



## Clinical trial results:

**A MULTINATIONAL, MULTICENTER, MASKED, RANDOMIZED, CONTROLLED STUDY TO ASSESS THE SAFETY AND EFFICACY OF LUCINACTANT FOR INHALATION IN PRETERM NEONATES 26 TO 32 WEEKS GESTATIONAL AGE WITH RESPIRATORY DISTRESS SYNDROME.**

### Summary

EudraCT number	2015-003519-40
Trial protocol	PL IE NL HU
Global end of trial date	06 August 2019

### Results information

Result version number	v2 (current)
This version publication date	12 October 2022
First version publication date	11 January 2022
Version creation reason	• Correction of full data set Summary of attachments not added
Summary attachment (see zip file)	03-CL-1202 Synopsis v1.1_11JUN2020 (03-CL-1202 CSR Synopsis v1.1_11JUN2020.pdf)

### Trial information

#### Trial identification

Sponsor protocol code	03-CL-1202
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#### Additional study identifiers

ISRCTN number	-
ClinicalTrials.gov id (NCT number)	NCT02636868
WHO universal trial number (UTN)	-

Notes:

### Sponsors

Sponsor organisation name	Windtree Therapeutics, Inc.
Sponsor organisation address	2600 Kelly Road, Warrington, United States, 18976
Public contact	Steven G. Simonson, MD, Windtree Therapeutics, Inc., 215 488-9300, <a href="mailto:ssimonson@windtreetx.com">ssimonson@windtreetx.com</a>
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Notes:

### Paediatric regulatory details

Is trial part of an agreed paediatric investigation plan (PIP)	No
Does article 45 of REGULATION (EC) No 1901/2006 apply to this trial?	No
Does article 46 of REGULATION (EC) No	No

Notes:

**Results analysis stage**

Analysis stage	Final
Date of interim/final analysis	11 June 2020
Is this the analysis of the primary completion data?	No
Global end of trial reached?	Yes
Global end of trial date	06 August 2019
Was the trial ended prematurely?	No

Notes:

**General information about the trial**

Main objective of the trial:

To evaluate the safety and efficacy of lucinactant for inhalation in conjunction with nasal continuous positive airway pressure (nCPAP), in comparison to nCPAP alone, in preterm neonates with RDS, as assessed by the time to, and incidence of, respiratory failure and/or death due to RDS, incidence of bronchopulmonary dysplasia (BPD) at 36 weeks postmenstrual age (PMA), and change in physiologic parameters (fraction of inspired oxygen [FiO<sub>2</sub>] and partial pressure of carbon dioxide [PCO<sub>2</sub>]) over the first 72 hours of life.

Protection of trial subjects:

A DMC was established to evaluate the degree of risk involved in study subject participation within each treatment group and to determine if study continuation in accordance with the current protocol holds the potential to institute any undue harm or threat to the safety and welfare of study subjects. Safety and tolerability data from the time all active subjects completed assessments and procedures through 72 hours of life were assessed at pre-specified enrollment milestones. DMC responsibilities, authorities and procedures were documented in a DMC charter endorsed by members of the DMC.

Background therapy:

Standard of Care (nCPAP alone)

Evidence for comparator:

Preterm neonates who are treated for RDS initially with non-invasive ventilation (including nCPAP) are the appropriate controls for this study, since the addition of aerosolized surfactant would be the only difference in treatment in the active groups compared to the controls. Current guidelines allow use of non-invasive ventilation such as nCPAP as an initial modality for the treatment of RDS in preterm newborns, with the goal of avoiding endotracheal intubation.

Each of the 4 components of lucinactant plays a role in its biological activity. Aerosolized vehicles (eg, sterile water or saline) may have an adverse effect on pulmonary function. Thus, no inert placebo exists. Therefore, "sham" treatment, in which the ADS is brought to the subject's bedside but not used to deliver study drug, is the optimal control. All study treatments (whether active or control) are given only if subjects are stable enough that they do not require intubation. Such subjects would typically be maintained on standard nCPAP or other forms of non-invasive ventilation and since control/sham treatment is equivalent to standard care, it is therefore ethical to administer for initial or repeat dosing.

