

Transcript of Interview of RPCI Physician 1
May 17, 2017

1 RPCI Physician 1: It's administered by the NCI. So our Office of Clinical Research Services
2 worked to update this. So maybe this is lagging behind by a few days.

3 Paul Solis: But Roswell in part is responsible for making the updates here?

4 RPCI Physician 1: Correct. For sending the information for update.

5 Paul Solis: And would Innate have any responsibility to makeup dates on this public
6 document?

7 RPCI Physician 1: Not at all. This is all from Roswell.

8 Paul Solis: So this information could change really at any time.

9 RPCI Physician 1: It could change with the specific, dates but unless the FDA does not allow us
10 to do the clinical trials for one reason or the other, this is the information
11 about the clinical trial. The only thing that is fluid is the date because we
12 don't know when that is going to happen. We have estimates but--

13 Paul Solis: So let's say, hypothetically speaking, if Innate receives its IND approval from
14 the FDA, what happens next?

15 RPCI Physician 1: Then we will put together a document. But Innate's IND approval is for the
16 use of Innate MIS416 alone. Okay?

17 Paul Solis: Right.

18 RPCI Physician 1: So we will put together a document based on our clinical protocol and our
19 hypothesis, as well as some of the pre-clinical studies that we've done for the
20 past 5 years that we will submit to the FDA, cross filing Innate's filing IND
21 because the FDA has seen the product, they've reviewed all the documents,
22 they've said it's safe it's okay to be used in humans. We will put the IND
23 letter from Ludwig because Ludwig has tested the NYS01 protein in many
24 clinical trials. Put the 2 documents together, submit to the FDA so we will get
25 a new IND approval for this combination. So to get it we need Ludwig and
26 we need Innate documents to put them together with supporting
27 information from all of our pre-clinical studies.

28 Paul Solis: And then Phase One [crosstalk].

29 RPCI Physician 1: And then the Phase One could start.

30 Omar Ashmawy: Doctor, are you aware of any other U.S. based clinical trials that involve
31 MIS416?

32 RPCI Physician 1: I am not, but for Innate to be trying to file an IND for the product, I suspect
33 they are trying to use it in the United States but I don't get into those details.

34 Paul Solis: And why would you suspect that?

35 RPCI Physician 1: Why would they be filing IND in the United States?

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1 Paul Solis: Well you mentioned in order to conduct this specific trial with Roswell, they
2 would have to --

3 RPCI Physician 1: Right. If they didn't do it, we would have had to do it ourselves except this
4 works in different ways. We would have had to obtain all of those
5 supporting documents from them and be the primary filer of the IND. So
6 that's another mechanism that you could use, but because when we wanted
7 to file IND they said we're already going to be filing IND with FDA, why don't
8 you wait, and we said fine. Because working with the FDA is a lot of work as
9 well.

10 Paul Solis: And who said that to you that they would already be filing that?

11 RPCI Physician 1: I think Gill Webster.

12 Paul Solis: Do you recall when she would have told you that?

13 RPCI Physician 1: I don't.

14 Paul Solis: Would it have been in the past 2 years? Realize it's an approximation.

15 RPCI Physician 1: I don't remember. I can't recall.

16 Omar Ashmawy: If I just may ask the difference between Roswell filing for an IND and
17 Immuno Therapies filing for an IND. If Roswell were to have filed for it,
18 would have the use of the compound only been permissible at Roswell for
19 this particular clinical study, or would have Innate as a result of the approval
20 of the IND, had the ability to use it anywhere in the United States?

21 RPCI Physician 1: IND is study specific.

22 Omar Ashmawy: Oh okay.

23 RPCI Physician 1: They only thing is when you get the first IND, it paves the way, it tells you
24 the FDA has reviewed the compound extensively. So each time, unless it
25 becomes approved for commercial, for general use - it's called registration of
26 a drug - unless it gets to that level, each time you use MIS416 or NYES01
27 protein, you have to file an IND. The only thing is it makes it easier each time
28 because you can cross reference. In other words, tell the FDA you've seen
29 this before, we're using the same product that you've reviewed before so it
30 makes life easier for everybody.

31 Omar Ashmawy: I'm wondering if there's any benefit to Immuno Therapies, if they file it as
32 opposed to letting Roswell file it.

33 RPCI Physician 1: We did not even discuss that because for me, it's a lot of work to file an IND
34 and when I heard they were going to file an IND, it's like, better you than me.
35 It's a lot of work. It's a lot of paperwork, regulatory work. Documents that
36 you need to submit, so that's the best I can say to your question.

37 Paul Solis: It's significant to us, as best you can to get an idea when Ms. Webster might
38 have told you that. That we're going to go ahead and file this with the FDA. If

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1 you just could maybe spend a moment to think what time frame that might
2 have been. Would it go back to the earlier, 2010-2011 when you began this
3 engagement with Innate? Would it have been back then or would it have
4 more recent?

5 RPCI Physician 1: I think later. I mean, every drug company in the world wants to do clinical
6 trials in the United States so that's no secret. So I know they've been thinking
7 of clinical trials either with us or with someone else. We just happened to be
8 using their MIS416 for cancer indication. They did not design it, to the best
9 of my knowledge originally for cancer indication. So I suspect they've been
10 thinking of this for a long time, but discussions about the IND probably did
11 not take place until the point when--

12 I can give you before and after type of answer?

13 Paul Solis: Okay.

14 RPCI Physician 1: It probably took place after we made the decision to switch from Sanofi to
15 MIS416. From the Sanofi vaccine to MIS416. And that decision was made,
16 probably 2015. Right about 2014-2015.

17 Paul Solis: I just am wondering then if you had been told by Dr. Hohn about the
18 compound back in 2010 and you knew about Innate, where was your
19 relationship with Innate and the compound from 2010 until 2015 when you
20 decided to make that switch?

21 RPCI Physician 1: I just explained to you. I needed to validate that this compound does what I
22 think it would do. Which is, does it induce immune responses? Do I see
23 better control in the other models of the ovarian cancer? This is a very
24 rigorous experiment that takes time. So the fact that there are still
25 experiments as we speak, testing other aspects of how to use this compound.

26 Paul Solis: And when Sanofi decided to make that business decision, as you mentioned
27 earlier, that's when you decided this is the right time--

28 RPCI Physician 1: This is the next thing that I have that can substitute for what I was using
29 Sanofi vaccine for. So it wasn't a very difficult decision. It was a scientific
30 decision.

31 Michael Sexton: We can't do the switch without taking the time to do the research.

32 Paul Solis: Understood.

33 Omar Ashmawy: Were there any other options besides MIS416?

34 RPCI Physician 1: Yes, but less effective options. In fact if you look at our pre-clinical
35 experiments we tested some other adjuvants in the markets. Some of the
36 well know adjuvants. The one that is most well known is a product called
37 Montanide, or incomplete fruit adjuvants. It's almost like your gold standard
38 so we compared it with MIS416 and we found that MIS416 was better. Of
39 course there are still other adjuvants but again I don't have primary pre-

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1 clinical data with some of those other adjuvants that are out there. I was
2 working on MIS416, it was a natural switch.

3 Omar Ashmawy: Were you working on any other adjuvants?

4 RPCI Physician 1: Montanide. The one I just mentioned.

5 Omar Ashmawy: And you had pre-clinical data on that particular adjuvant?

6 RPCI Physician 1: In fact, side by side comparison of Montanide and MIS416 with a vaccine.
7 MIS416 came out superior.

8 Paul Solis: During your time of researching the compound and if you talked about a
9 time period from 2010 until the present, had anybody in the leadership of
10 Roswell Park ask you about the status of this. I mean, I realize they would
11 have an interest just generally but did anybody ask specifically about Innate
12 Immuno therapeutics and your work being done on MIS416?

13 RPCI Physician 1: Nobody.

14 Paul Solis: Did anybody mention Representative Collins' name in any way to you?

15 RPCI Physician 1: Nobody.

16 Omar Ashmawy: Is Mr. or Dr. Hohn still at Roswell?

17 RPCI Physician 1: He is Emeritus. He is retired, but he's still on staff.

18 Paul Solis: Think that's all the questions we have for you Doctor, so thank you very
19 much for your time.

20 RPCI Physician 1: Okay, thank you.

21

Exhibit 3

Transcript of Interview of Innate Investor 1
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1 Paul Solis: This is Paul Solis with the Office of Congressional Ethics. It is May 17th, 2017.
2 I am joined by Omar Ashmawy, Dennis Vacco, Stacey Moar, for an interview
3 of Innate Investor 1. I've provided Innate Investor 1 a copy of 18 U.S.C. 1001.
4 He has reviewed the statute and he has signed an acknowledgement form,
5 attesting that I have provided him a copy of the law. So, with that, we'll get
6 started. Innate Investor 1, where are you currently employed?

7 Innate Investor 1: I'm not.

8 Paul Solis: You're not. You retired, or ... Okay. What are some other things you're doing?
9 I know, for example, you said you have a board meeting later on today. Tell
10 me a little bit about what you're up to.

11 Innate Investor 1: I sit on a number of business and civic boards. I am a ... Partner, I guess,
12 quasi in a little venture capital firm that a couple of us put together a few
13 years ago. And we've been making investments, typically in local companies
14 that are involved in game changing, disruptive technologies.

15 Paul Solis: What's the name of that venture capital firm?

16 Innate Investor 1: Really doesn't have a specific ... It's not a registered name, but we call it
17 Buffalo Capital Partners.

18 Paul Solis: Are you a partner in that firm?

19 Innate Investor 1: I'm a co-investor with any of the other potential co-investors that go into
20 any of these deals that we spot.

21 Paul Solis: Okay.

22 Innate Investor 1: Evaluate, and either choose to or not invest.

23 Paul Solis: How many other investors are a part of that organization?

24 Innate Investor 1: It varies. There are five kind of principal, and then we all bring family and
25 friends along.

26 Paul Solis: Are you a principal?

27 Innate Investor 1: Well, it's not ... I guess in function, but not technically or legally.

28 Paul Solis: Okay.

29 Innate Investor 1: It's really just a group of guys who have decided that we want to do things
30 here in western New York and we believe by investing jointly, we can have a
31 bigger impact on those companies and also larger say in the governance of
32 those companies once we invest.

33 Paul Solis: Does Representative Collins, Chris Collins, have a role at this Buffalo Capital
34 Partners?

35 Innate Investor 1: No.

36 Paul Solis: Okay.

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1 Innate Investor 1: Nor has he invested in anything we've invested in.

2 Paul Solis: Okay. I want to talk about Innate Immunotherapeutics. Can you describe
3 your involvement with them and sort of when you first learned of their
4 existence?

5 Innate Investor 1: I heard about it ... I don't know, seven or eight years ago at its inception.
6 And ... Primarily from Paul Harder, although, from time to time,
7 Representative Collins would make mention of it. But at that point in time, I
8 wasn't involved in investing in startup companies, so passed on it. And only
9 in the last year or so, Paul Harder again ... Paul and I have had an ongoing
10 relationship business wise for years. I was on the board of a company that
11 he was president of. And we've always talked about business stuff. In fact, all
12 of us came together through YPO, which is the Young President's
13 Organization, and you're always talking about business opportunities and
14 issues and pass forward. So we've always been talking about deals, and he
15 brought up Innate, again. And ... So I took another look at it and made an
16 investment.

17 Paul Solis: Okay. Who is Innate Investor 2? I mean I ...

18 Innate Investor 1: The local business guy. He's a kind of a serial entrepreneur. He's owned and
19 built up and sold off several different companies. He was president and CEO
20 of ... A company down in Dunkirk, New York, that makes fruit juice. He asked
21 me to come on the board of that company to work with the owner of the
22 company and determining next steps for the business, which ultimately
23 resulted in the company being sold. So that's ... He's just a local business guy.

24 Paul Solis: Okay. What did he first say? What did he first tell you about Innate when you
25 said you heard about it at its inception back ... I mean how many years ago,
26 approximately, was that when you first heard it?

27 Innate Investor 1: I think ... I'm not positive. But I think it was seven or eight years ago when
28 Innate first got started.

29 Paul Solis: Okay.

30 Innate Investor 1: They mentioned it. And I had no interest at that point. And then it was
31 several years later that all six or seven years later that ... I'd heard about it
32 along the way, but hadn't paid any attention to it because it wasn't my focus
33 it. And then he brought it up again in a conversation that we were having as
34 something that I still ought to consider. And ... I had recently retired and had
35 sold off a lot of the stock that I owned in the company that I had run ... Had
36 been part of for 42 years, so I had a lot of cash and ... At this point in time
37 there aren't many good alternatives to invest in with the bond market being
38 where it is today and the stock market being where it is today. It's a hard
39 time to find a good spot to find money. So it ... I think when I first bought, it
40 was 18 cents a share. And I said, "Gee, 18 cents for 18 thousand dollars. I can
41 own a lot of share, and if that ever goes anywhere, I'd make some money.
42 And if it failed, that 18 cents a share is not the end of the world."

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1 Paul Solis: What was the name of the company that ... You know, you said you retired.
2 What was that company you were at before? I should have covered that
3 earlier.

4 Innate Investor 1: A company called Gibraltar Industries.

5 Paul Solis: Okay.

6 Innate Investor 1: Publicly traded company traded on the NASDAQ stock exchange.

7 Paul Solis: When Innate Investor 2 first discussed Innate with you, did he mention
8 Representative Collins' involvement with Innate to you?

9 Innate Investor 1: Well, through YPO, I knew already that Chris was involved.

10 Paul Solis: And what did you recall about the extent to which he was involved?

11 Innate Investor 1: Chris?

12 Paul Solis: Yes. Representative Collins, yes.

13 Innate Investor 1: An early stage investor.

14 Paul Solis: Okay. It did ... Do you recall anything about him being on the board of Innate?
15 Or having a more substantial role other than being an investor?

16 Innate Investor 1: I don't.

17 Paul Solis: Okay. Are you aware that he's on the board now? Have you heard that before?

18 Innate Investor 1: I am now, yes.

19 Paul Solis: Okay. From that time where you first heard about that with Innate Investor
20 2, he told you about Innate, did you hear at all about Innate from
21 Representative Collins? Did he ever go to you during this seven to eight year
22 period? Prior to your now ... First initial investment, did he ever discuss
23 Innate with you?

24 Innate Investor 1: No.

25 Paul Solis: No? Never mentioned it in passing, a name, indirectly?

26 Innate Investor 1: I don't recall.

27 Paul Solis: Okay.

28 Innate Investor 1: There wasn't ... I had one kind of a relationship with Paul and another one
29 with Representative Collins.

30 Paul Solis: What is the nature ... The difference between those two relationships?

31 Innate Investor 1: Chris and I have known each other for a long time and I respect the work
32 that he did. Both as Erie county executive and the work he's doing as a
33 congressman, but you know, it's not like we ever hung out together. Where
34 with Paul Harder, we play golf together and we do other things together.

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1 Paul Solis: More of a personal relationship?

2 Innate Investor 1: More of a personal ... Business and personal.

3 Paul Solis: Okay. So, that first investment you made with Innate. Can you describe it and
4 tell me a little bit about it? You mentioned a share price, how much it was for,
5 some of those details if you can recall?

6 Innate Investor 1: I don't have a specific recollection. There are three or four purchases
7 including the secondary private placement that the company did. But I don't
8 recall the exact specific ... I have lots of investments.

9 Paul Solis: Okay.

10 Innate Investor 1: Typically once I decide to make them, they get logged in and I get a report,
11 but I don't really spend a lot of time looking at it.

12 Paul Solis: And have all your investments in Innate been in the past two years or so?
13 More recent?

14 Innate Investor 1: More recent than that. I think all of them went in in '16.

15 Paul Solis: You just mentioned something about a private placement. Can you tell me
16 more about that?

17 Innate Investor 1: I got paperwork from Innate, from the company that said they were having a
18 private placement of stock. And I think you have the documents.

