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DEPARTMENT OF HEALTH AND HUMAN SERVICES
Food and Drug Administration

INVESTIGATIONAL NEW DRUG APPLICATION (IND)

(Title 21, Code of Federal Regulations (CFR) Part 312)

Form Approved: OMB No. 0910-0014
Expiration Date: March 31, 2022
See PRA Statement on page 3.

NOTE: No drug/biologic may be shipped or clinical investigation begun until an IND for that investigation is in effect (21 CFR 312.40)

1. Name of Sponsor

2. Date of Submission *(mm/dd/yyyy)*

3. Sponsor Address

Address 1 *(Street address, P.O. box, company name c/o)*

Address 2 *(Apartment, suite, unit, building, floor, etc.)*

City | State/Province/Region

Country | ZIP or Postal Code

4. Telephone Number *(Include country code if applicable and area code)*

6A. IND Number *(If previously assigned)*

6B. Select One: ☐ Commercial ☐ Research

5. Name of Drug *(Include all available names: Trade, Generic, Chemical, or Code)*

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7A. (Proposed) Indication for Use

Is this indication for a rare disease (prevalence <200,000 in U.S.)? ☐ Yes ☐ No

Does this product have an FDA Orphan Designation for this indication? ☐ Yes ☐ No

If yes, provide the Orphan Designation number for this indication:

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7B. SNOMED CT Indication Disease Term *(Use continuation page for each additional indication and respective coded disease term)*

8. Phase of Clinical Investigation to be conducted ☐ Phase 1 ☐ Phase 2 ☐ Phase 3 ☐ Other *(Specify)*: _____

9. List numbers of all Investigational New Drug Applications (21 CFR Part 312), New Drug Applications (21 CFR Part 314) , Drug Master Files (21 CFR Part 314.420) , and Biologics License Applications (21 CFR Part 601) referred to in this application.

10. IND submission should be consecutively numbered. The initial IND should be numbered "Serial number: 0000." The next submission (e.g., amendment, report, or correspondence) should be numbered "Serial Number: 0001." Subsequent submissions should be numbered consecutively in the order in which they are submitted..

Serial Number ___ ___ ___ ___

11. This submission contains the following *(Select all that apply)*

☐ Initial Investigational New Drug Application (IND)
☐ Request For Reactivation Or Reinstatement
☐ Development Safety Update Report (DSUR)
☐ Response to Clinical Hold
☐ Annual Report
☐ Other *(Specify)*: _____
☐ Response To FDA Request For Information
☐ General Correspondence

Protocol Amendment
☐ New Protocol
☐ Change in Protocol
☐ New Investigator
☐ PMR/PMC Protocol
☐ Human Factors Protocol

Information Amendment
☐ Chemistry/Microbiology
☐ Pharmacology/Toxicology
☐ Clinical/Safety
☐ Statistics
☐ Clinical Pharmacology

Request for
☐ Meeting
☐ Proprietary Name Review
☐ Special Protocol Assessment
☐ Formal Dispute Resolution

IND Safety Report
☐ Initial Written Report
☐ Follow-up to a Written Report

12. For Originals, is the product a combination product (21 CFR 3.2(e))? ☐ Yes ☐ No

Combination Product Type *(See instructions)*

Request for Designation (RFD) Number

13. Select the following only if applicable. *(Justification statement must be submitted with application for any items selected below. Refer to the cited CFR section for further information.)*

☐ Emergency Research Exception From Informed Consent Requirements, 21 CFR 312.23 (f)
☐ Charge Request, 21 CFR 312.8

Expanded Access Use, 21 CFR 312.300

☐ Individual Patient, Non-Emergency 21 CFR 312.310
☐ Individual Patient, Emergency 21 CFR 312.310(d)
☐ Intermediate Size Patient Population, 21 CFR 312.315
☐ Treatment IND or Protocol, 21 CFR 312.320

For FDA Use Only

CBER/DCC Receipt Stamp | DDR Receipt Stamp | Division Assignment | IND Number Assigned