Actual start date of recruitment	14 April 2014
Long term follow-up planned	Yes
Long term follow-up rationale	Efficacy, Safety
Long term follow-up duration	12 Months
Independent data monitoring committee (IDMC) involvement?	Yes

Notes:

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**Population of trial subjects**

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**Subjects enrolled per country**

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Country: Number of subjects enrolled	Netherlands: 5
Country: Number of subjects enrolled	Poland: 65
Country: Number of subjects enrolled	Hungary: 18
Country: Number of subjects enrolled	Ireland: 3
Country: Number of subjects enrolled	United States: 66
Country: Number of subjects enrolled	Canada: 9
Country: Number of subjects enrolled	Chile: 39
Country: Number of subjects enrolled	Colombia: 16
Worldwide total number of subjects	221
EEA total number of subjects	91

Notes:

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**Subjects enrolled per age group**

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In utero	0
Preterm newborn - gestational age < 37 wk	221
Newborns (0-27 days)	0
Infants and toddlers (28 days-23 months)	0
Children (2-11 years)	0
Adolescents (12-17 years)	0
Adults (18-64 years)	0
From 65 to 84 years	0
85 years and over	0

## Subject disposition

### Recruitment

#### Recruitment details:

Preterm neonates who successfully met eligibility criteria were randomly assigned to one of 3 treatment groups in a 1:1:1 ratio using centralized allocation electronically. Randomization information was provided to the study drug preparer (eg, pharmacist). The PI, study staff, and attending physicians were masked to treatment assignment.

### Pre-assignment

#### Screening details:

1 Signed ICF from legally authorized representative

2 26 0/7 to 32 6/7 compl. weeks gestation PMA

3 Successful implement. of n/invasive support or ventilation within 90 min after birth

4 Spontaneous breathing

5 Chest radiograph consistent with RDS

6 Within first 20h after birth, requires nCAP of 5-7cm H<sub>2</sub>O with FiO<sub>2</sub>>0,25 to 0,4 for minimum 30minutes

### Period 1

Period 1 title	Overall Study (overall period)
Is this the baseline period?	Yes
Allocation method	Randomised - controlled
Blinding used	Double blind
Roles blinded	Subject, Investigator, Monitor, Data analyst, Carer, Assessor

#### Blinding implementation details:

Details of the masking procedure are provided in the 03-CL-1202 Overall Blinding Plan, Blinding Procedure, Blinding Maintenance and Assurance Plan, and Statistical Analysis Plan documents. The blinding plan is outlined as follows:

- Subject safety took precedence over maintenance of study masking.
- Personnel who made or influenced clinical decisions were masked from treatment assignment.
- Each site created a site-specific blinding plan, to be approved by Windtree prior to participation.

### Arms

Are arms mutually exclusive?	Yes
Arm title	40 mg/kg

#### Arm description:

Lucinactant for inhalation 40 mg TPL/kg (administered over 25 minutes) in conjunction with nCPAP (n=80)

Up to 2 repeat doses of 40 mg TPL/kg were to be given if repeat dosing criteria were met

Arm type	Experimental
Investigational medicinal product name	Lucinactant for inhalation
Investigational medicinal product code	20377
Other name	Aerosurf
Pharmaceutical forms	Inhalation vapour, liquid
Routes of administration	Inhalation use

#### Dosage and administration details:

The study treatment, 'lucinactant for inhalation,' consists of the investigational drug lucinactant and the delivery system (ADS). The ADS has two components, the AEROSURF® Delivery Pack (ADP) and the AEROSURF® Control Unit (ACU).

Details for study drug preparation and ADS operation were provided in the AEROSURF Investigator's Brochure and in the ADS Operator's Manual. Briefly, lyophilized drug was reconstituted immediately before use by adding 10 mL of sterile water for injection to each of 7 vials of lyophilized lucinactant, after which the vials were gently inverted to mix the suspension. The vials were drawn up into a single 60 mL syringe and transferred into the provided ADP syringe, which is then loaded into the ACU. The ADS was brought to the subject's bedside and connected to the subject's nCPAP via the patient interface connector. The ADS aerosolized lucinactant through heat and pressure created within the capillary located within the heater assembly.