19 Paul Solis: You did provide some of that from your ... Some of the documents you
20 received from Innate, and yeah, we have that. So I appreciate that.

21 Innate Investor 1: I think that was all of the documents that I received from Innate. And so I ...
22 because I think the stock price is higher than the offering price, so I bought
23 some more shares. I looked at that document before I came over here so I
24 think I bought ... Somewhere around 40 or 50 thousand dollars' worth in
25 that transaction.

26 Paul Solis: This is an additional amount?

27 Innate Investor 1: This is through the private placement.

28 Paul Solis: Okay, okay.

29 Innate Investor 1: Which is in addition to the one's I bought on the open market.

30 Paul Solis: And the decision to add more shares and to make further –

31 Dennis Vacco: So, I ... I'm sorry. So the staff, pardon me for interrupting you Paul, but you
32 just said something that I want to make sure that we clarify it. The 18 cents
33 per share, you bought on the open market?

34 Innate Investor 1: Mm-hmm (affirmative).

35 Dennis Vacco: Okay.

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1 Paul Solis: Okay.

2 Innate Investor 1: Yup.

3 Paul Solis: And is that on the Australian Stock Exchange or where did you buy that?

4 Innate Investor 1: I believe I used a local broker who I do transactions with and he went into
5 the open market, and I assume he had to get it from the Australian Exchange
6 although I honestly can't tell you that I know that for sure.

7 Paul Solis: Okay. This-

8 Innate Investor 1: But it was an open market trade. How he did it, I don't know.

9 Paul Solis: Okay. This more recent private placement you discussed, where there any
10 discounts in that private placement? Did you hear anything about, for
11 friends and family or US investors, that there was a discounted nature to the
12 price of that stock? Do you recall that?

13 Innate Investor 1: I know, what I believe the offering price was 26 cents a share. I think, at the
14 time, the stock was a little bit above that. So I'm not sure if that's what you
15 mean -

16 Paul Solis: Yea, I'm just wondering ...

17 Innate Investor 1: - Or not.

18 Paul Solis: I'm just wondering if, through your interactions with anybody at Innate or
19 when you were sort of beginning to think about this private placement, what
20 details were shared with you about the nature of the price?

21 Innate Investor 1: I don't know anybody at Innate.

22 Paul Solis: Okay.

23 Innate Investor 1: Other than through written correspondence signed by Simon someone?

24 Paul Solis: Simon Wilkinson? Does that name-

25 Innate Investor 1: Wilkinson.

26 Paul Solis: Okay. You never had a phone call with anybody at Innate?

27 Innate Investor 1: No.

28 Paul Solis: Okay. Your communications with anybody at Innate would have been
29 limited to ...

30 Innate Investor 1: Email.

31 Paul Solis: Email, okay. Okay.

32 Innate Investor 1: Maybe text but I ... Electronic communications.

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1 Paul Solis: Okay. Okay. I'll show you some of your documents you provided to us. This
2 is BL0003 and 0004. Take a look at that. Give you guys a copy.

3 Paul Solis: Thank you. And all the documents I'm going to show you are from the
4 production you provided to us.

5 Innate Investor 1: So this didn't even come directly to me but I got it somehow. Is that right?

6 Paul Solis: Oh, I was going to ask you that. But yes, it appears that way.

7 Innate Investor 1: Yeah. It came from Paul Harder to me, okay.

8 Dennis Vacco: So did you receive this? I thought you just said a moment ago you didn't
9 know how you got it?

10 Innate Investor 1: Well, I just read it at the top.

11 Dennis Vacco: Yeah. Okay.

12 Paul Solis: I mean, I guess the first question is, do you remember receiving this email
13 from Innate Investor 2?

14 Innate Investor 1: Not specifically.

15 Paul Solis: Okay.

16 Innate Investor 1: But I must have because it was in the envelope.

17 Paul Solis: Is this your email address?

18 Innate Investor 1: Yep.

19 Paul Solis: At the top? Okay. Okay. Understanding you did not author this email, do you
20 know why Innate Investor 2 wrote confidential in the body at the top?

21 Innate Investor 1: I don't know.

22 Paul Solis: Okay. I want to direct your attention, and again, as far as I can see that you
23 are not on this part of the email. This appears to be a forward to you at the
24 top here but under it, it's an email from Simon Wilkinson on May 10. If I
25 could direct you to the, I guess it would be second paragraph that starts with,
26 "Early next year." That first line. It says, "Early next year and in preparation
27 for licensing the program or selling the company," what did you know at this
28 time, this is May of last year, what did you know about any intention to sell
29 Innate in any way?

30 Innate Investor 1: I knew nothing specific.

31 Paul Solis: Okay. Did you know anything generally?

32 Innate Investor 1: Well, I would've thought that this kind of a company would get a certain
33 level of FDA or whatever medical approvals they could, and then they would
34 go market the company.

35 Paul Solis: Okay.

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1 Innate Investor 1: I mean, some of the other investments that we've made, that's the strategy
2 that these start-up companies are using. They go and get FDA approvals to a
3 certain level and then the companies generally are getting purchased by
4 larger pharmaceutical companies.

5 Paul Solis: And that understanding is just based on your past history of investments or
6 did anybody talk to you about this, about that intention, Innate Investor 2 or
7 anybody from Innate?

8 Innate Investor 1: I don't recall specifically about that. No, I don't recall specifically anything
9 about that.

10 Paul Solis: Okay.

11 Innate Investor 1: Paul is an investor, not unlike me, and typically, we talk about potential
12 strategies for various businesses that we're involved in. So it may have been
13 discussed as a concept or a theory but I don't have any specific recollection
14 that he had knowledge that that was what was going to happen. I certainly
15 didn't.

16 Paul Solis: Okay. Some of the other names here, Jim Notaro, you know Christopher
17 Collins.

18 Innate Investor 1: Yep.

19 Paul Solis: Who's Jim Notaro, do you know that name?

20 Innate Investor 1: I know the name but I don't know him.

21 Paul Solis: Okay. And then in the email address, there's a csshealth.com. Do you know
22 what CSS Health is?

23 Innate Investor 1: No idea.

24 Paul Solis: Okay. Okay. Move on to another one here. This is BL105. You can give that
25 second page to Dennis if you ...

26 Dennis Vacco: Thank you.

27 Innate Investor 1: Okay.

28 Paul Solis: So at the top, it appears to be your email address. Right?

29 Innate Investor 1: Yes.

30 Paul Solis: Okay. Do you recall sending this email to Scott Friedman?

31 Innate Investor 1: Scott is one of the people we work with in the Buffalo Capital Partners Group,
32 so I correspond with Scott on a regular basis. I don't specifically remember
33 this but it looks like it's mine.

34 Paul Solis: His email address, is that ... Is he-

35 Dennis Vacco: He's the chairman of this firm.

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1 Paul Solis: He's employed by this firm?

2 Dennis Vacco: He's the chairman.

3 Paul Solis: Okay. If I could direct you to the bottom there, and this appears to be from
4 Scott to you, the same day, June 22, 2016. The first line, he mentions Tom
5 McMahon. Do you know who Tom McMahon is?

6 Innate Investor 1: I met Tom once. As it says, he's the CEO of CUBRC, which is another ... I don't
7 even know what you'd call it. They have a number of investments in high-
8 tech type companies and CUBRC was one of the companies that we met with
9 but did not invest in.

10 Paul Solis: Is CUBRC based out of Buffalo?

11 Innate Investor 1: Yeah.

12 Paul Solis: Okay. Do you know anything about CUBRC's relationship with Innate
13 Immunotherapeutics?

14 Innate Investor 1: I do not.

15 Paul Solis: Okay.

16 Innate Investor 1: Is there one?

17 Paul Solis: That's what I'm asking you.

18 Innate Investor 1: Okay. I don't know.

19 Paul Solis: I always like it when witnesses ask me questions. I don't know.

20 Dennis Vacco: Might be an investment opportunity there.

21 Paul Solis: So, yeah. But you're not aware of CUBRC's relationship with-

22 Innate Investor 1: I am not. I am not aware.

23 Paul Solis: Okay. So going back to the top, and this is the portion that was authored by
24 you, let's see. I wanted to ask ... Okay, so the open market, do you see that at
25 the top? The first sentence, email.

26 Innate Investor 1: Yes.

27 Paul Solis: Okay. Can you walk me through that? And we talked a little bit about the
28 timing of your purchases and making them through your broker. You
29 mentioned a little bit on, the broker purchased it on the open market.

30 Innate Investor 1: Yep.

31 Paul Solis: Does this email reflect sort of our initial discussion about that?

32 Innate Investor 1: It does. I didn't get specific on the price but I said around 20 cents a share.
33 And I think I mentioned 18 cents in our earlier conversation. And this is

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1 referencing the secondary private placement, and I thought it was around
2 50,000 bucks that I invested in that.

3 Paul Solis: I should've asked you, if I didn't ask you this before, if I did excuse my
4 repeating, but that private placement, how did you first hear about that?

5 Innate Investor 1: I think anyone who had previously invested received it. But I'm not positive
6 about that.

7 Paul Solis: And by received it do you mean an offer to [crosstalk 00:20:42] included...?

8 Innate Investor 1: An offer to be included, to participate, yeah.

9 Paul Solis: Do you recall how you received that offer, would it be by email, or by word
10 of mouth?

11 Innate Investor 1: Well, the documents came through email. So, I assume that's how I learned
12 about it.

13 Paul Solis: I'll direct your attention to the second paragraph there. It says, "Chris thinks
14 it will be at 18 per share soon". Who is Chris?

15 Innate Investor 1: Chris is Congressman Collins.

16 Paul Solis: Okay, and why did you write that to Scott?

17 Innate Investor 1: Well, Scott and I are looking for investments that are going to grow in value
18 and Paul Harder told me that Chris thinks the stock is going to go to the
19 moon. I know Chris well enough to know that he can be overly exuberant, at
20 times. But went on to say that Paul, who's also familiar with the company,
21 believes it has upside potential. But nowhere near what Chris is saying.

22 Paul Solis: Now, \$18 per share is...you know that's a specific number, did you have a
23 conversation with Congressman Collins about it?

24 Innate Investor 1: No. I did not.

25 Paul Solis: So how would you formulate that idea, that Chris thinks it would be at 18
26 per share?

27 Innate Investor 1: From my discussion with Paul Harder.

28 Paul Solis: Okay, so Innate Investor 2 told you what Chris was thinking?

29 Innate Investor 1: Yeah.

30 Paul Solis: Okay. Do you know how often Congressman Collins and Innate Investor 2
31 speak?

32 Innate Investor 1: I would say, probably, regularly. But I don't know for sure.

33 Paul Solis: Okay.

34 Innate Investor 1: Because Paul Harder is also Chris Collins' financial...

Transcript of Interview of Innate Investor 1
May 17, 2017

1 Dennis Vacco: Chair.

2 Paul Solis: For his campaign committee?

3 Innate Investor 1: For his campaign committee.

4 Dennis Vacco: He plays a role in the campaign committee. I don't know if he's chair or not,
5 but...

6 Paul Solis: Okay. How often do you speak with Congressman Collins, and I know you
7 said you don't have a personal relationship with him, but...an approximate...

8 Innate Investor 1: Couple times a year. He just...when President Trump addressed the joint
9 session of Congress, he had one ticket and he offered that to me. And I took it
10 and it was a heck of a night. But...and we talked recently about that, although,
11 when I, after going, I emailed him and thanked him for the ticket, but we
12 didn't actually speak.

13 Paul Solis: Okay. Alright, I'll move on to another email here. This is BL0044 and 0045.
14 Thank you. So this is from CC-Collins, I believe that's Congressman Collins, I
15 mean do you recognize that email address? Is that him?

16 Innate Investor 1: I don't recognize it, but I'm pretty sure it is.

17 Paul Solis: Okay. July 13th of last year. I guess, first off some of the names, and I'm not
18 going to ask you to go through and read every single name but, generally, are
19 these Innate shareholders, as far as you can tell, or from your role as an
20 Innate investor, do you recognize some of these names?

21 Innate Investor 1: I would say I don't recognize most, but I do recognize a few.

22 Paul Solis: Okay. And do you know if these individuals have a relationship with Innate
23 or their investors, or potential investors?

24 Innate Investor 1: I know of the names that I know. I'm not even sure if they're all investors or
25 not.

26 Paul Solis: I mean, quickly, is there a name or two that you recognize that are...that you
27 know to be investors in Innate?

28 Innate Investor 1: Uhm.

29 Paul Solis: I see Mr. Friedman's name down there. Do you know if he...

30 Innate Investor 1: I hadn't gotten quite that far yet...

31 Paul Solis: Okay.

32 Innate Investor 1: But, I believe, but I'm not positive...I think Michael Hook is and it's possible,
33 but I don't know for sure...

34 Paul Solis: Okay.

35 Innate Investor 1: We don't share investments...

Transcript of Interview of Innate Investor 1
May 17, 2017

1 Paul Solis: Right.

2 Innate Investor 1: [crosstalk] among themselves.

3 Paul Solis: In that previous email I showed you, you had a discussion with Scott about
4 Innate...

5 Innate Investor 1: Yeah.

6 Paul Solis: Do you know if Mr. Friedman ended up purchasing shares?

7 Innate Investor 1: When we talked, we weren't positive we were talking about the same
8 company. And later we did sort out that we were talking about the same
9 company, but he did not declare whether he invested or not, to the best of
10 my knowledge.

11 Paul Solis: Okay. This type of email, from Congressman Collins, you provided
12 documents to us, but is this something he would do regularly, or somewhat
13 frequently? I mean, how often would he send an email like this?

14 Innate Investor 1: Any one that I have received, you have.

15 Paul Solis: Okay. I want to direct you to the third paragraph, and it's maybe the third
16 sentence at the end..."Big pharma has indicated that money spent now to
17 move the production process for the substantial benefit the company would
18 sold late next year..."

19 Innate Investor 1: Wait a minute.

20 Paul Solis: Third paragraph.

21 Innate Investor 1: Oh, third paragraph, okay. Big pharma has...money spent now...okay.

22 Paul Solis: At this time, July of last year, what did you know about Innate's discussions
23 or big pharma, or Congressman Collins' discussions of big pharma and
24 selling the company? Did you...what did you know about it back then?

25 Innate Investor 1: I didn't know anything.

26 Paul Solis: Okay.

27 Innate Investor 1: This is a start-up company. Usually with a public company you'll get a
28 quarterly report and an annual report and that's how you stay abreast of
29 what's going on with the business, but I don't have any of that with this
30 company. This was a flyer.

31 Paul Solis: What do you mean by that?

32 Innate Investor 1: I took a little bit of money and hoped it would turn big and if it didn't, it went
33 away. And that's simply how I looked at this and, frankly, it's how we look,
34 our full capital of partners looks at investments that we're making. They're
35 very high risk investments.

36 Paul Solis: Has...

Transcript of Interview of Innate Investor 1
May 17, 2017

1 Innate Investor 1: With high potential return, if they work, but a strike out if they don't.
2 Paul Solis: Has Buffalo Capital Partners ever made any investments in Innate?
3 Innate Investor 1: Not as Buffalo Capital Partners and I can't speak to what the individual
4 members have done.
5 Paul Solis: Okay. Alright. I think I just have one more for you here.
6 Innate Investor 1: Fact is, we don't even invest as Buffalo Capital Partners. We're all individual
7 investors and we just kind of label ourselves.
8 Dennis Vacco: Yeah it's loosely, I mean it's not an entity.
9 Innate Investor 1: It's not an entity in any way.
10 Paul Solis: It has no corporate status, no LLC status?
11 Innate Investor 1: Nothing.
12 Paul Solis: Okay. This is BL0127. Gather up these for you as well.
13 Dennis Vacco: Well, those are mine.
14 Paul Solis: Oh, okay. I mean, do you have copies of these; we usually just take them back.
15 Dennis Vacco: Oh, okay.
16 Paul Solis: But, if you want to reference them, sure I can...I just was cleaning up the
17 table a little bit for you.
18 Dennis Vacco: Yeah, well I wouldn't have made...so I just, you know, made some highlights....
19 Paul Solis: Oh, okay.
20 Dennis Vacco: If I had known you were taking them back, I wouldn't have done that.
21 Paul Solis: No problem. Take a look at it? Okay. Do you recall receiving this email from
22 Congressman Collins?
23 Innate Investor 1: I do.
24 Paul Solis: Okay. And can you give me a little bit more background on this. This isn't
25 you know, "Unfortunately you missed the cut", what is-. I realize you can't go
26 inside his head to know exactly what he meant but what is this referencing?
27 Innate Investor 1: The cut is the time period that this investment opportunity was open to the
28 public. And I had been traveling or something and the papers sat on my desk
29 and all of a sudden I looked at it and realized, oh my gosh today's the day.
30 And unfortunately I didn't get the paper work in on time so I missed the cut.
31 Paul Solis: Did you end up being able to take part in the placement though?
32 Innate Investor 1: No. There was a subsequent one I believe that I did participate-. There was
33 one that I did and one that I didn't.