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14. Contents of Application – This application contains the following items *(Select all that apply)*

- ☐ 1. Form FDA 1571 *(21 CFR 312.23(a)(1))*
- ☐ 2. Table of Contents *(21 CFR 312.23(a)(2))*
- ☐ 3. Introductory statement *(21 CFR 312.23(a)(3))*
- ☐ 4. General Investigational plan *(21 CFR 312.23(a)(3))*
- ☐ 5. Investigator's brochure *(21 CFR 312.23(a)(5))*
- ☐ 6. Protocol *(21 CFR 312.23(a)(6))*
  - ☐ a. Study protocol *(21 CFR 312.23(a)(6))*
  - ☐ b. Investigator data *(21 CFR 312.23(a)(6)(iii)(b))* or completed Form FDA 1572
  - ☐ c. Facilities data *(21 CFR 312.23(a)(6)(iii)(b))* or completed Form FDA 1572
- 6. Protocol *(Continued)*
  - ☐ d. Institutional Review Board data (21 CFR 312.23(a)(6)(iii)(b)) or completed Form FDA 1572
- ☐ 7. Chemistry, manufacturing, and control data *(21 CFR 312.23(a)(7))*
  - ☐ Environmental assessment or claim for exclusion *(21 CFR 312.23(a)(7)(iv)(e))*
- ☐ 8. Pharmacology and toxicology data (21 CFR 312.23(a)(8))
- ☐ 9. Previous human experience *(21 CFR 312.23(a)(9))*
- ☐ 10. Additional information *(21 CFR 312.23(a)(10))*
- ☐ 11. Biosimilar User Fee Cover Sheet *(Form FDA 3792)*
- ☐ 12. Clinical Trials Certification of Compliance *(Form FDA 3674)*

15. Is any part of the clinical study to be conducted by a contract research organization? ☐ Yes ☐ No

If Yes, will any sponsor obligations be transferred to the contract research organization? ☐ Yes ☐ No

If Yes, provide a statement containing the name and address of the contract research organization, identification of the clinical study, and a listing of the obligations transferred *(use continuation page)*.

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16. Name and Title of the person responsible for monitoring the conduct and progress of the clinical investigations

17. Name and Title of the person responsible for review and evaluation of information relevant to the safety of the drug

I agree not to begin clinical investigations until 30 days after FDA's receipt of the IND unless I receive earlier notification by FDA that the studies may begin. I also agree not to begin or continue clinical investigations covered by the IND if those studies are placed on clinical hold or financial hold. I agree that an Institutional Review Board (IRB) that complies with the requirements set forth in 21 CFR Part 56 will be responsible for initial and continuing review and approval of each of the studies in the proposed clinical investigation. I agree to conduct the investigation in accordance with all other applicable regulatory requirements.

18. Name of Sponsor or Sponsor's Authorized Representative

19. Telephone Number *(Include country code if applicable and area code)*

20. Facsimile (FAX) Number *(Include country code if applicable and area code)*

21. Address

- Address 1 *(Street address, P.O. box, company name c/o)*
- Address 2 *(Apartment, suite, unit, building, floor, etc.)*
- City | State/Province/Region
- Country | ZIP or Postal Code

22. Email Address

23. Date of Sponsor's Signature *(mm/dd/yyyy)*

24. Name of Countersigner

25. Address of Countersigner

- Address 1 *(Street address, P.O. box, company name c/o)*
- Address 2 *(Apartment, suite, unit, building, floor, etc.)*
- City | State/Province/Region
- Country: United States of America | ZIP or Postal Code

26. Email Address

WARNING : A willfully false statement is a criminal offense (U.S.C. Title 18, Sec. 1001).

27. Signature of Sponsor or Sponsor's Authorized Representative

Sign

28. Signature of Countersigner

Sign

The information below applies only to requirements of the Paperwork Reduction Act of 1995.

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Department of Health and Human Services
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