Arm title	80 mg/k
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**Arm description:**

Lucinactant for inhalation 80 mg TPL/kg (administered over 50 minutes) in conjunction with nCPAP (n=80)

Up to 2 repeat doses of 80 mg TPL/kg were to be given if repeat dosing criteria were met

Arm type	Experimental
Investigational medicinal product name	Lucinactant for inhalation
Investigational medicinal product code	20377
Other name	Aerosurf
Pharmaceutical forms	Inhalation vapour, liquid
Routes of administration	Inhalation use

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<b>Arm title</b>	Control
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**Arm description:**

nCPAP alone

Arm type	Standard of Care
No investigational medicinal product assigned in this arm	

<b>Number of subjects in period 1</b>	40 mg/kg	80 mg/k	Control
Started	73	76	72
Completed	73	75	70
Not completed	0	1	2
Adverse event, serious fatal	-	-	2
Adverse event, non-fatal	-	1	-

## Baseline characteristics

### Reporting groups

Reporting group title	40 mg/kg
Reporting group description:	
Lucinactant for inhalation 40 mg TPL/kg (administered over 25 minutes) in conjunction with nCPAP (n=80)	
Up to 2 repeat doses of 40 mg TPL/kg were to be given if repeat dosing criteria were met	
Reporting group title	80 mg/k
Reporting group description:	
Lucinactant for inhalation 80 mg TPL/kg (administered over 50 minutes) in conjunction with nCPAP (n=80)	
Up to 2 repeat doses of 80 mg TPL/kg were to be given if repeat dosing criteria were met	
Reporting group title	Control
Reporting group description:	
nCPAP alone	

Reporting group values	40 mg/kg	80 mg/k	Control
Number of subjects	73	76	72
Age categorical			
Units: Subjects			
In utero	0	0	0
Preterm newborn infants (gestational age < 37 wks)	73	76	72
Newborns (0-27 days)	0	0	0
Infants and toddlers (28 days-23 months)	0	0	0
Children (2-11 years)	0	0	0
Adolescents (12-17 years)	0	0	0
Adults (18-64 years)	0	0	0
From 65-84 years	0	0	0
85 years and over	0	0	0
Age continuous			
Units: weeks			
arithmetic mean	30.8	30.7	30.7
standard deviation	± 1.24	± 1.17	± 1.17
Gender categorical			
Units: Subjects			
Female	31	39	37
Male	42	37	35
Ethnicity			
Units: Subjects			
Hispanic or Latino	19	24	18
Not Hispanic or Latino	54	52	54
Unknown or Not Reported	0	0	0
Race			
Units: Subjects			
White	62	64	58
Black/African American	4	6	6
Asian	1	0	1
Other or Unknown	6	6	7

Ruptured Membranes Units: Subjects			
Spontaneous	23	16	19
Artificial	50	60	53
Chorioamnionitis Units: Subjects			
yes	3	3	2
no	70	73	70
Mode of Delivery Units: Subjects			
Vaginal	17	12	16
C-section	56	64	56
Birth Status Units: Subjects			
Single Birth	44	53	50
Multiple Birth	29	23	22
Congenital Anomaly Units: Subjects			
Yes	1	0	0
No	72	76	72
Region of Enrollment Units: Subjects			
Canada	4	2	3
Colombia	4	7	5
Netherlands	2	1	2
Hungary	6	3	9
United States	20	25	21
Ireland	1	2	0
Poland	23	21	21
Chile	13	15	11
Steroid Use Units: Subjects			
Used Steroids	68	69	70
No Steroids	5	7	2
Birth Weight Units: grams			
arithmetic mean	1557.0	1505.8	1446.4
standard deviation	± 342.38	± 378.5	± 359.13
Appearance, Pulse, Grimace, Activity, and Respiration (Apgar) Score at One Minute Units: scores on a scale			
arithmetic mean	6.7	6.5	6.8
standard deviation	± 1.74	± 1.71	± 1.61
Apgar Score at Five Minutes Units: Scores on a scale			
arithmetic mean	8.1	8.0	8.1
standard deviation	± 0.90	± 1.02	± 1.00
<b>Reporting group values</b>	Total		
Number of subjects	221		