Transcript of Interview of Innate Investor 1
May 17, 2017

1 Paul Solis: Okay. Both would have been around the same time in the summer of 2016?
2 Innate Investor 1: I don't know for sure. Yeah, probably.
3 Paul Solis: And that previous emailed I showed you where you were discussing with
4 Scott and you mentioned the 50,000 in a-
5 Innate Investor 1: Right.
6 Dennis Vacco: Just read that paragraph please. Read that paragraph to yourself.
7 Innate Investor 1: Okay.
8 Dennis Vacco: And then look at the dates of the emails.
9 Innate Investor 1: Yeah I don't remember the dates of the private placements though.
10 Paul Solis: Okay so just refresh your recollection, at the top here this is July 13th, 2016,
11 just so I can get an idea of which private placements you were able to make
12 the cut and which ones you weren't, so this one is June. You mentioned that,
13 you know, "I purchased 50K worth on top of the initial 100,000 shares" right?
14 So I just want to get an idea, were you able to take part in a private
15 placement first around June and then maybe you tried a second one in July
16 and you missed that one?
17 Dennis Vacco: Can I ask him just to look at the documents again please?
18 Paul Solis: Sure, sure.
19 Dennis Vacco: So just for the record there I'm asking him to look at BL0127. So just read
20 this paragraph to yourself, but focus on the end. And I'm referring to Paul -
21 the second paragraph, okay? Second paragraph of the first email in the
22 chain.
23 Innate Investor 1: So what, what's-
24 Dennis Vacco: Well here there's a [crosstalk].
25 Innate Investor 1: I'm just coming off of a bad cold. I'm not following what I'm-
26 Paul Solis: I understand, I understand. I just want to get a sense of, you were able to
27 take part in a private placement and then it seems like there was another
28 opportunity but you may have missed the deadline.
29 Innate Investor 1: I believe that's accurate.
30 Paul Solis: Okay, okay. And just so, you know the best of your recollection based on
31 these emails, the earlier, the first attempt was successful and then the
32 second attempt may not have been. Is that how it went?
33 Innate Investor 1: I don't recall it that way. I thought it was the second one that I got in.
34 Paul Solis: Okay.
35 Innate Investor 1: Not the first, but I don't have a clear recollection on the sequence of events.

Transcript of Interview of Innate Investor 1
May 17, 2017

1 Paul Solis: Okay, that's all right.

2 Innate Investor 1: I do know that I purchased in the open market and then subsequent to
3 buying in the open market, participated in a private placement.

4 Paul Solis: Okay, I'll just direct you to . . .

5 Dennis Vacco: Paul, so pardon me for interrupting, but maybe you want to take him back to
6 the dates of these emails. I mean I'm looking at 0105, which is June 22nd,
7 where he makes an affirmative statement about purchased. So that's before
8 this email that's dated July 13th.

9 Innate Investor 1: So maybe it was the first one that I did get into and the second one that I
10 missed. I'm just not clear on that.

11 Paul Solis: Okay, that's fine. Yeah that's what it looks like by the dates of the emails, but
12 you know just trying to confirm with your recollection and-. I'll direct you
13 back to 0127, Representative Collins writes, I think it's still a great
14 opportunity with an 18 month pay day. Do you know what he meant by that?
15 By pay day or 18-month pay day?

16 Innate Investor 1: I don't know exactly what he meant by it but it goes back to what, how I
17 think about this type of an investment and anyone that we make, or I make, I
18 hope to get a quick payoff rather than a seven or eight year payoff. So I think
19 what he's talking about is he expected with this company was that hopefully
20 in 18 months they'd be able to sell it.

21 Paul Solis: Had you had any one on one communication with Representative Collins
22 about this? Aside from this email, did he ever explain to you that he wanted
23 to have a quick turnaround with this or it could be an 18-month pay day,
24 anything to that affect?

25 Innate Investor 1: No. No.

26 Omar Ashmawy: Beyond Representative Collins, did you have any conversation with anyone,
27 say Innate Investor 2, about specific interests in purchasing the company?
28 Specific details regarding a potential sale of immunotherapies?

29 Innate Investor 1: Us purchasing the company?

30 Omar Ashmawy: No. Any interest in, you know the reference to Big Pharma, but any interest
31 in another company wanting to purchase immunotherapies?

32 Innate Investor 1: No, no. We've never had any specific discussion like that. Again, the theory
33 behind these is that Big Pharma comes along and there's, if you take the time
34 to look as an investor at what happens with startup companies on the
35 pharmaceutical space, they either fail or typically they'll get bought by Big
36 Pharma at a substantial multiple.

37 Paul Solis: You mentioned you saw a Representative Collins recently right? He had an
38 extra ticket for you to the joint session.

Transcript of Interview of Innate Investor 1
May 17, 2017

1 Innate Investor 1: Yeah right.

2 Paul Solis: Did you talk about Innate with him there in DC?

3 Innate Investor 1: We had dinner that night with Michael Hook and a couple of lobbyists and
4 then he dropped me off at the capital and next morning I got up and left
5 town. And I didn't see him after because he was, the news media wanted to
6 talk to him after the event.

7 Paul Solis: Did you discuss Innate with him at any point during your time in DC?

8 Innate Investor 1: I don't recall that we did. It was a very fast paced night and-. Michael Hook
9 picked me up from my hotel, he and I went to the restaurant, Chris came in,
10 the lobbyists were already there. So the conversation was all what the
11 lobbyists wanted to talk about.

12 Paul Solis: Okay, do you know who those lobbyists were? How did you know they were
13 lobbyists?

14 Innate Investor 1: On the way to dinner, Michael Hook told me, "We're having dinner with a
15 few lobbyists".

16 Paul Solis: Okay. Do you know what companies they worked for, who they represented?

17 Innate Investor 1: I don't.

18 Paul Solis: Okay. I had shown you this email, this BL0044. Right here. And I've asked
19 you about recognizing names on that list and out of the names you
20 recognized would anybody be invested in Innate? You mentioned Michael
21 Hook.

22 Innate Investor 1: Yes.

23 Paul Solis: How do you know Michael Hook is invested in Innate?

24 Innate Investor 1: I don't.

25 Paul Solis: Okay. You don't know if he has any Innate stock?

26 Innate Investor 1: I don't know.

27 Paul Solis: Okay.

28 Innate Investor 1: You asked me for names I recognized on this list who might be investors and
29 that's what I was referring to.

30 Paul Solis: Okay, and why do you think he might be an investor in Innate?

31 Innate Investor 1: When I look at this list I look for names who I know have known Chris for a
32 long period of time and I know that Michael has worked closely with Chris
33 for many years and so that's why I mentioned his name.

34 Paul Solis: Okay. Do you have any knowledge of Innate having communications with
35 Roswell Park Cancer Institute, or any attempts to have a compound or a

Transcript of Interview of Innate Investor 1
May 17, 2017

1 drug that Innate develops present at Roswell Park to conduct a trial there?
2 Do you have any awareness of that?

3 Innate Investor 1: I do not.

4 Paul Solis: Okay. Lastly I suppose I would just ask, you know in all of your, I just talked
5 about one conversation, one meeting you had with Representative Collins
6 recently and I had asked you, did you discuss Innate at all, did Innate come
7 up and you said, "Not that you recall". Is that correct?

8 Innate Investor 1: That's correct.

9 Paul Solis: Okay, any other times since you became aware that Innate existed, up until,
10 excluding this most recent time that I just asked you about, have you ever
11 had a conversation with Representative Collins about Innate?

12 Innate Investor 1: There was a telephone conversation a while back, right about the time the
13 stock started moving upward and we discussed it at that point. Although I
14 don't remember what the rest of the conversation was about.

15 Paul Solis: And what did you discuss about Innate with him?

16 Innate Investor 1: Just the fact that the stock had moved up.

17 Paul Solis: And he initiated that call, or did you call him?

18 Innate Investor 1: I don't recall.

19 Paul Solis: Okay. In the best that you could recall, the most specific approximation of
20 when that happened?

21 Innate Investor 1: Last summer.

22 Paul Solis: In 2016?

23 Innate Investor 1: Yep.

24 Paul Solis: Did he discuss with you any plans that Innate had or anything with the drug
25 trials that were going on? Any substantive parts about Innate's work?

26 Innate Investor 1: He always was a big believer in Innate immunology. Not the company but in
27 the-

28 Paul Solis: The science?

29 Innate Investor 1: Concept. The science behind it. He just was a strong believer that it was
30 going to solve all kinds of problems for humankind.

31 Paul Solis: He ever talk about intentions to sell Innate with you?

32 Innate Investor 1: No. Well if anything from what I've seen written on the paper, he's buying
33 shares, or had been buying shares all along or investing more in the
34 company. So I don't think he's thinking of selling.

Transcript of Interview of Innate Investor 1
May 17, 2017

1 Paul Solis: Is that based on just what you see in the newspaper or is that based on any
2 direct knowledge you have from him?

3 Innate Investor 1: What I've read in the newspaper.

4 Paul Solis: Okay. [crosstalk].

5 Innate Investor 1: Investors generally don't talk about how much money they're investing or
6 even what their strategy is so, maybe that they're involved but that's about it.

7 Omar Ashmawy: In any of the interacting you had with Representative Collins about Innate
8 Immunotherapies, did any specific details of drug trials come up?

9 Innate Investor 1: No.

10 Paul Solis: Okay. Have you been contacted at all by Representative Collins or? I should
11 just limit it to that, have you been contacted at all by Representative Collins
12 about our review, or about the fact that the OCE was conducting a review?

13 Innate Investor 1: No.

14 Paul Solis: So when I contacted you, was that the first you had heard about our office?

15 Innate Investor 1: Through the letter?

16 Paul Solis: Yes.

17 Innate Investor 1: Yeah, that was the first.

18 Paul Solis: And since that point has anybody, has representative Collins attempted to
19 contact you about our review?

20 Innate Investor 1: No.

21 Paul Solis: What about anyone representing Representative Collins, or anyone
22 associated with him?

23 Innate Investor 1: No.

24 Paul Solis: Okay. I think that is all we have for you.

25 Innate Investor 1: Okay.

26 Paul Solis: Then we'll conclude the interview.

27 Omar Ashmawy: We appreciate your time. Thank you.

28 Innate Investor 1: You're welcome.

29

30

Exhibit 4

From: C C Collins <[REDACTED]@prodigy.net>
Sent: Wednesday, December 16, 2015 1:27 PM
To: Tom Massung <[REDACTED]@yahoo.com>; Kevin Geary <[REDACTED]@aol.com>; Joe Geary <[REDACTED]@gmail.com>; Gary Toomey <[REDACTED]@graphiccontrols.com>; Sam Haleba <[REDACTED]@graphiccontrols.com>; Jim Pokornowski <[REDACTED]@allsafe.com>; Joan Snyder <[REDACTED]@froghollow.us>; Sam Narins <[REDACTED]@benchmarkgrp.com>; Clarke Narins <[REDACTED]@benchmarkgrp.com>; Hadley Narins <[REDACTED]@gmail.com>; Lynn Ritchie <[REDACTED]@gmail.com>; Al Bluemle <[REDACTED]@markersys.com>; Chris Skomra <[REDACTED]@wnyurology.com>; Dhansukh Chevli <[REDACTED]@aol.com>; Bob Alexander <[REDACTED]@gmail.com>; Lisa Ross <[REDACTED]@froghollow.us>; Norm Schreiber <[REDACTED]@aol.com>; Asha Partnership <[REDACTED]@aol.com>; Kirk Graham <[REDACTED]@volland.com>; Glenn Arthurs <[REDACTED]@roadrunner.com>; John Hoffman <[REDACTED]@gmail.com>; David Korzak <[REDACTED]@earthlink.net>; Jim Buzzard <[REDACTED]@gmail.com>; Paul Shine <[REDACTED]@truetreasuresinc.com>; Phil Delmont <[REDACTED]@verizon.net>; Rick Taylor <[REDACTED]@hotmail.com>; Charles Koller <[REDACTED]@wnycpa.com>; Paul Clark <[REDACTED]@cnhcpas.com>; Beverly Mazur <[REDACTED]@roadrunner.com>; Bill Grove <[REDACTED]@roadrunner.com>; Brian Geary <[REDACTED]@blochindustries.com>; Chris Graham <[REDACTED]@volland.com>; Chuck Kolkebeck <[REDACTED]@aol.com>; Craig Schreiber <[REDACTED]@northtownauto.com>; Jim Hengst <[REDACTED]@zeptometrix.com>; Kent Chevli <[REDACTED]@wnyurology.com>; Lindy Ruff <[REDACTED]@aol.com>; Lori Luzi <[REDACTED]@gmail.com>; Michael Laurie <[REDACTED]@yahoo.com>; Mike Murphy <[REDACTED]@dlapiper.com>; Phil Corwin <[REDACTED]@yahoo.com>; Tom McMahon <[REDACTED]@cubrc.org>; Ralph Lorigo <[REDACTED]@lorigo.com>; Michael Hook <[REDACTED]@comcast.net>
Subject: Fw: Updated Investor Fact Sheet
Attach: IIL Factsheet 151216.pdf

To all: Thought you might want to see the investor summary we use at Innate. All is going well. 65 patients are in the trials with some completing the 1 year very soon. Most, if not all, will stay on MIS416 after the trial. Safety and Efficacy are exactly what we expected and we have 12 compassionate patients in NZ that we monitor every month as a proxy for the trial participants. No surprises.

We have opened a trial site in NZ to complete the 90 patient recruitment. We have 93 patients now identified to complete our 90 patient recruitment. Hopefully all will be on the drug by 1/31/16 to start the 12 month clock ticking on the trial completion.

We continue to talk to big Pharma and will attend the JP Morgan Pharmaceutical Conference in San Francisco in January. We also stay in contact by email and phone. We continue to have no competition for our SPMS patients who are dying from a debilitating disease.

We are already looking at commercial production of MIS416 which is very different for 50,000 potential patients vs. 90 patients in the trial. We want to have the manufacturer identified when we hopefully monetize our investment in 2017. The more we derisk the investment the higher our return, and locking down the manufacturing process is a big deal.

We will probably have one last fundraising round in the May-June time period next year. With the trial full, and the end date known, we will have a firm grip on the expenses through mid-2017. Hopefully our share price will be much higher than the current \$.20 AUS we see with limited volume on the Australian Stock Exchange. We still have little to no coverage outside the MS world.

Unfortunately the Pro-Rata shares that were tied to a successful completion of the trial by 12/31/16 will expire. That refers to the 1 for 3 new shares that would have been issued (at no cost) on 12/31/16 based on the number of shares owned when we did the IPO. Everyone is disappointed we didn't get the 90 patients in the trial several months ago. There are a number of reasons, but bottom line is it didn't get done. So, there is no way to complete the trial "successfully" by the end of 2016.

