

## CURRICULUM VITAE

### **DR. JOHN R. NORMANTON**

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### CAREER HISTORY

**Managing Director, Owner & Founder, Oxandia Limited**

**May 2006 - present**

**Managing Director (UK) & Co-founder ArgantriX Limited**

**Mar 2014 - present**

Orchard Lea, Horns Lane, Combe, Oxfordshire

Consultancy company offering services to academia, SME's, investors and industry in:

- business development & licensing
- patent portfolio strategy & IP management
- business and project planning
- strategic early spin-out management

My principal goal in forming Oxandia was to address the need for start-ups and early stage companies to have access to in-depth experience of the above skills whilst in the crucial initial phase of their life. Having gained significant working experience in academic technology transfer; start-up company formation, VC fund raising and successful exit; corporate life in 'big pharma' and independent consultancy, Oxandia is well placed to either fulfil these roles or supply 'missing' expertise, as required. This was extended in 2014 by the formation of ArgantriX with a former colleague from Imperial Innovations, then based in India. The objective of this company is to advance biotech company formation between collaborating institutions from multiple countries including the UK.

I have over 25 years of experience in:

- negotiating, implementing and managing £multi-million R&D contracts placed with academia (inc. £26M returned to 2 UK universities from one company over a 10 year period)
- strategic IP planning and management within academic, start-up and corporate settings (over 500 patent applications filed and prosecuted)
- in- and out-licensing negotiations and post-signature management (various £multi-million deals successfully closed)
- sourcing, drafting and project managing grant applications

With personal experience at CEO/MD/COO level of the process of pharma company start-up from initial concept through to exit and beyond, I am familiar with many of the issues faced by companies as they move through this difficult early progression and can provide services on an 'ad hoc' or part-time basis. I am 'launch' CEO of a number of early-stage companies currently in this phase:

***Chief Executive Officer, Polypharmakos Ltd.***

University of Cambridge & Royal Botanic Gardens Kew (Novel mechanism of action antimicrobials and modulators of innate immunity from natural products)

***Chief Executive Officer, CholesteniX Ltd.***

Universities of Swansea & Karolinska Institutet (Neurodegeneration therapeutics and diagnostic company)

***Chief Executive Officer, Lucilia Pharma Ltd.***

Universities of Swansea, Bath & Oxford (Anti-infectives therapeutics company based on insect metabolites)

***Chief Executive Officer, EstryX Pharma Ltd.***

Universities of Oxford & Bath (Oncology therapeutics spin-out company)

**Director, Commercial Project Planning****Mar 2005 - Apr-2006****Ipsen Limited**, 14 Kensington Square, LondonReporting to SVP, Business Development (*Mr. Christian de la Tour*)**Consultant to Ipsen Limited****Mar 2004 - Feb 2005 and May 2006 - Apr 2011**Reporting to Group VP, Corporate Development (*Dr. Alistair Stokes*)

Principal responsibilities:

- Integration of Sterix Ltd. into the Ipsen Group
- Business development & Licensing
- Intellectual property strategy and management
- Alliance management (CR-UK & Spirogen Ltd.)

My initial role was to assist Ipsen in assimilating the IP, projects, personnel and business operations of Sterix into the Ipsen organisation following its acquisition in February 2004. Specifically, the brief covered: full management of strategy and prosecution of Sterix's extensive patent portfolio (reporting to VP, Intellectual Property); integration of Sterix's Phase I study of STX 64 in breast cancer with CRUK; assistance with in- and out-licensing programme for the Sterix product portfolio (reporting to VP, Business Development) including close liaison with: Bayer-Schering, Novartis, Takeda, Kyowa Hakko, BioMerieux, PregLem SA, the Universities of Bath and Edinburgh and Imperial College.

Subsequently, I took on broader functions operating across all of Ipsen's sectors of business development: neuromuscular, oncology and endocrinology and was involved in initiating, negotiating and closing a significant number of in- and out-licensing agreements as well as assisting in company spin-out activities and co-ordinating a series of patent due diligence exercises. I became increasingly involved in planning and budgetary management across Ipsen's patent portfolio as a founding member and Secretary of the Intellectual Property Strategy Committee (reporting to the Executive VP & CSO). I was also responsible for alliance management with CRUK and Spirogen Ltd. in respect of preclinical R&D and clinical development.