Age categorical Units: Subjects			
In utero	0		
Preterm newborn infants (gestational age < 37 wks)	221		
Newborns (0-27 days)	0		
Infants and toddlers (28 days-23 months)	0		
Children (2-11 years)	0		
Adolescents (12-17 years)	0		
Adults (18-64 years)	0		
From 65-84 years	0		
85 years and over	0		
Age continuous Units: weeks arithmetic mean standard deviation	-		
Gender categorical Units: Subjects			
Female	107		
Male	114		
Ethnicity Units: Subjects			
Hispanic or Latino	61		
Not Hispanic or Latino	160		
Unknown or Not Reported	0		
Race Units: Subjects			
White	184		
Black/African American	16		
Asian	2		
Other or Unknown	19		
Ruptured Membranes Units: Subjects			
Spontaneous	58		
Artificial	163		
Chorioamnionitis Units: Subjects			
yes	8		
no	213		
Mode of Delivery Units: Subjects			
Vaginal	45		
C-section	176		
Birth Status Units: Subjects			
Single Birth	147		
Multiple Birth	74		
Congenital Anomaly Units: Subjects			
Yes	1		
No	220		



Region of Enrollment Units: Subjects			
Canada	9		
Colombia	16		
Netherlands	5		
Hungary	18		
United States	66		
Ireland	3		
Poland	65		
Chile	39		
Steroid Use Units: Subjects			
Used Steroids	207		
No Steroids	14		
Birth Weight Units: grams arithmetic mean standard deviation	-		
Appearance, Pulse, Grimace, Activity, and Respiration (Apgar) Score at One Minute Units: scores on a scale arithmetic mean standard deviation	-		
Apgar Score at Five Minutes Units: Scores on a scale arithmetic mean standard deviation	-		

## End points

### End points reporting groups

Reporting group title	40 mg/kg
Reporting group description: Lucinactant for inhalation 40 mg TPL/kg (administered over 25 minutes) in conjunction with nCPAP (n=80) Up to 2 repeat doses of 40 mg TPL/kg were to be given if repeat dosing criteria were met	
Reporting group title	80 mg/k
Reporting group description: Lucinactant for inhalation 80 mg TPL/kg (administered over 50 minutes) in conjunction with nCPAP (n=80) Up to 2 repeat doses of 80 mg TPL/kg were to be given if repeat dosing criteria were met	
Reporting group title	Control
Reporting group description: nCPAP alone	

### Primary: Number of Participants With Respiratory Failure or Death Due to Respiratory Distress Syndrome (RDS)

End point title	Number of Participants With Respiratory Failure or Death Due to Respiratory Distress Syndrome (RDS)
End point description: Number of participants who had respiratory failure due to RDS or death due to RDS; known as nasal continuous positive airway pressure (nCPAP) failure	
End point type	Primary
End point timeframe: 72 hours	

End point values	40 mg/kg	80 mg/k	Control	
Subject group type	Reporting group	Reporting group	Reporting group	
Number of subjects analysed	70	72	71	
Units: count of participants	31	32	31	

### Statistical analyses

Statistical analysis title	Statistical analysis 1
Statistical analysis description: Aerosolized Lucinactant (40 mg TPL/kg), Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only Null hypothesis is no difference across treatment groups	
Comparison groups	40 mg/kg v 80 mg/k v Control

Number of subjects included in analysis	213
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.363 <sup>[1]</sup>
Method	Regression, Logistic

Notes:

[1] - a priori threshold of statistical significance set at 0.05

<b>Statistical analysis title</b>	Statistical analysis 2
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Statistical analysis description:

Aerosolized Lucinactant (40 mg TPL/kg), nCPAP Only

Null hypothesis is no difference across treatment groups

Comparison groups	40 mg/kg v Control
Number of subjects included in analysis	141
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.36 <sup>[2]</sup>
Method	Regression, Logistic

Notes:

[2] - a priori threshold of statistical significance set at 0.05

<b>Statistical analysis title</b>	Statistical analysis 3
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Statistical analysis description:

Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only

Null hypothesis is no difference across treatment groups

Comparison groups	Control v 80 mg/k
Number of subjects included in analysis	143
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.461 <sup>[3]</sup>
Method	Regression, Logistic

Notes:

[3] - a priori threshold of statistical significance set at 0.05

## Secondary: Incidence of Respiratory Failure or Death Due to RDS

End point title	Incidence of Respiratory Failure or Death Due to RDS
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End point description:

Incidence of Respiratory Failure or Death Due to RDS by Intubation or Failure Criteria

End point type	Secondary
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End point timeframe:

72 hours

End point values	40 mg/kg	80 mg/k	Control	
Subject group type	Reporting group	Reporting group	Reporting group	
Number of subjects analysed	64	44	71	
Units: count of participants	28	14	31	

## Statistical analyses

### Statistical analysis title

Statistical analysis 1

Statistical analysis description:

Aerosolized Lucinactant (40 mg TPL/kg), Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only  
Null hypothesis is no difference across treatment groups

Comparison groups	80 mg/k v Control v 40 mg/kg
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Number of subjects included in analysis	179
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Analysis specification	Pre-specified
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Analysis type	superiority
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P-value	= 0.401 <sup>[4]</sup>
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Method	Regression, Logistic
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Notes:

[4] - a priori threshold of statistical significance set at 0.05

### Statistical analysis title

Statistical analysis 2

Statistical analysis description:

Aerosolized Lucinactant (40 mg TPL/kg), nCPAP Only  
Null hypothesis is no difference across treatment groups

Comparison groups	40 mg/kg v Control
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Number of subjects included in analysis	135
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Analysis specification	Pre-specified
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Analysis type	superiority
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P-value	= 0.372 <sup>[5]</sup>
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Method	Regression, Logistic
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Notes:

[5] - a priori threshold of statistical significance set at 0.05

### Statistical analysis title

Statistical analysis 3

Statistical analysis description:

Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only  
Null hypothesis is no difference across treatment groups

Comparison groups	Control v 80 mg/k
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Number of subjects included in analysis	115
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Analysis specification	Pre-specified
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Analysis type	superiority
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P-value	= 0.648 <sup>[6]</sup>
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Method	Regression, Logistic
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Notes:

[6] - a priori threshold of statistical significance set at 0.05

## Secondary: Time to nCPAP Failure

End point title	Time to nCPAP Failure
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End point description:	
Time from birth to nCPAP Failure	
End point type	Secondary
End point timeframe:	
72 hours	

End point values	40 mg/kg	80 mg/k	Control	
Subject group type	Reporting group	Reporting group	Reporting group	
Number of subjects analysed	70	72	71	
Units: hours				
least squares mean (standard error)	39.3 ( $\pm$ 2.06)	44.8 ( $\pm$ 2.69)	70.7 ( $\pm$ 2.44)	

## Statistical analyses

Statistical analysis title	Statistical analysis 1
Statistical analysis description:	
Aerosolized Lucinactant (40 mg TPL/kg), Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only	
Null hypothesis of no difference across treatments	
Comparison groups	40 mg/kg v 80 mg/k v Control
Number of subjects included in analysis	213
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.996 <sup>[7]</sup>
Method	Logrank

Notes:

[7] - a priori threshold of statistical significance set at 0.05

Statistical analysis title	Statistical analysis 2
Statistical analysis description:	
Aerosolized Lucinactant (40 mg TPL/kg), nCPAP Only	
Null hypothesis of no difference across treatments	
Comparison groups	40 mg/kg v Control
Number of subjects included in analysis	141
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.951 <sup>[8]</sup>
Method	Logrank

Notes:

[8] - a priori threshold of statistical significance set at 0.05

Statistical analysis title	Statistical analysis 3
Statistical analysis description:	
Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only	
Null hypothesis of no difference across treatments	
Comparison groups	Control v 80 mg/k

Number of subjects included in analysis	143
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.995 <sup>[9]</sup>
Method	Logrank

Notes:

[9] - a priori threshold of statistical significance set at 0.05

## Secondary: Incidence of Respiratory Failure or Death Due to RDS With Poisson Distribution Modeling

End point title	Incidence of Respiratory Failure or Death Due to RDS With Poisson Distribution Modeling
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End point description:

The measure tests the differences between treatments on respiratory failure or death due to RDS using Poisson distribution modeling, which accounts for the time over which the event could have occurred.

