berkhamsted 1963 - 1968

University of Oxford B.A. Chemistry 1973
Thesis entitled "Benzene Oxide and Related Compounds"
D.Phil. 1975 (Supervisor: Dr G.H. Whitham)
Thesis entitled "Studies on Epoxides"

University of Paris D.Sc. (Docteur ès Sciences) 1980
Thesis entitled "Contribution a La Chimie des Epoxydes"

Honorary Degrees:

2013 Doctor Honoris Causa, University of Salamanca, Spain
(The University of Salamanca is one of the oldest in the world and only awards three "Doctor Honoris Causa" per annum)

Positions Held:

1975 - 1977 I.C.I. Postdoctoral Fellow, Dept. of Inorganic Chemistry, Oxford.
(Professor M.L.H. Green, FRS)

1977 - 1978 N.A.T.O. Postdoctoral Fellow, I.C.S.N., C.N.R.S., Gif-sur-Yvette,
Paris. (Professor Sir Derek Barton, FRS)

1978 -1980 Attache de Recherche, C.N.R.S., I.C.S.N., C.N.R.S., Gif-sur-Yvette, Paris

1980 -1996 Lecturer in Organic Chemistry, Dyson Perrins Laboratory, Oxford.
Fellow of New College, Oxford

1996 - 2004 Professor of Chemistry, Dyson Perrins Laboratory, Oxford
Fellow of New College, Oxford

2004 - 2006 Professor of Chemistry, Chemistry Research Laboratory, Oxford
Fellow of New College, Oxford

2006 - 2020 Waynflete Professor of Chemistry, University of Oxford
Fellow of Magdalen College, Oxford *(The Waynflete Chair is the oldest and only named chair in Organic Chemistry at Oxford)*

2006- 2011 Chairman of Chemistry, University of Oxford
(Full responsibility for all teaching, research, financial and managerial matters for one of the largest Chemistry Departments in the world)

Atossa Therapeutics, Inc. Exhibit 2030
Intas Pharms Ltd. V. Atossa Therapeutics, Inc.

PGR2025-00043

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2020 -

Waynflete Professor Emeritus, University of Oxford
Extraordinary Lecturer, New College, Oxford

Awards:

1984: Hickinbottom Fellowship
1985: Pfizer Award for Chemistry
1986: Corday Morgan Medal (1984): Royal Society of Chemistry
1987: Royal Society of Chemistry Award for Organometallic Chemistry
1988: Pfizer Award for Chemistry
1989: Royal Society of Chemistry Bader Award
1996: Tilden Lecture Award, Royal Society of Chemistry
1997: Royal Society of Chemistry Award in Stereochemistry
1998: Prize Lectureship of the Society of Synthetic Organic Chemistry, Japan
2008: Distinguished Technopreneur Award, Singapore
2011: Royal Society of Chemistry Perkin Prize for Organic Chemistry
2021: Royal Society London Mullard Award

Publications: 632 publications (h index 64, 18,879 cites, Feb 2025)

URL for publications: <http://davies.chem.ox.ac.uk/publications.aspx>

Membership of Committees

1986 -1992 Society of the Chemical Industry: Fine Chemicals Committee
1990 -1993 Society of the Chemical Industry: Awards and Academic Relations Committee
1987 -1990 Royal Society of Chemistry: Perkin Council
1988 -1991 SERC - Organic Chemistry Subcommittee
1991 -1992 SERC - Clean Technology Directorate
1991 -1992 EPSRC Clean Technology Panel
1994 -1995 Academic Secretary, Sub-Faculty of Chemistry.
1994 -1995 Physical Sciences Board, Oxford University
1995 - 2000 Technology Transfer Advisory Group, Oxford University.
1998 - 2010 Conflict of Interest Committee, Oxford University.
1997 - 2020 RSC Oxford/Cambridge International Synthesis Meeting Organising Committee
(Chair 2001, 2005, 2009, 2013 and 2017)
2000 - 2020 Intellectual Property Advisory Group, Oxford University
2002 - 2014 Board of Electors of the Newton Abraham Visiting Professorship
2006 – 2007 Medical Sciences Divisional Board
2006 - 2011 MPLS Divisional Board
2006 - 2011 MPLS General Purposes Committee
2006 - 2010 Begbroke Science Park Strategy Group

Editorial Appointments

1989 - 1992	J. Chem. Soc. Perkin Transactions:	Editorial Board Member
1989 -	"Oxford Chemistry Primers", OUP	Founding Editor and Editor of Organic Series
1995 -	"Oxford Chemistry Masters", OUP	Founding Editor and Editor of Organic Series
1990 - 2017	Tetrahedron:	Executive Editorial Board Member
1990 - 2017	Tetrahedron: Asymmetry	Founder and Editor in chief
2005 -	"On Chemistry" Books	Founder and Editor Atossa Therapeutics, Inc. Exhibit 2030 Intas Pharms Ltd. v. Atossa Therapeutics, Inc.