Hope everyone has a wonderful Holiday Season and Happy New Year. All the best, Chris Collins

Exhibit 5

From: C C Collins <[REDACTED]@prodigy.net>
Sent: Thursday, January 28, 2016 8:28 PM
To: Tom Massung <[REDACTED]@yahoo.com>; Kevin Geary <[REDACTED]@aol.com>; Joe Geary <[REDACTED]@gmail.com>; Gary Toomey <[REDACTED]@graphiccontrols.com>; Sam Haleba <[REDACTED]@graphiccontrols.com>; Jim Pokornowski <[REDACTED]@allsafe.com>; Joan Snyder <[REDACTED]@froghollow.us>; Sam Narins <[REDACTED]@benchmarkgrp.com>; Clarke Narins <[REDACTED]@benchmarkgrp.com>; Hadley Narins <[REDACTED]@gmail.com>; Lynn Ritchie <[REDACTED]@gmail.com>; Al Bluemle <[REDACTED]@markersys.com>; Chris Skomra <[REDACTED]@wnyurology.com>; Dhansukh Chevli <[REDACTED]@aol.com>; Bob Alexander <[REDACTED]@gmail.com>; Lisa Ross <[REDACTED]@froghollow.us>; Norm Schreiber <[REDACTED]@aol.com>; Asha Partnership <[REDACTED]@aol.com>; Graham, Kirk <[REDACTED]@volland.com>; Glenn Arthurs <[REDACTED]@gmail.com>; John Hoffman <[REDACTED]@gmail.com>; David Korzak <[REDACTED]@earthlink.net>; Jim Buzzard <[REDACTED]@gmail.com>; Paul Shine <[REDACTED]@truetreasuresinc.com>; Phil Delmont <[REDACTED]@verizon.net>; Rick Taylor <[REDACTED]@hotmail.com>; Charles Koller <[REDACTED]@wnycpa.com>; Paul Clark <[REDACTED]@cnhcpas.com>; beverly Mazur <[REDACTED]@roadrunner.com>; Bill Grove <[REDACTED]@roadrunner.com>; Brian Geary <[REDACTED]@blochindustries.com>; Graham, Christopher <[REDACTED]@volland.com>; Chuck Kolkebeck <[REDACTED]@aol.com>; Craig Schreiber <[REDACTED]@northtownauto.com>; Jim Hengst <[REDACTED]@zeptometrix.com>; Kent Chevli <[REDACTED]@wnyurology.com>; Lindy Ruff <[REDACTED]@aol.com>; Lori Luzi <[REDACTED]@gmail.com>; Michael Laurie <[REDACTED]@yahoo.com>; Mike Murphy <[REDACTED]@dlapiper.com>; Phil Corwin <[REDACTED]@yahoo.com>; Tom McMahon <[REDACTED]@cubrc.org>; Ralph Lorigo <[REDACTED]@lorigo.com>; Michael Hook <[REDACTED]@comcast.net>
Subject: Trial Update

To all: We currently have 93 patients signed up for the trial. Yea - a long time coming ! Approximately 80 are "on drug" and 13 are waiting to complete evaluation and have their first dose of MIS 416. It will probably be the end of Feb or first week in March when the 90th patient is "on drug" which starts the 12 month clock ticking to complete the Phase II B trial.

We continue to have very promising conversations with big pharma. MS seems to be in the news more than ever with one high profile person after another being diagnosed with MS. We are the ONLY drug that treats SPMS. And it is recognized that we have a potential \$2 billion drug based on the market size and sales of the 8 - 10 RRMS drugs on the market with annual sales in the \$10 billion range.

We have been urged by big pharma to move forward with a plan for large scale manufacturing of MIS 416. Our drug is not a "pill" that is easily produced in a traditional pharma facility. We grow our drug in bacteria and have to have a sterile process from start to finish to satisfy FDA. You can't sterilize MIS 416 at the end of production. As an injectable, facilities needed for our drug are not as common as traditional pill manufacturing. But, we are talking with several and doing our due diligence to chose a suitable manufacturer. We will be spending \$\$ to move this forward as it is a significant factor in the final value of Innate. The further along we are with the large scale manufacturing, the more desirable (\$\$\$) our company.

I continue to have a very positive outlook for Innate.

All the best, Chris Collins

Exhibit 6

From: C C Collins <[REDACTED]@prodigy.net>
Sent: Wednesday, June 1, 2016 5:00 PM
To: Tom Massung <[REDACTED]@yahoo.com>; Kevin Geary <[REDACTED]@aol.com>; Joe Geary <[REDACTED]@gmail.com>; Gary Toomey <[REDACTED]@graphiccontrols.com>; Sam Haleba <[REDACTED]@graphiccontrols.com>; Jim Pokornowski <[REDACTED]@allsafe.com>; Joan Snyder <[REDACTED]@froghollow.us>; Sam Narins <[REDACTED]@benchmarkgrp.com>; Clarke Narins <[REDACTED]@benchmarkgrp.com>; Hadley Narins <[REDACTED]@gmail.com>; Lynn Ritchie <[REDACTED]@gmail.com>; Al Bluemle <[REDACTED]@markersys.com>; Chris Skomra <[REDACTED]@wnyurology.com>; Dhansukh Chevli <[REDACTED]@aol.com>; Bob Alexander <[REDACTED]@gmail.com>; Lisa Ross <[REDACTED]@froghollow.us>; Norm Schreiber <[REDACTED]@aol.com>; Asha Partnership <[REDACTED]@aol.com>; Graham, Kirk <[REDACTED]@volland.com>; Glenn Arthurs <[REDACTED]@gmail.com>; John Hoffman <[REDACTED]@gmail.com>; David Korzak <[REDACTED]@earthlink.net>; Jim Buzzard <[REDACTED]@gmail.com>; Paul Shine <[REDACTED]@truetreasuresinc.com>; Phil Delmont <[REDACTED]@verizon.net>; Rick Taylor <[REDACTED]@hotmail.com>; Charles Koller <[REDACTED]@wnycpa.com>; Paul Clark <[REDACTED]@cnhcpas.com>; Beverly Mazur <[REDACTED]@roadrunner.com>; Bill Grove <[REDACTED]@roadrunner.com>; Brian Geary <[REDACTED]@blochindustries.com>; Graham, Christopher <[REDACTED]@volland.com>; Chuck Kolkebeck <[REDACTED]@aol.com>; Craig Schreiber <[REDACTED]@northtownauto.com>; Kent Chevli <[REDACTED]@wnyurology.com>; Lindy Ruff <[REDACTED]@aol.com>; Lori Luzi <[REDACTED]@gmail.com>; Michael Laurie <[REDACTED]@yahoo.com>; Mike Murphy <[REDACTED]@dlapiper.com>; Phil Corwin <[REDACTED]@yahoo.com>; Tom McMahon <[REDACTED]@cubrc.org>; Ralph Lorigo <[REDACTED]@lorigo.com>; Michael Hook <[REDACTED]@comcast.net>
Subject: Next Offering

To all: Tentatively the IIL offer will launch July 15 or thereabouts. Tentative price of \$.25 AUS or \$.18 US. 20 million new shares or 10% of outstanding shares. 10% dilution if current shareholders don't participate.

Raise \$5 million AUS to carry the company 18 months and allow for investment in manufacturing scale up. Plan is to monetize our investment in that time frame. So this is the last planned offering.

This offering will be to existing NZ/AUS shareholders or US investors I identify. There will be a lead underwriter in NZ/AUS. He will be paid a 6% fee and will be required to purchase any unsold shares.

US investors will be considered underwriters and will get a 6% fee or discount in line with the underwriter down under.

Price is a 10% discount to the 20 day weighted average price.

Actual details and paperwork will be provided end of June or early July.

Since US investors will be considered underwriters we will have to know who is participating and they will be part of the offering documents to NZ/AUS investors. We are doing this because the legal costs to do an actual offering in the US is prohibitive. This is our workaround.

Please let me know your level of interest. I believe you have the Gordon Capital Research report that was done in anticipation of this last round of funding. If, for any reason, you don't have the report, let me know and I can forward to you. It's very detailed and fully explains the upside prospects.

At last, the end is in sight.

Thanks to all for your past support. All the best, Chris

Exhibit 7

From: C C Collins <[REDACTED]@prodigy.net>
Sent: Tuesday, June 7, 2016 9:31 PM
To: Tom Massung <[REDACTED]@yahoo.com>; Kevin Geary <[REDACTED]@aol.com>; Joe Geary <[REDACTED]@gmail.com>; Gary Toomey <[REDACTED]@graphiccontrols.com>; Sam Haleba <[REDACTED]@graphiccontrols.com>; Jim Pokornowski <[REDACTED]@allsafe.com>; Joan Snyder <[REDACTED]@froghollow.us>; Sam Narins <[REDACTED]@benchmarkgrp.com>; Clarke Narins <[REDACTED]@benchmarkgrp.com>; Hadley Narins <[REDACTED]@gmail.com>; Lynn Ritchie <[REDACTED]@gmail.com>; Al Bluemle <[REDACTED]@markersys.com>; Chris Skomra <[REDACTED]@wnyurology.com>; Dhansukh Chevli <[REDACTED]@aol.com>; Bob Alexander <[REDACTED]@gmail.com>; Lisa Ross <[REDACTED]@froghollow.us>; Norm Schreiber <[REDACTED]@aol.com>; Asha Partnership <[REDACTED]@aol.com>; Kirk Graham <[REDACTED]@volland.com>; Glenn Arthurs <[REDACTED]@gmail.com>; John Hoffman <[REDACTED]@gmail.com>; David Korzak <[REDACTED]@earthlink.net>; Jim Buzzard <[REDACTED]@gmail.com>; Paul Shine <[REDACTED]@truetreasuresinc.com>; Phil Delmont <[REDACTED]@verizon.net>; Rick Taylor <[REDACTED]@hotmail.com>; Charles Koller <[REDACTED]@wnycpa.com>; Paul Clark <[REDACTED]@cnhpcas.com>; beverly Mazur <[REDACTED]@roadrunner.com>; Bill Grove <[REDACTED]@roadrunner.com>; Brian Geary <[REDACTED]@blochindustries.com>; Chris Graham <[REDACTED]@volland.com>; Chuck Kolkebeck <[REDACTED]@aol.com>; Craig Schreiber <[REDACTED]@northtownauto.com>; Kent Chevli <[REDACTED]@wnyurology.com>; Lindy Ruff <[REDACTED]@aol.com>; Lori Luzi <[REDACTED]@gmail.com>; Michael Laurie <[REDACTED]@yahoo.com>; Mike Murphy <[REDACTED]@dlapiper.com>; Phil Corwin <[REDACTED]@yahoo.com>; Tom McMahon <[REDACTED]@cubrc.org>; Ralph Lorigo <[REDACTED]@lorigo.com>; Michael Hook <[REDACTED]@comcast.net>
Cc: Tom Price <[REDACTED]@gmail.com>; James C. D. Hengst Ph.D. <[REDACTED]@zeptometrix.com>; Mike Draveck <[REDACTED]@gmail.com>; [REDACTED]@yahoo.com
Subject: Innate Offer
Attach: IIL - Offer Letter from US Investor.doc

Dear All: Two things. 1 - the subscription offer attached to this email. 2 - the comments below on today's announcement that Biogen's MS drug trial failed. Bad for Biogen. Good for Innate.

1. The new offer situation has now been finalized with a slightly different offer to US investors than investors in AUS and NZ. And, the US offer will take two forms.

A. In order to show US commitment as part of the AUS and NZ rights offer, we are offering US investors the opportunity to subscribe for shares in the next 2 days (deadline is Thursday 5:00 PM). The form is attached and will need to be filled out and emailed to Simon by that time.

[REDACTED]@innateimmuno.com). The minimum is \$25,000 US. The incentive to subscribe in the next two days is that funds will not have to be wired until September 5, 2016.

As you read the letter, the only "related party" is me because I am a director. Doesn't apply to anyone else.

The show of support is important and I hope those who definitely intend to subscribe do so in the

next two days by filling out and returning the subscription letter to Simon by Thursday. That total US commitment will be included in the official rights offer to AUS and NZ shareholders which will be finalized this Friday.

B. For anyone who doesn't subscribe by Thursday, official private placement documents, similar to documents provided in the past, will be finalized this week and sent around. Payment for those shares will have to be made by July 5, 2016.

Let me know if you have any questions. Thanks for your support. Chris Collins

Dear All

Robert Peach (director) comments on this morning's announcement from Biogen was as follows: This result is a major torpedo in the Biogen MS ship. They were banking on this breakthrough therapy and will now be very hungry to bolster their MS pipeline (they really don't have anything else except their alzheimers antibody).

The study was in "relapsing forms of MS" meaning both RRMS but also SPMS patients still suffering relapses, ie the 'transitional population'. So while not being a 'true' SPMS population from Innate's perspective, it is nonetheless significant from a strategic standpoint that this programme has failed. This latest setback in Biogen's MS pipeline comes after the failure last year of Tysabri in a major Phase 3 study in 'true' SPMS patients.

Best – Simon Wilkinson
CEO

Biogen Reports Top-Line Results from Phase 2 Study of Opicinumab (Anti-LINGO-1) in Multiple Sclerosis

-- Opicinumab Missed the Primary Endpoint --

-- Biogen Continues to Analyze Data to Inform Next Step in Clinical Development Program

--

<image002.png>

Biogen 5 hours ago

CAMBRIDGE, Mass.--(BUSINESS WIRE)--

•

Today [Biogen \(BIIB\)](#) reported top-line results from the Phase 2 SYNERGY study evaluating opicinumab (anti-LINGO-1), an investigational, fully human monoclonal antibody being developed as a potential

neuroreparative therapy in people with relapsing forms of multiple sclerosis (RMS). In the study, opicinumab missed the primary endpoint, a multicomponent measure evaluating improvement of physical function, cognitive function, and disability. However, evidence of a clinical effect with a complex, unexpected dose-response was observed.

“It is only through taking thoughtful, calculated risks that we can bring major advances to patients,” said Alfred Sandrock, M.D., Ph.D., executive vice president and chief medical officer at Biogen. “Achieving repair of the human central nervous system through remyelination would be a substantial achievement, and while we missed the primary endpoint, the SYNERGY study results suggest evidence of a clinical effect of opicinumab. Due to the complex nature of the data set, we continue to analyze the results to inform the design of our next study.”

Opicinumab also did not meet the secondary efficacy endpoint in SYNERGY, which evaluated the slowing of disability progression. Safety and pharmacokinetics (PK) were also assessed as secondary endpoints. Opicinumab was generally well-tolerated and the safety profile was consistent with what has been observed in prior studies. Opicinumab showed a linear, well-behaved PK profile over the studied dose range. SYNERGY results will be presented at future medical meetings.

About the Opicinumab (anti-LINGO-1) Phase 2 Development Program

The two Phase 2 trials (RENEW and SYNERGY) were designed to assess the biological activity and clinical potential of opicinumab (anti-LINGO-1) in central nervous system (CNS) demyelinating diseases.

RENEW was a randomized, double-blind, placebo-controlled Phase 2 study designed to evaluate the effect of opicinumab treatment following a first episode of acute optic neuritis. Opicinumab 100 mg/kg was administered intravenously once every four weeks for 20 weeks (total of six doses). Results from RENEW showed improved latency recovery, as measured by the primary endpoint full-field visual evoked potential (FF-VEP), among opicinumab participants, compared with placebo. The study showed no effect on the secondary endpoints of change in thickness of the retinal layers (optic nerve neurons and axons) or visual function, as measured by spectral domain optical coherence tomography (SD-OCT) and low contrast letter acuity, respectively.