End point type	Secondary
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End point timeframe:

72 hours

End point values	40 mg/kg	80 mg/k	Control	
Subject group type	Reporting group	Reporting group	Reporting group	
Number of subjects analysed	70	72	71	
Units: count of participants	31	32	31	

## Statistical analyses

<b>Statistical analysis title</b>	Statistical analysis 1
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Statistical analysis description:

Aerosolized Lucinactant (40 mg TPL/kg), Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only  
Null hypothesis of no difference between treatment groups

Comparison groups	80 mg/k v 40 mg/kg v Control
Number of subjects included in analysis	213
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.312 <sup>[10]</sup>
Method	Regression, Linear

Notes:

[10] - A priori threshold of statistical significance set at 0.10

<b>Statistical analysis title</b>	Statistical analysis 2
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Statistical analysis description:

Aerosolized Lucinactant (40 mg TPL/kg), nCPAP Only  
Null hypothesis of no difference between treatment groups

Comparison groups	40 mg/kg v Control
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Number of subjects included in analysis	141
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.094 <sup>[11]</sup>
Method	Regression, Linear

Notes:

[11] - A priori threshold of statistical significance set at 0.10

<b>Statistical analysis title</b>	Statistical analysis 3
-----------------------------------	------------------------

Statistical analysis description:

Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only

Null hypothesis of no difference between treatment groups

Comparison groups	Control v 80 mg/k
Number of subjects included in analysis	143
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.414 <sup>[12]</sup>
Method	Regression, Linear

Notes:

[12] - A priori threshold of statistical significance set at 0.10

## Secondary: Incidence of Respiratory Failure or Death Due to RDS

End point title	Incidence of Respiratory Failure or Death Due to RDS
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End point description:

Incidence of Respiratory Failure or Death due to RDS by Intubation or Failure Criteria

End point type	Secondary
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End point timeframe:

28 days

End point values	40 mg/kg	80 mg/k	Control	
Subject group type	Reporting group	Reporting group	Reporting group	
Number of subjects analysed	70	72	71	
Units: count of participants	35	32	31	

## Statistical analyses

<b>Statistical analysis title</b>	Statistical analysis 1
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Statistical analysis description:

Aerosolized Lucinactant (40 mg TPL/kg), Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only

Null hypothesis of no difference between treatment groups

Comparison groups	40 mg/kg v 80 mg/k v Control
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Number of subjects included in analysis	213
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.099 <sup>[13]</sup>
Method	Regression, Logistic

Notes:

[13] - A priori statistical significance of 0.05

<b>Statistical analysis title</b>	Statistical analysis 2
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Statistical analysis description:

Aerosolized Lucinactant (40 mg TPL/kg), nCPAP Only

Null hypothesis of no difference between treatment groups

Comparison groups	40 mg/kg v Control
Number of subjects included in analysis	141
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.09 <sup>[14]</sup>
Method	Regression, Logistic

Notes:

[14] - A priori statistical significance of 0.05

<b>Statistical analysis title</b>	Statistical analysis 3
-----------------------------------	------------------------

Statistical analysis description:

Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only

Null hypothesis of no difference between treatment groups

Comparison groups	Control v 80 mg/k
Number of subjects included in analysis	143
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.461 <sup>[15]</sup>
Method	Regression, Logistic

Notes:

[15] - A priori statistical significance of 0.05

## **Secondary: Number of Participants With Bronchopulmonary Dysplasia (BPD)**

End point title	Number of Participants With Bronchopulmonary Dysplasia (BPD)
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End point description:

Summarizes the number of participants with BPD or alive without BPD

End point type	Secondary
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End point timeframe:

36 weeks post-menstrual age (PMA)