Companies Founded and Directorships

- 1992 - 1998 Oxford Asymmetry Limited; Founder and Director
(*Asymmetric Synthesis*)
- 1995 - 1998 Oxford Diversity Limited; Founder and Research Director
(*Combinatorial Chemistry*)
- 1998 - 2000 Oxford Asymmetry International plc; Founder and Director
(*Drug Discovery Services*)
- 2003 - 2004 VASTox Limited; Founder and Non-executive Chairman
(*Orphan Drug Discovery*)
- 2004 - 2006 VASTox plc; Founder and Non-executive Chairman
(*Orphan Drug Discovery*)
- 2004 - SciInk Limited; Founder and Non-executive Chairman
(*Not for profit Undergraduate text publisher*)
- 2006 - 2013 Summit Corporation plc (formerly VASTox plc); Founder and Non-executive Director
(*Pharmaceuticals*)
- 2006 - 2009 Oxray Limited; Founder and Non-executive Director
(*Crystallography Software Developer*)
- 2011 - 2022 OxStem Limited; Founder and Non-executive Director
(*Regenerative Medicine via endogeneous control of cell differentiation*)
- 2011 - 2014 MuOx Ltd. (Acquired by Summit Therapeutics plc); Founder and Non-executive Chairman
(*Drug Discovery for Orphan Muscle Diseases*)
- 2014 - 2018 Summit Therapeutics plc; Non-executive Director
(2003 London AIM SUMT: 2015 NASDAQ SUMM)
(*Drug Development for Duchenne Muscular Dystrophy and Antibiotic against Clostridium difficile*)
- 2017 - 2022 Oxstem Neuro Ltd., Oxstem Cardio Ltd., Oxstem Ocular Ltd., Oxstem Oncology Ltd., Oxstem Beta Ltd. and Oxstem Immuno Ltd. (*Regenerative Medicine*)
- 2021 - Raphael Laboratories Ltd.; Founder and Non-executive Director
(*Prophylactics against viral respiratory infections*)
- 2022- OxReGen Inc.; Founder and Non-executive Director
(*AI and zebrafish for drug discovery*)

Directorships:

- 2007 - 2009 Oxeco plc; Non-executive Director (*IP commercialisation*)
- 2008 - 2021 Oxford University Innovation Ltd; Non-executive Director
(*Oxford University's IP commercialisation company*)
- 2010 - 2011 Scientific Research Capital Limited; Non-executive Chairman (*IP commercialisation*)
- 2018 - Serox Ltd. Non-executive Director (*Non-invasive wine, urine and blood analysis*)

STEPHEN G. DAVIES – PUBLICATIONS LIST

1. *trans*-Cycloalkenes. Part IV. Some aspects of the chemistry of *trans*-cyclo-octene
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6. Benzene Oxide-Oxepin. Oxidation to Muconaldehyde
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APPENDIX B

Exhibit	Description
	Petition for Post Grant Review of U.S. Patent No. 12,071,391
	<i>Intas Pharms. Ltd., v. Atossa Therapeutics, Inc.</i> , PGR2023-0043, Pap.37 (Jan. 29, 2025)
EX1001	USPN 12,071,391 (“391 patent”)
EX1002	File history of USPN 12,071,391
EX1003	USPN 9,333,190 (“Ahmad”)
EX1004	WO2017/70651 (“Liu”)
EX1007	Melgardt de Villiers, <i>Pharmaceutical Solvents & Solubilizing Agents</i> , in <i>A Practical Guide to Contemporary Pharmacy Practice</i> (3d ed., 2009) (“de Villiers”)
EX1011	Ahmad, A. et al., Endoxifen, a New Cornerstone of Breast Cancer Therapy: Demonstration of Safety, Tolerability and Systemic Bioavailability in Healthy Human Subjects, 88(6) <i>CLIN. PHARMACOLOGY & THERAPEUTICS</i> 814-817 (2010) (“Ahmad 2010”)
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EX1013	Fauq, A.H., et al., A convenient synthesis of (Z)-4-hydroxy-Ndesmethyltamoxifen (endoxifen), 20 <i>BIOORGANIC MED. CHEM. LETT.</i> 3036-38 (2010) (“Fauq”)
EX1022	WO 2011/107855 (“Gandhi”)
EX1033	Expert Declaration of Jason McConville, Ph.D.
EX1034	Expert Declaration of Ron Bihovsky, Ph.D.
EX2031	The Merriam-Webster Dictionary (2004)
EX2032	Transcript of January 16, 2026 Deposition of Jason McConville, Ph.D.
EX2033	Transcript of January 20, 2026 Deposition of Ron Bihovsky, Ph.D.
EX2050	William E. Brown & Margareth R. Marques, <i>USP and Dissolution—20 Years of Progress</i> , Dissolution Technologies (2014)