**Chief Operating Officer****May 2001 - Feb 2004****Company Secretary****Aug 1998 - Jan 2002****Managing Director****Aug 1998 - May 2001****Co-founder****May 1997****Sterix Limited**, Magdalen Centre, Oxford Science Park, Oxford, OX4 4GAReporting to Executive Chairman (*Dr. Peter Johnson*)

Principal responsibilities:

- Intellectual property management
- Business development & Licensing
- Information technology management
- Financial & project management
- Oxford preclinical screening & DMPK support
- Legal, Regulatory and Health & Safety compliance

In late-1997 I incorporated Sterix Limited with co-founders, *the late Prof. Mike Reed* (Professor of Steroid Biochemistry, Imperial College) and *Prof. Barry Potter* (Professor of Medicinal Chemistry, University of Bath) with the aim of developing steroidal and steroid-mimetic products in oncology and endocrinology. I negotiated terms for assignment key technologies and IP and Sterix became fully operational in August 2000 when I signed a £multi-million licence agreement with Schering AG in HRT/oral contraception. This revenue funded Sterix's initial operations through to 2001 included a team (~40 FTE's at peak) of medicinal chemists and biologists working under contract at Bath and Imperial. I established Sterix's headquarters on the Oxford Science Park and in 2000 recruited a part-time Executive Chairman.

In 2001, we together secured £8m funding from 3i, J&JDC, Avlar and Quester and Sterix's R&D activities were substantially augmented at Bath and Imperial and a Preclinical R&D Support Facility was established in new laboratories in Oxford.

From 2001 through to 2004 I coordinated the Executive Committee, established the Drug Development Committee and managed the Company's day-to-day operations. Throughout this period I crafted a patent portfolio that would lead on to ~450 applications and also successfully negotiated a further substantial licence

agreement with a major Japanese company in 2002 and coordinated the appointments to Sterix's SAB, orchestrated several budgetary restructurings and business plan revisions.

Throughout 2003 I, together with my Chairman and R&D directors, presented to numerous companies exploring the potential for partnerships including several potential merger/acquisition discussions and, in February 2004, Sterix underwent a successful trade sale to the Ipsen Group. The assets included an extensive patent portfolio together with a pipeline of major potential products including steroid sulfatase inhibitors for oncology and other indications, dual aromatase/sulfatase inhibitors, 11 $\beta$ HSD inhibitors for type II diabetes and a combined microtubule disruptor/angiogenesis inhibitor indicated for a range of solid tumours. During the sale I managed the due diligence process and oversaw key aspects of the legal negotiations with Ipsen and with Imperial and Bath to secure their ongoing working relationship.

In aggregate, with Sterix I was successful in returning £26M of R&D funding to the UK university sector.

### **Director & Company Secretary**

**Jul 1996 - Oct 1997**

**3i Research Exploitation Ltd.**, (then a subsidiary of Imperial Exploitation Ltd., London)

Reporting to Chairman of IC Innovations Ltd. (*Sir Peter Baxendell*)

Principal responsibilities:

- Sole operational director
- Intellectual property management
- Business development
- Financial management

I held overall responsibility for strategy in a range of areas including: malarial vaccines, peritoneal dialysis, Down's Syndrome pre-natal testing and novel chimeric antibodies for oncology.

### **Technology Transfer Executive**

**Apr 1991 - Aug 1998**

**Imperial Innovations Ltd.** (then IMPEL Ltd.), Imperial College, London

Reporting to CEO (*the late Dr. David Thomas – pro-Rector, Imperial College*)

Principal responsibilities:

- Project management of Imperial College-funded biopharmaceutical development projects.
- Evaluating, patenting and out-licensing of Imperial College biopharmaceutical technologies.
- Agency management of 3i Research Exploitation Ltd. (Dec 1992 - Jul 1996)

I held overall responsibility for sourcing, patenting and licensing in small molecule therapeutics for all departments as well as co-responsibility for certain other areas of diagnostics, vaccine and biologicals. This involved a significant amount of technology auditing and contact with a large number of companies from multinationals to start-ups. From 1991 to 1997 I secured and managed various types of funding from Imperial College, Bath, Cyanamid, Schering AG and CRUK for R&D teams at Imperial and the University of Bath. Additionally, I filed seminal patents and licensed in areas including: Alzheimer's animal models and diagnostics (licensed to Athena Neurosciences, Inc. later sold to Élan Corp.), allergy immunotherapy (part of the basis of Circassia Ltd.), cancer cachexia, BSE, Freidreich's Ataxia & polycystic ovary disease diagnostics, automated DNA sequencing, vaccine and retroviral vector delivery systems.