SYNERGY was a randomized, double-blind, placebo-controlled, dose-ranging Phase 2 study that evaluated the impact of opicinumab among 418 participants with relapsing forms of multiple sclerosis (both relapsing-remitting and secondary progressive) over 72 weeks. The primary endpoint of the SYNERGY study was a multicomponent measure evaluating the number of study participants who experienced three month confirmed improvement of ambulation (Timed 25-Foot Walk; T25FW), upper extremity function (9-Hole Peg Test; 9HPT), cognition (3-Second Paced Auditory Serial Addition Test; PASAT) and standard measures of physical disability (Expanded Disability Status Scale; EDSS). Secondary endpoints measured slowing of progression on the same components, as well as the safety and pharmacokinetics of opicinumab. Statistical testing assessed the dose-response trend based on the primary or secondary endpoint. Opicinumab was administered intravenously every four weeks at doses of 3 mg/kg, 10 mg/kg,

30 mg/kg or 100 mg/kg. All study participants received concurrent treatment with 30 mcg interferon beta-1a intramuscular injection once weekly.

About Biogen

Through cutting-edge science and medicine, Biogen discovers, develops and delivers worldwide innovative therapies for people living with serious neurological, autoimmune and rare diseases. Founded in 1978, Biogen is one of the world's oldest independent biotechnology companies and patients worldwide benefit from its leading multiple sclerosis and innovative hemophilia therapies. For more information, please visit www.biogen.com. Follow us on [Twitter](#).

Exhibit 8

From: C C Collins <[REDACTED]@prodigy.net>
Sent: Monday, May 4, 2015 7:46 PM
To: Tom Massung <[REDACTED]@yahoo.com>; Kevin Geary <[REDACTED]@aol.com>; Joe Geary <[REDACTED]@gmail.com>; Gary Toomey <[REDACTED]@graphiccontrols.com>; Sam Haleba <[REDACTED]@graphiccontrols.com>; Jim Pokornowski <[REDACTED]@allsafe.com>; Joan Snyder <[REDACTED]@frogghollow.us>; Sam Narins <[REDACTED]@benchmarkgrp.com>; Clarke Narins <[REDACTED]@benchmarkgrp.com>; Hadley Narins <[REDACTED]@gmail.com>; Lynn Ritchie <[REDACTED]@gmail.com>; Al Bluemle <[REDACTED]@markersys.com>; Chris Skomra <[REDACTED]@wnyurology.com>; Dhansukh Chevli <[REDACTED]@aol.com>; Bob Alexander <[REDACTED]@gmail.com>; Lisa Ross <[REDACTED]@frogghollow.us>; Colin Carroll <[REDACTED]@msn.com>; Ray Grove <[REDACTED]@msn.com>; Bob Grove <[REDACTED]@huntrealestate.com>; Norm Schreiber <[REDACTED]@aol.com>; Asha Partnership <[REDACTED]@aol.com>; Graham, Kirk <[REDACTED]@volland.com>; Glenn Arthurs <[REDACTED]@roadrunner.com>; John Hoffman <[REDACTED]@gmail.com>; David Korzak <[REDACTED]@earthlink.net>; Jim Buzzard <[REDACTED]@gmail.com>; Paul Shine <[REDACTED]@truetreasuresinc.com>; Phil Delmont <[REDACTED]@verizon.net>; Rick Taylor <[REDACTED]@hotmail.com>; Charles Koller <[REDACTED]@wnycpa.com>; Paul Clark <[REDACTED]@cnhpcas.com>; Beverly Mazur <[REDACTED]@roadrunner.com>; Bill Grove <[REDACTED]@roadrunner.com>; Brian Geary <[REDACTED]@blochindustries.com>; Graham, Christopher <[REDACTED]@volland.com>; Chuck Kolkebeck <[REDACTED]@aol.com>; Craig Schreiber <[REDACTED]@northtownauto.com>; Jim Hengst <[REDACTED]@zeptometrix.com>; Kent Chevli <[REDACTED]@wnyurology.com>; Lindy Ruff <[REDACTED]@aol.com>; Lori Luzi <[REDACTED]@gmail.com>; Michael Laurie <[REDACTED]@yahoo.com>; Mike Murphy <[REDACTED]@dlapiper.com>; Phil Corwin <[REDACTED]@yahoo.com>; Tom McMahon <[REDACTED]@cubrc.org>; Ralph Lorigo <[REDACTED]@lorigo.com>; Michael Hook <[REDACTED]@roland-kelly.com>
Subject: Fw: IIL - Released ASX Announcement: Innate Joins MS Outcome Assessment Consortium
Attach: IIL - MSOAC Membership 040515.pdf

To all: In case you missed this news on Innate joining the MS Consortium. This really is a big deal. We continue with enrollment in our Phase 2B trial at 5 sites. 3 of the sites are doing well, with the other 2 a little slow with recruitment. We did enroll 12 additional compassionate patients in NZ which allows us access to the physician info (unlike the trial where all info is confidential until the end of the trial due to the fact that 1/5 are on placebo). The patients in NZ have the same profile as the patients we have enrolled in Australia so access to their data on a monthly basis gives us a proxy for the patients in the trial in Australia. All the patients that have continued to receive our drug after the Phase 2A trial are pleased with the drug and their condition. Some patients have now been on MIS416 for 5 years and are holding steady, which is an amazing accomplishment with SPMS.

The stock price hasn't moved, which is not surprising since we really don't have news to report. It continues to trade at approximately \$.20 AUS, which was the price in the IPO. We anticipate an additional fund raising later this year.

All the best, Chris Collins

On Sunday, May 3, 2015 6:35 PM, Andrew Cooke <[REDACTED]@innateimmuno.com> wrote:

Innate Immunotherapeutics Limited logo

News Alert

17-3509_000105

CG_0062

Exhibit 9

From: C C Collins <[REDACTED]@prodigy.net>
Sent: Wednesday, July 13, 2016 10:09 AM
To: Tom Massung <[REDACTED]@yahoo.com>; Kevin Geary <[REDACTED]@aol.com>; Joe Geary <[REDACTED]@gmail.com>; Gary Toomey <[REDACTED]@graphiccontrols.com>; Sam Haleba <[REDACTED]@graphiccontrols.com>; Jim Pokornowski <[REDACTED]@allsafe.com>; Joan Snyder <[REDACTED]@frogghollow.us>; Sam Narins <[REDACTED]@benchmarkgrp.com>; Clarke Narins <[REDACTED]@benchmarkgrp.com>; Hadley Narins <[REDACTED]@gmail.com>; Lynn Ritchie <[REDACTED]@gmail.com>; Al Bluemle <[REDACTED]@markersys.com>; Chris Skomra <[REDACTED]@wnyurology.com>; Dhansukh Chevli <[REDACTED]@aol.com>; Bob Alexander <[REDACTED]@gmail.com>; Lisa Ross <[REDACTED]@frogghollow.us>; Norm Schreiber <[REDACTED]@aol.com>; Asha Partnership <[REDACTED]@aol.com>; Graham, Kirk <[REDACTED]@volland.com>; John Hoffman <[REDACTED]@gmail.com>; David Korzak <[REDACTED]@earthlink.net>; Jim Buzzard <[REDACTED]@gmail.com>; Paul Shine <[REDACTED]@truetreasuresinc.com>; Phil Delmont <[REDACTED]@verizon.net>; Rick Taylor <[REDACTED]@hotmail.com>; Charles Koller <[REDACTED]@wnycpa.com>; Paul Clark <[REDACTED]@cnhpcas.com>; Beverly Mazur <[REDACTED]@roadrunner.com>; Bill Grove <[REDACTED]@roadrunner.com>; Brian Geary <[REDACTED]@blochindustries.com>; Graham, Christopher <[REDACTED]@volland.com>; Chuck Kolkebeck <[REDACTED]@aol.com>; Craig Schreiber <[REDACTED]@northtownauto.com>; Kent Chevli <[REDACTED]@wnyurology.com>; Lindy Ruff <[REDACTED]@aol.com>; Lori Luzi <[REDACTED]@gmail.com>; Michael Laurie <[REDACTED]@yahoo.com>; Mike Murphy <[REDACTED]@dlapiper.com>; Phil Corwin <[REDACTED]@yahoo.com>; Tom McMahon <[REDACTED]@cubrc.org>; Mike Draveck <[REDACTED]@gmail.com>; Ralph Lorigo <[REDACTED]@lorigo.com>; Michael Hook <[REDACTED]@comcast.net>; Joe McMahon <[REDACTED]@yahoo.com>; Laurie Frey <[REDACTED]@aol.com>; Mark Lema <[REDACTED]@gmail.com>; Tom Price <[REDACTED]@gmail.com>; [REDACTED]@eastmancuts.com; [REDACTED]@ol.com; [REDACTED]@gmail.com; [REDACTED]@outlook.com; Scott Friedman <[REDACTED]@lippes.com>
Subject: Innate Immunotherapeutics Offer
Attach: IIL - Offer Letter from US Investor (2nd placement).doc

To all: As most of you know, the price of Innate stock jumped from the mid to high 20's (AUS) to high 30's low 40's (AUS) over the past 4 weeks. Our offer to sell 22 million shares at \$.18 US / \$.25 AUS was based on an exchange rate of .72. The US dollar has also weakened substantially over the past 4 weeks and is now at .75.

The Rights offer (1:9) was substantially oversubscribed (2:1) in Australia/New Zealand. This was probably due to the jump in the stock price where people could buy the stock for \$.25 AUS and sell for \$.40 AUS. As a result, the offer was fully subscribed without any shares being available to US investors who missed the 5:00 PM May 31 deadline to subscribe for shares. Those shareholders who did subscribe by 5:00 PM on May 31 will get all the shares they subscribed for at \$.18 US.

A dozen or so US investors subscribed for shares after the deadline passed and are now being offered shares in a follow on offer at \$.26 US per share (\$.34 AUS). We are raising \$1 million AUS with 3,000,000 new shares being offered to interested investors in the US, AUS, and NZ. Directors decided the extra funds would benefit the company in pushing forward the ramped up production of MIS 416. Big Pharma has indicated that money spent now to move the production process forward would substantially benefit the company when sold late next year.

The new offer letter is attached and is available to all of you who are copied on this email. The minimum subscription is \$5,000 US. The deadline to subscribe is midnight July 18 (Monday night). Funds must be paid by September 5, 2016.

I know you are probably disappointed you can't buy at \$.18 per share, but the new offer at \$.26 per share is still a 15% discount from current pricing on the AUX stock exchange for IIL stock.

Your subscription letter should be emailed to [REDACTED]@innateimmuno.com. Please copy me on your subscription.

Best regards, Chris Collins

Exhibit 10

Rieff, Heather (NIH/NINDS) [E]

From: Noland, Ashley <Ashley.Noland [REDACTED]>
Sent: Thursday, August 22, 2013 11:24 AM
To: Rieff, Heather (NIH/NINDS) [E]
Cc: Freeland, Jeff
Subject: Re: NIH Intramural Labs

Hi Heather,

I understand you've been working with Jeff Freeland from our office to get Congressman Collins up to the Labs in Bethesda. We can do Sept 9 or Sept 30th. How do those days look for you? I typically fly him to DC at 1:30pm, but if we need to get him in earlier, I can do that as well.

Let me know what works best for you and we will try to accommodate!

Thank you,
Ashley

Ashley Noland
Executive Assistant/Scheduler
Congressman Chris Collins (NY-27)
1117 Longworth House Office Building
Washington, DC 20515
202- [REDACTED]
www.chriscollins.house.gov

Vision: The United States of America will reclaim its past glory as the Land of Opportunity, restoring the promise of the American Dream, for our children and grandchildren.

>>

>>-----Original Message-----

>>From: Rieff, Heather (NIH/NINDS) [E] [mailto:rieffh [REDACTED]]

>>Sent: Tuesday, August 06, 2013 9:29 AM

>>To: Freeland, Jeff

>>Subject: RE: NIH Intramural Labs

>>

>>Sounds Great. I've got a meeting in a few minutes, but will try you

>>after that.

>>

>>Thanks,

>>Heather

>>

>>

>>Heather Rieff, Ph.D.

>>Office of Science Policy and Planning

>>National Institute of Neurological Disorders and Stroke National
>>Institutes of Health
>>(301) [REDACTED]
>>(301) [REDACTED]

>>
>>

>>-----Original Message-----

>>From: Freeland, Jeff [mailto:Jeff.Freeland@NIH.gov] [REDACTED]
>>Sent: Tuesday, August 06, 2013 9:24 AM
>>To: Rieff, Heather (NIH/NINDS) [E]
>>Subject: RE: NIH Intramural Labs

>>
>>That would be great! Thanks Dr. Rieff. I'm driving back to the
>>district today around noon, so if you can't get me at the office,
>>please just shoot me an email and I'll call you.

>>

>>-----Original Message-----

>>From: Rieff, Heather (NIH/NINDS) [E] [mailto:heather.rieff@NIH.gov] [REDACTED]
>>Sent: Tuesday, August 06, 2013 9:23 AM
>>To: Freeland, Jeff
>>Subject: RE: NIH Intramural Labs

>>
>>Hi Jeff- I'd be happy to disc this with you, and we'd love to your
>>boss come visit. I'll give you a call later today.

>>

>>Best,
>>Heather

>>

>>

>>Heather Rieff, Ph.D.
>>Office of Science Policy and Planning
>>National Institute of Neurological Disorders and Stroke National
>>Institutes of Health

>>(301) [REDACTED]

>>(301) [REDACTED]

>>

>>

>>-----Original Message-----

>>From: Pak, Chol (NIH/OD) [E]
>>Sent: Monday, August 05, 2013 7:00 PM
>>To: Yamada, Richard; Freeland, Jeff
>>Cc: Mullman, Lauren (NIH/OD) [E]; Rieff, Heather (NIH/NINDS) [E]
>>Subject: RE: NIH Intramural Labs

>>

>>Thanks Richard for the introduction. I'm out of the office this week
>>but I'm CCing NINDS' leg contact along with my colleague who handles
>>NINDS for our office. We would love to have Rep Collins out to NIH.

>>

>>Let me know if you have anymore questions. My colleagues Heather or
>>Lauren will be in touch.

>>

>>Chol

>>

>>From: Yamada, Richard [Richard.Yamada [REDACTED]]

>>Sent: Monday, August 05, 2013 4:36 PM

>>To: Freeland, Jeff

>>Cc: Pak, Chol (NIH/OD) [E]

>>Subject: Re: NIH Intramural Labs

>>

>>Hi Jeff,

>>

>>Hope you're enjoying the August break. The NIH liasion is Chol Pak,
>>whom I have cc'ed to this email. He's great! Hope you 2 will connect
>>and get your boss to the campus.

>>

>>Best,

>>

>>Richard

>>

>>From: Freeland, Jeff

>>Sent: Monday, August 05, 2013 04:32 PM

>>To: Yamada, Richard

>>Subject: NIH Intramural Labs

>>

>>Hey Richard - Thanks for putting together a great hearing last week.
>>When my boss asked his question to Dr. Landis, she mentioned that he's
>>welcome to come out to their intramural labs that are working on M.S.
>>research.

>>Could you link me up with one of the NIH government liaison folks?

>>

>>Thanks!

>>Jeff

>>

>>JEFF FREELAND

>>Legislative Director

>>Rep. Chris Collins (NY-27)

>>1117 Longworth HOB

>>(202) [REDACTED] Office

>>ChrisCollins.House.Gov

>>Vision: The United States of America will reclaim its past glory as
>>the Land of Opportunity, restoring the promise of the American Dream,
>>for our children and grandchildren.

>>

>


Exhibit 11

Rieff, Heather (NIH/NINDS) [E]

From: Rieff, Heather (NIH/NINDS) [E]
Sent: Wednesday, October 30, 2013 8:42 AM
To: 'Noland, Ashley'
Subject: RE: NIH visit

Ashley --
Monday November 18th will work from our end in the afternoon. Would something like 3-4:30/5 work?

-----Original Message-----


From: Noland, Ashley [mailto:Ashley.Noland@
Sent: Tuesday, October 29, 2013 2:57 PM
To: Rieff, Heather (NIH/NINDS) [E]
Subject: Re: NIH visit

Heather,

I'm so sorry, I just must have hit a 9 instead of an 8. I meant 11/18, is that a possibility?