End point values	40 mg/kg	80 mg/k	Control	
Subject group type	Reporting group	Reporting group	Reporting group	
Number of subjects analysed	70	72	71	
Units: count of participants				
BPD	7	7	10	
Alive without BPD	62	64	59	

## Statistical analyses

Statistical analysis title	Statistical analysis 1
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Statistical analysis description:

Aerosolized Lucinactant (40 mg TPL/kg), Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only  
Null hypothesis of no treatment between treatments

Comparison groups	40 mg/kg v 80 mg/k v Control
Number of subjects included in analysis	213
Analysis specification	Pre-specified
Analysis type	superiority <sup>[16]</sup>
P-value	= 0.534
Method	ANOVA

Notes:

[16] - A priori threshold for statistical significance set at 0.05

Statistical analysis title	Statistical analysis 2
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Statistical analysis description:

Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only  
Null hypothesis of no treatment between treatments

Comparison groups	80 mg/k v Control
Number of subjects included in analysis	143
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.48 <sup>[17]</sup>
Method	ANOVA

Notes:

[17] - A priori threshold for statistical significance set at 0.05

Statistical analysis title	Statistical analysis 3
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Statistical analysis description:

Aerosolized Lucinactant (80 mg TPL/kg), nCPAP Only  
Null hypothesis of no treatment between treatments

Comparison groups	80 mg/k v Control
Number of subjects included in analysis	143
Analysis specification	Pre-specified
Analysis type	superiority
P-value	= 0.313 <sup>[18]</sup>
Method	ANOVA

Notes:

[18] - A priori threshold for statistical significance set at 0.05

## Adverse events

### Adverse events information

Timeframe for reporting adverse events:

Information regarding occurrence of AEs was assessed from the time of randomization until completion of Final Study Observation

Assessment type	Systematic
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### Dictionary used

Dictionary name	MedDRA
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Dictionary version	18.1
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### Reporting groups

Reporting group title	40 mg/kg
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Reporting group description:

Lucinactant for inhalation 40 mg TPL/kg (administered over 25 minutes) in conjunction with nCPAP (n=80)

Up to 2 repeat doses of 40 mg TPL/kg were to be given if repeat dosing criteria were met

Reporting group title	Control
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Reporting group description:

nCPAP alone

Reporting group title	80 mg/k
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Reporting group description:

Lucinactant for inhalation 80 mg TPL/kg (administered over 50 minutes) in conjunction with nCPAP (n=80)

Up to 2 repeat doses of 80 mg TPL/kg were to be given if repeat dosing criteria were met

Serious adverse events	40 mg/kg	Control	80 mg/k
Total subjects affected by serious adverse events			
subjects affected / exposed	16 / 70 (22.86%)	20 / 71 (28.17%)	14 / 72 (19.44%)
number of deaths (all causes)	0	2	1
number of deaths resulting from adverse events			
Congenital, familial and genetic disorders			
Coarctation of the aorta			
subjects affected / exposed	0 / 70 (0.00%)	1 / 71 (1.41%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 0	0 / 1	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Cardiac disorders			
Patent ductus arteriosus			
subjects affected / exposed	1 / 70 (1.43%)	0 / 71 (0.00%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 1	0 / 0	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Nervous system disorders			
Hydrocephalus			

subjects affected / exposed	1 / 70 (1.43%)	0 / 71 (0.00%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 1	0 / 0	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Pregnancy, puerperium and perinatal conditions			
Intraventricular haemorrhage neonatal			
subjects affected / exposed	1 / 70 (1.43%)	1 / 71 (1.41%)	1 / 72 (1.39%)
occurrences causally related to treatment / all	0 / 1	0 / 1	0 / 1
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Necrotising enterocolitis neonatal			
subjects affected / exposed	0 / 70 (0.00%)	0 / 71 (0.00%)	1 / 72 (1.39%)
occurrences causally related to treatment / all	0 / 0	0 / 0	0 / 1
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Neonatal respiratory distress syndrome			
subjects affected / exposed	4 / 70 (5.71%)	0 / 71 (0.00%)	2 / 72 (2.78%)
occurrences causally related to treatment / all	4 / 4	0 / 0	2 / 2
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Blood and lymphatic system disorders			
Thrombocytopenia			
subjects affected / exposed	0 / 70 (0.00%)	0 / 71 (0.00%)	1 / 72 (1.39%)
occurrences causally related to treatment / all	0 / 0	0 / 0	0 / 1
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Gastrointestinal disorders			
Large intestine perforation			
subjects affected / exposed	1 / 70 (1.43%)	0 / 71 (0.00%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 1	0 / 0	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Necrotising enterocolitis neonatal			
subjects affected / exposed	0 / 70 (0.00%)	2 / 71 (2.82%)	2 / 72 (2.78%)
occurrences causally related to treatment / all	0 / 0	0 / 2	0 / 2
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Respiratory, thoracic and mediastinal disorders			
Apnoea			