### **Patents and Licensing Executive**

**May 1990 - Apr 1991**

**3i Research Exploitation Ltd.**, Windsor (subsidiary of 3i plc)

Reporting to CEO (*Dr. Charles DesForges*)

Principal responsibilities:

- Sourcing, evaluating, patenting and licensing of biomedical technologies
- Project management of 3i REL-funded biomedical development projects
- UK university pharmaceutical technology audit and liaison

During my tenure at 3i REL I filed the initial patent applications on steroid sulfatase inhibitors in oncology and secured 'proof-of-concept' funding for collaboration between this group and Prof. Potter's medicinal chemistry group at Bath University for lead optimization studies.

**Clinical Research Associate and Information Resources Manager** **Jun 1988 - Mar 1990**  
**Clinical Research Unit London, Sandoz Ltd. (now Novartis)** Camberley, Surrey  
Reporting to Unit Head, London (*Dr. Deirdre Gillespie*)  
and to Medical Experts, Basel  
Principal responsibilities:

- UK phase III pivotal trial of Navoban in chemotherapy-induced emesis
- Monitoring of several phase I/II studies in patients (ADME, PK, early efficacy, etc.)
- Planning, purchasing, implementation and administration of IT resources

My main responsibility whilst at Sandoz was the management of the UK arm of a high profile multi-country multicentre Phase III trial on Sandoz's 5-HT<sub>3</sub> antagonist in chemotherapy-induced emesis. Key centres recruited and/or managed included: University College (*Prof. Robert Souhami*); The Christie Hospital (*Prof. Tony Howell*); Guy's Hospital (*Prof. Sir Mike Richards*) and Southampton (*Dr. Chris Williams*).

**William Carleton Gibson Junior Research Fellow** **Oct 1986 - Jun 1988**  
**Green College, Oxford; and**  
**College Lecturer in Neurophysiology** **Oct 1985 - Jun 1988**  
**Exeter College, Oxford**

I was elected to these positions for my research work in the area of sleep neurochemistry and tutorial services in neurophysiology. I remain a member of Green College and Exeter's Senior Common Room.

**Departmental Demonstrator** **Oct 1982 - Jun 1988**  
**University Laboratory of Physiology, Oxford**  
Reporting to Head of Department (*Prof. Sir Colin Blakemore*)  
Responsible for:

- Independent research into neuropharmacology of putative endogenous sleep substances
- Basic and advanced teaching and tutoring in CNS neurophysiology
- Development of "real-time" microcomputer data capture and analysis systems
- Supervision of B.A. and D.Phil. student research projects

**Research Associate & Rowbottom Research Fellow** **Oct 1980 - Sep 1982**  
**Department of Physiology, University of Birmingham**  
Reporting to Professor of Neurophysiology (*the late Prof. John Wolstencroft*)  
Responsible for:

- Independent electrophysiological research into novel neuropeptides in the brain and spinal cord

### **QUALIFICATIONS & MEMBERSHIPS**

- **Member of the International Business Advisory Board, IOCB TTO, Prague** **2016 - Present**  
Institute of Organic Chemistry and Biochemistry of the Czech Academy of Sciences
- **MIoD** elected member of the Institute of Directors **1999 - Present**
- **Diploma in Clinical Science**, University of Wales **1990**  
Thesis : "*Good Clinical Research Practice: Background, Impact and Future for Clinical Trials*"
- **PhD** Electrophysiology of Neuropeptides, Dept. of Pharmacology, Leeds **1982**  
Thesis : "*Physiological and Pharmacological Studies of Some Endogenous Peptides in the CNS*"
- **BSc (Hons)** class I Pharmacology, Leeds University **1977**

### **PATENT CO-INVENTORSHIP**

PCT/GB2012/000499

PCT/GB2014/000356

PCT/GB2015/054170