Please forgive me!


Ashley

On 10/29/13, 2:52 PM, "Rieff, Heather (NIH/NINDS) [E]"
<rieffh@ wrote:

>Hi Ashley--
>I think November 19th will work for at least some of our folks. May be
>slighter shortened from what we had previously planned but I think he
>will still be able to learn a lot about our MS research program. What
>would be the timing of the visit?

>
>Thanks,
>Heather

>
>-----Original Message-----

>From: Noland, Ashley [mailto:Ashley.Noland@
>Sent: Tuesday, October 22, 2013 4:01 PM
>To: Rieff, Heather (NIH/NINDS) [E]
>Subject: Re: NIH visit

>
>Heather,
>
>Lets look into November. Perhaps 11/19?

>
>Thanks,
>Ashley
>

Exhibit 12

Transcript of Interview of NIH Employee 1
May 19, 2017

1 Jeff Brown: Okay. It looks like it's on. For the record, this is Jeff Brown with the Office
2 Congressional Ethics. I am here with Paul Solis. Before us today, we have NIH
3 Employee 1 and, I'm sorry. Could you identify yourself Anna?

4 Anna Jacobs: Sure. Anna Jacobs with the HHS Office of the General Counsel.

5 Jeff Brown: Thank you Anna. It is about 11 o'clock on, I believe it's May 19. The False Statements
6 Act warnings have been given to NIH Employee 1. All right, NIH Employee 1, thank
7 you again for being here. We'll start off with the easy stuff. Can you give us your
8 current title here.

9 NIH Employee 1: Sure. I am a health science policy analyst in the Office of Science Policy and
10 Planning at the National Institute of Neurological Disorders and Stroke.

11 Jeff Brown: Okay. About how long have you had the role?

12 NIH Employee 1: I've been in the job since December 2002. I left for about a year, I was at
13 another institute at NIH.

14 Jeff Brown: And if you could just sort of generally tell me what it is your office does and what -

15 NIH Employee 1: Sure.

16 Jeff Brown: - you do in that office.

17 NIH Employee 1: Our office has a number of roles. We handle and manage our congressional
18 interactions and that has been my main role, certainly for the last eight or so years.
19 We also handle strategic planning activities, disease-specific strategic planning
20 activities. NIH, we interact with on NIH-wide strategic planning activities. Our office
21 also handles any evaluations of NINDS programs.

22 Jeff Brown: Okay. What percentage of your time is devoted to congressional liaison or the other
23 stuff you just mentioned?

24 NIH Employee 1: Maybe about 60/40, 60 congressional interactions and 40% the other. But it
25 fluctuates on a day-to-day, week-to-week basis.

26 Jeff Brown: How much of that is visits just versus interacting with individuals over on the hill
27 with requests regarding documents etc.?

28 NIH Employee 1: It's hard to give a number on that. I would say in any given year, I'm maybe
29 involved, in terms of members who come visit campus, maybe five or six visits.
30 Something like that.

31 Paul Solis: And that's per year?

32 NIH Employee 1: Yeah. In terms of members coming to campus, our Director Dr. Koroshetz is
33 often asked to meet with members on the hill and so I help prepare him for those
34 visits and then accompany him to those visits too. Yeah.

35 Paul Solis: Okay.

36 Jeff Brown: I guess I want to start by just really talking about congressional visits generally.

Transcript of Interview of NIH Employee 1
May 19, 2017

1 NIH Employee 1: Okay.

2 Jeff Brown: So if there's one of those five or six congressional visits in any given year, can you
3 sort of walk me through your role start to finish?

4 NIH Employee 1: Sure. It depends a little bit on the visit because the main NIH legislative
5 office, the Office of Legislative and Policy Analysis, is often quite involved in
6 coordinating these visits. So our role, depending on the member and their interests,
7 there may be more than just NINDS involved in the visits, and then OLPA sort of
8 helps coordinate those visits as well.

9 Jeff Brown: I'm sorry, NINDS, can you just give that to me one more time?

10 NIH Employee 1: Yes, it's the National Institute of Neurological Disorders and Stroke.

11 Jeff Brown: Okay. That's in your signature line.

12 NIH Employee 1: Yep. And OLPA is the Office of Legislative in the Office of the Director at NIH.

13 Paul Solis: Then what are the circumstance where they would become involved, versus you just
14 handling it on your own?

15 NIH Employee 1: So again, if there are other institutes. So NINDS is one of the 26, 27, yeah, I
16 always forget the number, of institutes at NIH. For example, we've been involved in
17 visits where NINDS has had one part or showcased one of our labs but the National
18 Cancer Institute has also showcased a lab. Off-

19 Jeff Brown: So there's an equivalent in that office that has a role similar to yours that may or
20 may not be involved in a visit?

21 NIH Employee 1: Right. That office handles purely legislative activities. Our office handles
22 much more than just legislative activities. But yes, that's correct. There have been a
23 couple instances, and both of the visits you asked about are examples of that, where
24 our institute, NINDS, was really the lead in that visit because of the interest of the
25 member. But in those cases, someone from OLPA is always looped in and is usually
26 involved in helping to plan the visit, as well as getting clearances and keeping HHS
27 informed.

28 Jeff Brown: Okay. And sorry, I interrupted you. But your role in the congressional visit, I realize
29 that there are probably various [crosstalk]-

30 NIH Employee 1: No, no. But that's-

31 Jeff Brown: -but if there's sort of like a little bit of background.

32 NIH Employee 1: Sure. So typically the request will come in through a staffer who says, "My
33 boss has an interest in this topic." And they come about for different reasons and we
34 can talk about that if you're interested but I usually, at that point, I would loop in
35 OLPA and they'll loop in the department. My role is to help put together an agenda,
36 given the member's interests. We typically like to bring them to campus and have
37 them meet with our institute director. They often meet with NIH leadership if
38 they're available, and then we like to showcase some of the research we're doing

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1 here on the campus. We usually take them to one of our labs to meet with one of our
2 scientists. And then my role is to interface with the congressional staff, set up the
3 time, how they get here, share draft agendas, say, "Does this look good? Is that what
4 the member ... Does this reflect his or her interests?"

5 Jeff Brown: And then on the day of, can you talk a little bit about your role?

6 NIH Employee 1: Sure. I typically attend the whole visit. We often have the NIH police or
7 security meet the visitors and escort them to whatever building they're going to, and
8 that just helps with parking and getting everyone through security. And then I
9 would typically take the staffers and the member of congress around to ... I would
10 describe my role as a tour guide.

11 Jeff Brown: Okay. Again, I know this'll vary member-to-member, but if you had to describe sort
12 of the purpose of, or the varied purposes of these congressional visits, can you sort
13 of walk me through what those tend to be?

14 NIH Employee 1: Sure. I would say probably the main purpose is to highlight NIH's research.
15 Specifically, to highlight a lot of the research that we're doing here on campus.

16 Jeff Brown: Okay. You don't have to get into who the member was, but just walk me through one
17 or two of your more recent-

18 NIH Employee 1: Sure.

19 Jeff Brown: -congressional visits.

20 NIH Employee 1: I mean, I can ... If you're interested, I-

21 Jeff Brown: Before we get to that.

22 NIH Employee 1: Okay.

23 Jeff Brown: Yeah.

24 NIH Employee 1: There haven't been that many recently that I have been the lead on. Most of
25 the visits I've been involved in recently have been through OLPA. I don't remember
26 when exactly this was but Chairman Cole came recently, I think maybe within the
27 last six months, I'm not positive on that date, with some members of his
28 subcommittee. And OLPA coordinated that visit and asked us to be involved in
29 showcasing one of our labs.

30 Jeff Brown: Okay. Do constituents come frequently or not so frequently, with a member?

31 NIH Employee 1: It happens occasionally and in fact, the only visit where that happened which
32 I have been involved in was one of the visits that Dr. Bielekova was involved in.
33 Representative Frelinghuysen has done us several visits to NIH where he has
34 brought constituents with him, who are either patients or patient advocates who are
35 constituents of his.

36 Jeff Brown: So the constituents coming would be a more infrequent occurrence?

37 NIH Employee 1: Right.

Transcript of Interview of NIH Employee 1
May 19, 2017

1 Jeff Brown: Okay.

2 NIH Employee 1: Often there are constituents involved in meetings where we go to the hill. I
3 would say that's probably a little more frequently.

4 Jeff Brown: How about when a member comes, are they usually accompanied by staffers or
5 colleagues?

6 NIH Employee 1: They are typically accompanied by staff.

7 Jeff Brown: Okay. Did you want to talk about any other background before we sort of launched
8 into more specifics?

9 Paul Solis: No, I think I was given a pretty good ... I mean, I'll just follow-up on Jeff's question
10 about staffers. Is it committee staff or staff directly from the member's personal
11 office?

12 NIH Employee 1: I think it's probably a mixture of both. I couldn't tell you specifically, in all
13 cases.

14 Paul Solis: And do the staffers attend all of the meetings with the member? Or are there ever
15 private sort of breakout sessions, where the member would go off with an NIH
16 employee and have their own discussion?

17 NIH Employee 1: In all the visits I've been at, the staffers have been present with the member.

18 Jeff Brown: And I should ask before, you said ordinarily the request will come through the
19 member's office. Is that usually scheduler that ordinarily reaches out to you?

20 NIH Employee 1: It depends. It sort of depends on maybe how the initial contact came about.

21 Jeff Brown: It may be easier if we just launch into talking about a specific-

22 NIH Employee 1: I think so.

23 Jeff Brown: So we'll go there. Thank you for providing the documents again and on such short
24 notice, we appreciate that. You were involved in Representative Collins'
25 Congressional visit. You scheduled that as we've seen from the emails. What was
26 your day of role?

27 NIH Employee 1: What was the day of what?

28 Jeff Brown: The day of role.

29 NIH Employee 1: So it was similar to my role in other visits.

30 Jeff Brown: You attended...

31 NIH Employee 1: I attended. I brought them to the different- I mean I don't remember much of
32 the day of given that it was several years ago, but.

33 Paul Solis: Why don't you, the best you can, with as much specificity as you can, from the time
34 you first received an email or any communication from Representative Collins'
35 office till the day that they came. Just walk us through what happened.

Transcript of Interview of NIH Employee 1
May 19, 2017

- 1 NIH Employee 1: Sure. So that visit came about because our director at the time, Dr. Story
2 Landis, had testified at a House science subcommittee hearing, which was on brain
3 research. And at the hearing, Representative Collins asked her a question about MS.
4 And she replied by saying we have this great intramural program, research program,
5 on our campus. We'd love to have you come visit. Collins' staffer reached out to the
6 committee staff who had organized that hearing, and through that interaction
7 Collins' staff was put in touch with me.
- 8 Paul Solis: And how did you come to know about the Dr. Landis interaction and all that. Did Dr.
9 Landis discuss this with you?
- 10 NIH Employee 1: Right, so one of my other roles as part of Congressional activities is I
11 accompanied her to the hearing. I prepped her for the hearing, I was present at the
12 hearing where he asked the question.
- 13 Paul Solis: Oh okay, when he asked the question about MS.
- 14 NIH Employee 1: Correct.
- 15 Paul Solis: Was in an open hearing format or was it after the hearing?
- 16 NIH Employee 1: No it's in the hearing transcript.
- 17 Paul Solis: And then after the hearing did they have any private conversations that you were a
18 part of?
- 19 NIH Employee 1: Not that I'm aware of.
- 20 Jeff Brown: Do you remember about the time of that hearing? The date and time?
- 21 NIH Employee 1: I believe it was July of that year. It was June of 2013. June or July of 2013.
- 22 Paul Solis: Okay so, they contacted, you found out about it, and then you what? Attempted to
23 schedule the meeting?
- 24 NIH Employee 1: So the staffer contacted me.
- 25 Paul Solis: Do you know who that was?
- 26 NIH Employee 1: I believe it was Jeff Freeland initially.
- 27 Paul Solis: Do you know what role he has in Representative Collins' office?
- 28 NIH Employee 1: I believe he was, I don't know if he's still there, the Health LA. And the other
29 staffer I interacted with a lot, as you saw from the emails probably, was Ashley
30 Noland who I believe was the scheduler for Collins. So at that point it was similar to
31 how I planned other visits. We reached out to a number of our MS researchers,
32 including Dr. Bielekova, found out who had availability for times that the
33 Congressman, that his staff had suggested. And we sort of went from there in terms
34 of identifying a date and a time for them to come.
- 35 Paul Solis: Okay, okay.
- 36 Jeff Brown: I think it might actually be helpful to walk through this with some of the documents.

Transcript of Interview of NIH Employee 1
May 19, 2017

1 NIH Employee 1: Sure.

2 Jeff Brown: If that works for you. But before I get there, you sent over a variety of emails, did
3 you have communications that were not via email with any of the Congressman's
4 staff? In other words is there any sort of communications that we're not aware of via
5 the production?

6 NIH Employee 1: So I imagine I may have talked to them on the phone at some point. And I
7 think in one of the emails you'll see, you probably saw, that Jeff asked me to call him.

8 Paul Solis: And what did you talk about?

9 NIH Employee 1: So in that call actually he told me, he said he wanted me to be aware of
10 Collins involvement in the Innate Immunotherapeutics company, and that it was a
11 company that was developing, trying to develop, a drug for MS.

12 Paul Solis: So let's, as best you can, describe that conversation. So he wanted you to be aware?
13 How did he bring it up, and what occurred?

14 NIH Employee 1: That is my recollection of the conversation. Now I will tell you, that he didn't,
15 from my recollection, he didn't tell me anything in that conversation on the phone
16 that I did not already know. Because in preparing the individuals at NIH who were
17 going to participate in this visit, I had pulled together information on Representative
18 Collins and his involvement in this company was one thing that I was able to find out
19 from internet searches basically.

20 Paul Solis: Did you pass that information on to the individuals who'd be meeting with him?

21 NIH Employee 1: I did.

22 Paul Solis: Okay, did they have any reaction, or did they say anything when you passed that on
23 to them?

24 NIH Employee 1: No, not that I remember.

25 Paul Solis: Okay, okay.

26 Jeff Brown: And when Mr. Freeland said involvements, did he elaborate on that at all?

27 NIH Employee 1: You know I don't remember, but I don't think so. I recall it being a pretty
28 brief conversation.

29 Jeff Brown: About how long?

30 NIH Employee 1: I honestly could not say.

31 Jeff Brown: Two minutes, five minutes, ten minutes.

32 NIH Employee 1: I honestly couldn't say.

33 Paul Solis: Why don't we show NIH Employee 1 that email.

34 Jeff Brown: See if this jogs your memory as well. Here you go.

35 NIH Employee 1: Right.

Transcript of Interview of NIH Employee 1
May 19, 2017

1 Jeff Brown: Just for the record, I've handed NIH Employee 1 a copy of an email from Jeff
2 Freeland to her. Dated November 18th, 2013 at 10:23AM. Subject line is, "Regarding
3 Monday's visit to NIH".

4 Paul Solis: And so in it Jeff writes, "Just had one quick thing I wanted to tell you over the
5 phone," is this, soon after this in time is when you had the phone call with him?

6 NIH Employee 1: Right, again I couldn't tell you when I called him after this, given this was
7 almost four years ago now.

8 Paul Solis: Totally understandable. Just want to make sure even apart from the substance of the
9 conversation, whether that phone call would have been connected to this statement
10 by Jeff, or this request.

11 NIH Employee 1: Yeah so I call, in response to this email, I called Jeff.

12 Paul Solis: Did you have any other phone calls with Jeff about the Congressman's visit?

13 NIH Employee 1: It's possible, but I don't know for sure.

14 Paul Solis: But you can definitively say that the phone call you're referencing just now with us
15 is in response to this email?

16 NIH Employee 1: Correct.

17 Paul Solis: Okay.

18 Jeff Brown: I wanted to hand you another document... And just for the record I'll identify this as
19 an email chain from, that begins with an email from Jeff Freeland to yourself dated
20 Tuesday, August 20, 2013 at 2:39PM. Again the subject line is, "Regarding NIH
21 intramural labs". I'll give you a chance to flip through it before I ask you any
22 questions.

23 NIH Employee 1: Right so I probably did, I mean I remember now from one of these emails. I
24 probably did have a conversation with him on the phone about scheduling.

25 Jeff Brown: Yeah take a minute. Just look back through the chain and then I want to ask you a
26 couple of questions about it.

27 NIH Employee 1: Okay.

28 Jeff Brown: Okay. At the bottom of page two here, and this is 4:30 pm email between Jeffery
29 Freeman and, it looks like, Richard Yamada. You know Richard?

30 NIH Employee 1: So, Richard was the staffer who organized the hearing that I mentioned that
31 Dr. Landis testified at.

32 Jeff Brown: Okay, what was Richard's role in ... Can you tell us a little bit about his title, and his
33 role here at NIH?

34 NIH Employee 1: Richard? Is not a NIH employee, he's a Congressional staffer, I believe it was
35 the House Science Committee. So, he organized the hearing ... the health science
36 committee hearing that ...

Transcript of Interview of NIH Employee 1
May 19, 2017

1 Jeff Brown: Okay

2 NIH Employee 1: Dr. Landis, our institute director at the time participated at ... testified at.

3 Jeff Brown: The title here is "NIH Intramural Labs." For the Non-Scientists or doctors in the
4 room, can you tell me a little more about Intramural Labs, what that mean?

5 NIH Employee 1: Sure, the NIH Intramural Program is the program of research that goes on,
6 on the campus here at NIH. The other part of NIH, or is the NIH Extramural Program
7 and that is the research that we fund at all the university and medical schools
8 around the country.

9 Jeff Brown: Okay. Looking back at this email, if we follow the string up ... I was confusing Richard
10 with Mr. Chol -

11 NIH Employee 1: Right. Pak is his last name.

12 Jeff Brown: Correct, oh excuse me, Pak is his last name. Can you tell me Mr. Pak's role here -

13 NIH Employee 1: Sure -

14 Jeff Brown: At NIH -

15 NIH Employee 1: So, he's no longer at NIH. At the time he was in the Office of Legislative
16 Policy and Analysis.

17 Jeff Brown: And he has since moved on?

18 NIH Employee 1: Yes.

19 Jeff Brown: Could you tell me a little bit about what his role would have been? I suspect it was
20 very similar to what you described earlier?

21 NIH Employee 1: Yes.

22 Jeff Brown: Okay. Both you and Mr. Chol say something along the lines of "we'd love to have
23 your boss come out -"

24 NIH Employee 1: Mr. Pak.

25 Jeff Brown: Mr. Pak, sorry. "We'd love to have your boss come out and visit -" Can you tell me
26 why you and he might love to have him come out and visit?

27 NIH Employee 1: Yeah, sure. Similar to the other members of Congress, we like to showcase
28 what we're doing in terms of research on the campus here at NIH, as well as take
29 that opportunity to talk about research that we fund elsewhere. It's a way for us to
30 highlight NIH.

31 Paul Solis: Dr. Landis, it's a she?

32 NIH Employee 1: Yes,

33 Paul Solis: When she was testifying the subject ... you may have referenced that a little earlier,
34 what was the subject of that hearing?

Transcript of Interview of NIH Employee 1
May 19, 2017

1 NIH Employee 1: It was on, I believe, it was on brain research in general.

2 Paul Solis: Okay. And ... again, my shortcomings in the science and medical fields, does MS
3 research have anything to do at all with that ...

4 NIH Employee 1: Yeah, so, MS is a neurological disorder. And so, neuro-scientists and people
5 who work under the neurological study ... It's one of the many neurologic diseases
6 they study.

7 Paul Solis: So, would that be something, when you prepped her for testimony ... would that
8 have been something she would have talked about as research on MS?

9 NIH Employee 1: Absolutely! You know, I don't remember exactly what prep went into that
10 hearing, but it is one of the disease areas we devote a lot of resources to and study
11 and again, we have an intramural program, but it would have been one of many
12 other topics that would have been part of that hearing prep.

13 Paul Solis: Do you recall her actually, other than maybe in her response to the question by
14 Congressman Collins, do you remember recall her discussing MS or MS research
15 with anybody else, anybody else at the hearing?

16 NIH Employee 1: I don't

17 Paul Solis: Again, to the best of your recollection –

18 NIH Employee 1: To the best of my recollection, I don't.

19 Paul Solis: Is that the only request she received regarding MS?

20 NIH Employee 1: I believe so, but you know I'd have to go back to the transcript to be sure.

21 Jeff Brown: Who else testified at that hearing? Do you recall?

22 NIH Employee 1: I do not remember.

23 Jeff Brown: Okay. Nobody else that you had any involvement with –

24 NIH Employee 1: Not that I remember.

25 Jeff Brown: And therefore probably nobody else from NIH?

26 NIH Employee 1: It's possible there were other NIH witnesses because there are other
27 institutes at NIH that fund and are involved in neuroscience research, we're not the
28 only one. Yeah, I don't remember who the other witnesses were at that hearing.

29 Jeff Brown: Okay. I'd like to pass over one other document, and again for the record, this is an
30 email string that begins with an email from Jeff Freeland to yourself and copies
31 Ashley Noland. It is dated Friday, November 15, 2013, 9:29 am. The subject is
32 'Regarding Representative Collins' visit 11/18.' I'll give you a minute to look at it.

33 NIH Employee 1: Okay. Okay.

Transcript of Interview of NIH Employee 1
May 19, 2017

1 Jeff Brown: The email references, the string I should say, references a draft agenda ... the draft
2 agenda that is referenced, does that look like it is included at page three, here? The
3 third page of this document I handed you.

4 NIH Employee 1: Yes.

5 Jeff Brown: You referenced this earlier, but you said you may have had some other
6 conversations with Mr. Freeland ... I'm curious, how you decided that this draft
7 agenda was most appropriate for Representative Collins' visit.

8 NIH Employee 1: So, given that his main interest was in MS we chose Investigators at NINDS
9 who work in MS research or see patients with MS.

10 Jeff Brown: Okay.

11 NIH Employee 1: The last part of the agenda, about the NIH Undiagnosed Diseases Program,
12 was not MS specific and was a, I think at that time, a relatively new program, that I
13 think we and OLPA wanted to highlight.

14 Jeff Brown: Okay. And you said you became aware of his interest in MS at the hearing. Did you
15 have any further conversations with either him or his staff about his interest in MS?

16 NIH Employee 1: So, I never had any conversations with him directly.

17 Jeff Brown: Okay.

18 NIH Employee 1: And the only conversations I had with the staff were either Jeff or Ashley.
19 And again, most of those conversations were, as I said, I don't recall all the phone
20 calls I had with them. If I had to guess most of them were related to scheduling
21 questions.

22 Paul Solis: You just told us his main interest was in MS, where would you have developed that
23 understanding?

24 NIH Employee 1: From his questions and comments at the hearing.

25 Paul Solis: Then that's it?

26 NIH Employee 1: That's correct ... yeah.

27 Jeff Brown: Can you walk us through this draft agenda? We've met with NIH Employee 2 as
28 you're aware of. Can you just walk us through the remainder of the schedule and it
29 might be helpful to walk us through it with any recollections that you have about
30 that day with the Congressman's visit.

31 NIH Employee 1: Yeah, so I really don't have much recollection about the specifics of the
32 conversations.

33 Jeff Brown: Would you have been present –

34 NIH Employee 1: Yes.

35 Jeff Brown: For all the communications between the Congressman and these doctors?

Transcript of Interview of NIH Employee 1
May 19, 2017

1 NIH Employee 1: Yes. Yes. So, he met with Dr. Bielekova. I believe she talked to him in a
2 conference room, gave him an overview of some of her research and some of the
3 clinical trials that she was involved in running ...

4 Paul Solis: Why don't we stop you right there ... specifically, in references to NIH Employee 2,
5 you mentioned a conference room. Was it just the two of them in the room?

6 NIH Employee 1: No, it was myself. I believe Lauren Mullman from OLPA was part of the visit
7 as well, and to the best of my recollection, Jeff Freeland was also in the conference
8 room. I was certainly there.

9 Paul Solis: And that's with just NIH Employee 2? There was no other doctor's or investigators
10 present from NIH in the room?

11 NIH Employee 1: It's possible. I don't recall for sure. It's possible that since Dr. Nath, who is
12 the next person on the agenda and is our clinical director, it's possible that he was
13 present as well. But I don't know that for sure.

14 Paul Solis: And in that meeting with NIH Employee 2 that possibly Dr. Nath also attended, what
15 is the best you can do with regards to that conversation? What they talked about in
16 the room and what specifically Congressman Collins talked about?

17 NIH Employee 1: So, I really cannot recall specifics. I mean, I can tell you that I'm pretty sure
18 Dr. Bielekova gave an overview as I said, of the research she's doing here on campus
19 and the clinical trials that she either was currently running or was planning.

20 Paul Solis: Did Congressman Collins bring up Innate Immunotherapeutics in that meeting?

21 NIH Employee 1: I believe he did, yes.

22 Paul Solis: Why do you believe that?

23 NIH Employee 1: Well, to the best ... I mean, that's what I remember. That he brought it up. I
24 think he also asked Dr. Bielekova during that meeting if she would be willing to
25 meet with some of the people from the company.

26 Paul Solis: Okay. Did he, in that meeting at all, identify his position with Innate or his
27 involvement with Innate?

28 NIH Employee 1: I don't remember for sure. Yeah.

29 Jeff Brown: To the best of your recollection, did this meeting last from approximately 3:15 to
30 3:45 as it says it did on the schedule?

31 NIH Employee 1: To the best of my recollection. We try to keep things on schedule.

32 Jeff Brown: And to the best of your recollection, about how much time was spent discussion
33 Innate versus NIH Employee 2's research?

34 NIH Employee 1: I really couldn't comment on that. I would say ... I mean, if I had to surmise, I
35 would say probably most of it was spent her presenting her research, which was the
36 purpose of the visit.

Transcript of Interview of NIH Employee 1
May 19, 2017

1 Paul Solis: Do you know if, upon Representative Collins making his request that she meet with
2 an employee or person affiliated with Innate, do you know if she acquiesced to that
3 request?

4 NIH Employee 1: She did. But I was not aware of that until recently. I was not aware of that
5 until a couple weeks ago.

6 Paul Solis: And how did that happen? How did you become aware of that?

7 NIH Employee 1: Well, it was because of your request to meet with her. She mentioned that
8 this was the visit she had been involved in and then she mentioned that she had
9 subsequently met with people from the company.

10 Jeff Brown: Did she provide any more details on those meetings?

11 NIH Employee 1: Not to me.

12 Jeff Brown: So, we sort of, we've touched on NIH Employee 2, can we keep walking through the
13 schedule?

14 NIH Employee 1: Sure. So I do not have a great recollection of the rest of the schedule. But I
15 would have been present at all the visits. Dr. Nath, as I said is our clinical director.
16 He studies neuro, the interaction between the nervous system and the immune
17 system is the focus of a lot of his research. So, MS is one of the areas that he works
18 on but not the only area of research focus for him.

19 And then we took them to our imaging facility.

20 Jeff Brown: Before you move on to that, I'm sorry. To the best of your recollection, did this last
21 about 15 minutes?

22 NIH Employee 1: Yes. I mean, yes.

23 Jeff Brown: And did Dr. Nath make a presentation similar to NIH Employee 2?

24 NIH Employee 1: Yes. I believe, and I'm not positive, that this, well, I guess we could tell from
25 the room number. It may have been in Dr. Nath's office, where he ... it was more of a
26 conversation about, you know, this is some of the areas of interest of my lab.

27 Jeff Brown: Okay. Did Innate come up in any of those conversations with Dr. Nath?

28 NIH Employee 1: I don't recall. I don't recall.

29 Paul Solis: So you went to the imaging unit next?

30 NIH Employee 1: Right. So we went to the imaging unit so we have a research program that is
31 using imaging to try to better understand MS and to help diagnose MS earlier in
32 patients by detecting lesions in their brain through MRI imaging.

33 Paul Solis: And when you leave to go to that section at the 4:00 pm part of the meeting, is NIH
34 Employee 2 or Dr. Nath with you?

35 NIH Employee 1: I don't believe that Dr. Bielekova was with us. Again, I don't remember for
36 sure but I think she may have just given her presentation and that was her role in

Transcript of Interview of NIH Employee 1
May 19, 2017

1 the visit. Dr. Nath, I believe came to the imaging facility with us. I don't recall if he
2 was present for the last, for the presentation on the undiagnosed diseases program.

3 Paul Solis: And throughout this agenda, Representative Collins was present for each of these, I
4 assume?

5 NIH Employee 1: Correct.

6 Paul Solis: What about Jeff Freeland?

7 NIH Employee 1: I believe Jeff was there as well. I don't recall Jeff ever leaving the visit.

8 Paul Solis: And is Lauren with you at this time as well?

9 NIH Employee 1: Yes, I believe so.

10 Paul Solis: And it's just ... So the consistent group of people throughout these meetings is you,
11 Lauren, Jeff, and Congressman Collins?

12 NIH Employee 1: That is my recollection.

13 Paul Solis: Okay.

14 Jeff Brown: Are Dr. Nath and Dr. Sati, are they still employed at NH?

15 NIH Employee 1: Dr. Nath I know is for sure. I believe Dr. Sati is. I'm not positive.

16 Jeff Brown: Again, to the best of your recollection, did the meeting in the NRM center, did that
17 last about a half hour?

18 NIH Employee 1: Yeah. To the best of my recollection.

19 Jeff Brown: And at any point in time did Innate come up in discussions with either of those
20 doctors?

21 NIH Employee 1: I don't remember.

22 Jeff Brown: It looks like up next was the undiagnosed disease program?

23 NIH Employee 1: Mh-hmm (affirmative). Right. So again, this is not a program that is
24 specifically focused on MS. It's a program at NIH where patients come in who have
25 diseases that have not been able to be diagnosed by other doctors. And I believe at
26 the time, this was a relatively new program and we thought it would be of interest.

27 Jeff Brown: Again, did you guys spend approximately a half hour?

28 NIH Employee 1: I think so.

29 Jeff Brown: Okay. And did Innate come up in any of the conversations with Dr. Gahl?

30 NIH Employee 1: Again, I can't be positive. I can't be positive. But I don't think so. Again,
31 because the focus of that discussion was not on MS at all.

32 Paul Solis: But you can say definitively that Innate was discussed at the meeting with NIH
33 Employee 2?

Transcript of Interview of NIH Employee 1
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1 NIH Employee 1: Yes.

2 Jeff Brown: Did Representative Collins have any follow up with any of these doctors at the
3 conclusion of the program?

4 NIH Employee 1: So, I know that Ashley had contacted me and asked for Dr. Nath's address
5 because she said he wanted to send him a thank you note. That was the last I –

6 Paul Solis: You've already forwarded to that. After you wrapped up at 5:00 pm did he go back
7 and meet with any of the doctors or did he leave the campus?

8 NIH Employee 1: I'm quite, I'm pretty sure he left the campus. Usually, the way these visits
9 work is we escort them back to the entrance of the clinical center that they came in
10 through where their vehicle is parked.

11 Paul Solis: I've got another document that I want to hand you, give you a chance to look it over.

12 NIH Employee 1: Okay. Okay.

13 Paul Solis: This email references the final agenda and the third page here attached probably
14 should have had this final agenda in front of you when asking all of these questions
15 but did you recollect any changes to the draft and final agenda?

16 NIH Employee 1: I don't recollect any changes. This obviously makes clear something that I
17 probably didn't remember that Dr. Nath met us. The fact that Dr. Nath met Collins
18 and Jeff Freeland at the visit suggests that he may have also been in the room with
19 the ... For the Dr. Bielekova visit, but I do not recall that.

20 Jeff Brown: I don't know if it's worth following up there.

21 Paul Solis: There had been some initial discussion about a time for him to come ... For
22 Representative Collins to come in September, October.

23 NIH Employee 1: Mm-hmm (affirmative)-

24 Paul Solis: Is that correct?

25 NIH Employee 1: Right, I think it got ... The date got changed at some point. That's what I recall
26 from these emails.

27 Paul Solis: Yeah. I'd like to ask you a question at this point.

28 Jeff Brown: Hand this over to you to look over.

29 NIH Employee 1: Okay.

30 Paul Solis: And this is an email chain beginning with an email from Ashley Noland to NIH
31 Employee 1 September 24th, 2013 at 10:27 a.m., and if you could, just flip to page 3.

32 NIH Employee 1: Okay.

33 Paul Solis: This is September 4th, 2013 at 3:05 p.m.

34 NIH Employee 1: Mm-hmm (affirmative)-

Transcript of Interview of NIH Employee 1
May 19, 2017

1 Paul Solis: And this is from you? Right?

2 NIH Employee 1: Correct.

3 Paul Solis: Okay.

4 You put, "And then we thought he might be interested in also learning about the NIH,
5 Undiagnosed Diseases Program ...

6 NIH Employee 1: Right.

7 Paul Solis: I think that was reflected in the agenda." Why did you ... Why did you think he might
8 be interested in that?

9 NIH Employee 1: I think it's a pretty cool program. Again, it was a new program at NIH, I think
10 relatively new. Often with these visits if the congressman has more time we will
11 occasionally highlight another area. It may not be exactly the area they're interested
12 in, but it's something we're proud of at NIH and want to share with them.

13 Paul Solis: So, that wouldn't have been based like the MS portion? That would not have been
14 based on anything he or his staff mentioned that they were interested in?

15 NIH Employee 1: I don't think so.

16 Jeff Brown: All right. I have one more document I'm going to ...

17 NIH Employee 1: Okay.

18 Jeff Brown: Pass over. For the record, this is an email string that begins with an email from
19 Ashley Nolan to yourself. It's dated Tuesday, November 19th, 2013 at 3:43 p.m. The
20 subject line is, Regarding Representative Collins' visit on 11/18. I'll give you a
21 second to just look at it.

22 NIH Employee 1: Okay.

23 Jeff Brown: Okay.

24 I think you started to briefly reference this. Are you aware of any follow-up between
25 Representative Collins and any of the doctors that he met with?

26 NIH Employee 1: No.

27 Jeff Brown: Does this email help jog your memory at all?

28 NIH Employee 1: Well, again, as I said, the only ... This is the last I heard of this. Where Ashley
29 Noland asked for Dr. Nath's address because she indicated that her boss wanted to
30 send him a Thank You card.

31 Jeff Brown: Okay.

32 NIH Employee 1: I do not know if he sent the Thank You card and I never heard any follow-up.

33 Jeff Brown: Aside from your follow-up conversations with NIH Employee 2, have you had any
34 more recent conversations with any of the other doctors that met with
35 Representative Collins?

Transcript of Interview of NIH Employee 1
May 19, 2017

1 NIH Employee 1: I've spoken to Dr. Nath, but about ... Not about MS or this visit.
2 Jeff Brown: Okay. So you haven't had any conversations except with NIH Employee 2 regarding
3 Representative Collins' visit?
4 NIH Employee 1: That's correct.
5 Jeff Brown: Okay.
6 Paul Solis: She mentioned that you said, just recently, so in preparation for her interview with
7 us? Is what you're discussing?
8 NIH Employee 1: Correct.
9 Paul Solis: Okay. So she said that she had met with individuals from Innate?
10 NIH Employee 1: Correct.
11 Paul Solis: Did she say who she met with?
12 NIH Employee 1: I asked her that question. She said she did not remember the woman's name.
13 Paul Solis: Okay. Did she say she had met with Representative Collins?
14 NIH Employee 1: No, she did not say that.
15 Paul Solis: Did she say if she was contacted by Representative Collins at all?
16 NIH Employee 1: No. She did not say that to me.
17 Jeff Brown: Did she say how many communications she had with somebody at Innate?
18 NIH Employee 1: She told me that some representatives from Innate came and met with her
19 on campus once, was my understanding, and then she said she has interacted with
20 maybe one, I don't know how many, of people from the company at various
21 meetings that she's been to.
22 Jeff Brown: Various ... Did she give any indication of a number of times that she's met with
23 somebody from Innate?
24 NIH Employee 1: Again, in terms of on campus, I believe it was just once.
25 Jeff Brown: And off campus?
26 NIH Employee 1: My understanding was the other interactions were informal interactions at
27 meetings. You know, you run into somebody at their poster presentation or
28 something.
29 Jeff Brown: So none of the meetings that she referenced were any pre-planned meetings?
30 NIH Employee 1: Except for the one on campus.
31 Jeff Brown: Correct.
32 NIH Employee 1: That's my understanding, but I did not ask her many specifics about those
33 meetings.

Transcript of Interview of NIH Employee 1
May 19, 2017

1 Jeff Brown: We had a phone call, I guess it was a couple of days ago when we were trying to set
2 this up, and at the time we started discussing some of the ways in which
3 Representative Collins was similar or different to other congressional visits that
4 you've handled. We decided we'd table that for today's interview. Would you be able
5 to elaborate on where you were going to go with that and just walk us through,
6 again, some of the ways in which the visit here was similar to any other
7 congressional visits, or in what ways it was different.

8 NIH Employee 1: I think it was quite similar to previous visits ... Any other congressional visits
9 that we have. When I had mentioned on the phone ... What I was alluding to was the
10 fact that it had come up during this hearing ...

11 Jeff Brown: Okay.

12 NIH Employee 1: Rather than And that actually has happened in the past as well, but I think
13 it's more typical that we may get a call from a staffer who we've interacted with on
14 something else and have mentioned to them, "Oh, you should come to the campus to
15 visit sometime if your boss is interested." In this case, with Representative Collins, it
16 was that our director, essentially, invited him during the hearing.

17 Jeff Brown: Okay. That was sort of the difference that you were referring to?

18 NIH Employee 1: Correct.

19 Jeff Brown: Was the phone call regarding Innate different than other congressional visits?

20 NIH Employee 1: The phone call where the -

21 Jeff Brown: With Mr. Freeland regarding Innate. Have you had anybody in here before that had a
22 specific interest in a certain company that they were involved with?

23 NIH Employee 1: Not that I would ... Not that I would ... I mean, not that they disclosed or that I
24 was aware of.

25 Jeff Brown: Okay. Backing up a little bit. When NIH ... How frequently does NIH get involved with
26 private companies either to collaborate on research, or work together, or to fund.
27 How do those interactions between NIH and private companies generally come
28 about?

29 NIH Employee 1: I can't answer that question because it's not something I'm involved in.

30 Jeff Brown: Have you had any experience with doctors that you are working with, or aware of
31 that make connections, or work alongside private companies?

32 NIH Employee 1: At NIH?

33 Jeff Brown: At NIH.

34 NIH Employee 1: Again, not that I'm aware of.

35 Jeff Brown: You've referenced Lauren Mullman a couple of times and we saw her emails. Can
36 you just tell me a little bit about her role and what her title is here?

Transcript of Interview of NIH Employee 1
May 19, 2017

1 NIH Employee 1: Sure. So she is part ... I don't know what her exact title is, but she's in the
2 office of legislative policy and analysis. In the office of the director. The way that
3 office is arranged is there're number of analysts, and each of those analysts is
4 assigned to certain institutes at NIH. At the time, Lauren, and currently, Lauren is
5 assigned to NINDS, so she's our My liaison in the director's office and then one of
6 their main roles is to interface with HHS.

7 Jeff Brown: Did she play any day-of role?

8 NIH Employee 1: I believe she was present at the meetings as well.

9 Jeff Brown: Okay.

10 Anybody else that was either present at the meetings, or involved with the
11 scheduling of Representative Collins' visit?

12 NIH Employee 1: Not that I recall.

13 Jeff Brown: Anybody else that, in light of what we discussed today, you think it might be
14 appropriate for us to have a conversation with?

15 NIH Employee 1: I don't think so.

16 Paul Solis: Have you any contact with Representative Collins, or anyone from his offices, or
17 someone affiliated with him about our review, the fact that we requested to speak to
18 you?

19 NIH Employee 1: No.

20 Jeff Brown: Got anything else?

21 Paul Solis: Nope. I think that's a ...

22 NIH Employee 1: Okay.

23 Paul Solis: All we have for you.

24 NIH Employee 1: Great.

25 Paul Solis: Thank you very much.

26 Jeff Brown: Thank you.

Exhibit 13

Rieff, Heather (NIH/NINDS) [E]

From: Rieff, Heather (NIH/NINDS) [E]
Sent: Friday, November 15, 2013 12:14 PM
To: Freeland, Jeff (Jeff.Freeland@nih.gov); Noland, Ashley (Ashley.Noland@nih.gov); [REDACTED]
Cc: Torborg, Christine (NIH/NINDS) [E]
Subject: Monday's visit to NIH
Attachments: NIH map.Rep Collins.Nov18.2013.ppt; Representative Chris Collins.final agenda.docx
Importance: High

Jeff-

We are looking forward to having Rep. Collins and you visit on Monday. Attached is a campus map. You should enter the NIH campus through the entrance marked on the map off of West Cedar Lane. The NIH Police will be waiting for you – they have Rep. Collins' vehicle information and have also pre-screened both of you through security. They'll escort you to the Clinical Center (you'll be able to park right in front) where Dr. Avi Nath, the NINDS Clinical Director, and I will meet you.

I've also attached the final agenda.

Please let me know if you have any questions, and if you need to reach me on Monday, my cell # is [REDACTED]

Thanks,

Heather Rieff, Ph.D.
Office of Science Policy and Planning
National Institute of Neurological Disorders and Stroke
301-[REDACTED]

Exhibit 14

**Visit by Representative Chris Collins
National Institute of Neurological Disorders and Stroke, NIH
Monday, November 18, 2013
Agenda**

3:00 pm - Arrival at NIH - Dr. Nath and Heather Rieff will meet Rep. Collins and Mr. Jeff Freeland at North Entrance to Clinical Center

3:15 pm –**NINDS Neuroimmunological Diseases Unit; Room 5C-103**

Dr. Bibiana Bielekova, Investigator, Neuroimmunological Diseases Unit

Dr. Bielekova will give an overview of clinical trials and research in progressive multiple sclerosis, the development of biomarkers for the disease, and how these biomarkers can help in developing effective therapies for progressive MS in particular and neurological diseases in general.

3:45 pm –**NINDS Section of Infections of the Nervous System, Room 7C-103**

Dr. Avi Nath, Clinical Director, and Chief, Section of Infections of the Nervous System, NINDS

Dr. Nath will describe his ongoing research to understand how the immune system attacks the brain and what his lab is doing to discover new drugs to treat the later stages of multiple sclerosis.

4:00 pm – **NINDS Neuroimmunology Branch/NMR Center, Room B1D710**

Dr. Nath, and Dr. Pascal Sati, Staff Scientist. *The Neuroimmunology Branch conducts basic and translational research to understand mechanisms of multiple sclerosis and has active clinical trials to develop more effective therapies for different forms of multiple sclerosis. The Branch uses the unique resource of the high resolution 7T MRI within the NIH NMR Center to image the brains of patients with multiple sclerosis in order to understand the biology of the disease and the ways in which it attacks the brain and spinal cord.*

4:30 pm – **NIH Undiagnosed Diseases Program; Room 10C-103**

Dr. William Gahl, Clinical Director, NHGRI and Director, NIH Undiagnosed Diseases Program

After a brief tour of the laboratory, Dr. Gahl will describe the work of the NIH Undiagnosed Diseases program, especially as it pertains to neurological diseases. There may be an opportunity to visit with a patient in the program as part of the tour.

5:00 pm – Wrap-Up and Depart NIH campus

Exhibit 15

Rieff, Heather (NIH/NINDS) [E]

From: Freeland, Jeff <Jeff.Freeland@ [REDACTED]>
Sent: Monday, November 18, 2013 10:23 AM
To: Rieff, Heather (NIH/NINDS) [E]
Subject: RE: Monday's visit to NIH

Heather – Thanks so much for putting this all together. Looks great. Just had one quick thing I wanted to tell you over the phone. Could you give me a call at the office when you have a moment? [REDACTED]

Thanks!

From: Rieff, Heather (NIH/NINDS) [E] [mailto:rieffh [REDACTED]]
Sent: Friday, November 15, 2013 12:14 PM
To: Freeland, Jeff; Noland, Ashley
Cc: Torborg, Christine (NIH/NINDS) [E]
Subject: Monday's visit to NIH
Importance: High

Jeff-
We are looking forward to having Rep. Collins and you visit on Monday. Attached is a campus map. You should enter the NIH campus through the entrance marked on the map off of West Cedar Lane. The NIH Police will be waiting for you – they have Rep. Collins' vehicle information and have also pre-screened both of you through security. They'll escort you to the Clinical Center (you'll be able to park right in front) where Dr. Avi Nath, the NINDS Clinical Director, and I will meet you.

I've also attached the final agenda.

Please let me know if you have any questions, and if you need to reach me on Monday, my cell # is [REDACTED]

Thanks,

Heather Rieff, Ph.D.
Office of Science Policy and Planning
National Institute of Neurological Disorders and Stroke
301- [REDACTED]

Exhibit 16

Transcript of Interview of NIH Employee 2
May 10, 2017

1 Paul Solis: This is Paul Solis with the office of Congressional Ethics, I'm joined by my colleague
2 Jeffrey Brown. It is May 10th, 2017. We are here for an interview of NIH Employee 2.
3 I have provided NIH Employee 2 with a copy of the False Statements Act, and she
4 has signed an acknowledgment form that I provided her a copy of the law, and we
5 can begin our interview.

6 So NIH Employee 2 first off I want to ask if you've heard of a company called Innate
7 Immunotherapeutics?

8 NIH Employee 2: I think it's the company that was mentioned during the congressional visit. I
9 think it's a company that is maybe New Zealand.

10 Paul Solis: Apart from hearing it spoken at a congressional hearing, have you ever heard that
11 name in any other context, Innate Immunotherapeutics?

12 NIH Employee 2: I have met a person who works for the company several times.

13 Paul Solis: Okay, who is that person?

14 NIH Employee 2: I don't remember her name. She's a chief scientific officer in the company I
15 believe.

16 Paul Solis: And how many times have you met with her?

17 NIH Employee 2: I believe I met her three times.

18 Paul Solis: Okay, could you give me approximate dates, even just the year, of those times?

19 NIH Employee 2: I met with her once after the visit of Congressman Collins that was organized
20 by him. She visited me at NIH, I don't really remember I mean it was, I would say
21 two years ago, or more than two years ago, I really don't remember when that visit
22 happened. And then I met with her again twice on the conferences. So first time was
23 at the Keystone Symposia meeting, that meeting was I think... It was one of the MS
24 Keystone Symposia meetings. So I think the first one was in New Mexico, and the
25 second one was in Big Sky, Montana. But I don't know which one it was. And most
26 recently I met her just at the American Academy of Neurology meeting two weeks
27 ago in Boston.

28 Paul Solis: And all these meetings were they, especially at the conferences, were they planned
29 meetings?

30 NIH Employee 2: No at the conferences it wasn't planned. We just met.

31 Paul Solis: How about that first meeting you discussed, that was a planned meeting, an
32 organized meeting?

33 NIH Employee 2: Yeah.

34 Paul Solis: Okay, can you tell me about that?

35 NIH Employee 2: Well the Congressman Collins asked whether I would be willing to help
36 somebody with a trial design for secondary progressive multiple sclerosis, and I said
37 yes I would be, I mean sure we always help people. He asked would it be okay to