subjects affected / exposed	0 / 70 (0.00%)	1 / 71 (1.41%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 0	0 / 1	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
apnoea neonatal			
subjects affected / exposed	0 / 70 (0.00%)	1 / 71 (1.41%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 0	0 / 1	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Bronchopulmonary dysplasia			
subjects affected / exposed	1 / 70 (1.43%)	1 / 71 (1.41%)	1 / 72 (1.39%)
occurrences causally related to treatment / all	1 / 1	1 / 1	1 / 1
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Epistaxis			
subjects affected / exposed	0 / 70 (0.00%)	0 / 71 (0.00%)	1 / 72 (1.39%)
occurrences causally related to treatment / all	0 / 0	0 / 0	1 / 1
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Pneumomediastinum			
subjects affected / exposed	1 / 70 (1.43%)	0 / 71 (0.00%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 1	0 / 0	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Pulmonary haemorrhage			
subjects affected / exposed	0 / 70 (0.00%)	1 / 71 (1.41%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 0	0 / 1	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Pulmonary hypertension			
subjects affected / exposed	0 / 70 (0.00%)	0 / 71 (0.00%)	1 / 72 (1.39%)
occurrences causally related to treatment / all	0 / 0	0 / 0	0 / 1
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Pulmonary interstitial emphysema syndrome			
subjects affected / exposed	1 / 70 (1.43%)	3 / 71 (4.23%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	1 / 1	3 / 3	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Pneumothorax			

subjects affected / exposed	3 / 70 (4.29%)	7 / 71 (9.86%)	4 / 72 (5.56%)
occurrences causally related to treatment / all	3 / 3	7 / 7	4 / 4
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Pulmonary oedema neonatal			
subjects affected / exposed	0 / 70 (0.00%)	1 / 71 (1.41%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 0	0 / 1	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Infections and infestations			
Bacteraemia			
subjects affected / exposed	2 / 70 (2.86%)	2 / 71 (2.82%)	1 / 72 (1.39%)
occurrences causally related to treatment / all	0 / 2	0 / 2	0 / 1
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Endocarditis staphylococcal			
subjects affected / exposed	0 / 70 (0.00%)	1 / 71 (1.41%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 0	0 / 1	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Meningitis bacterial			
subjects affected / exposed	1 / 70 (1.43%)	0 / 71 (0.00%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 1	0 / 0	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Neurological infection			
subjects affected / exposed	0 / 70 (0.00%)	1 / 71 (1.41%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 0	0 / 1	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
nocosomial infection			
subjects affected / exposed	1 / 70 (1.43%)	0 / 71 (0.00%)	1 / 72 (1.39%)
occurrences causally related to treatment / all	0 / 1	0 / 0	0 / 1
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Pneumocystis jirovecii pneumonia			
subjects affected / exposed	0 / 70 (0.00%)	0 / 71 (0.00%)	1 / 72 (1.39%)
occurrences causally related to treatment / all	0 / 0	0 / 0	0 / 1
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Pseudomonal sepsis			

subjects affected / exposed	0 / 70 (0.00%)	0 / 71 (0.00%)	1 / 72 (1.39%)
occurrences causally related to treatment / all	0 / 0	0 / 0	0 / 1
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Sepsis neonatal			
subjects affected / exposed	2 / 70 (2.86%)	5 / 71 (7.04%)	3 / 72 (4.17%)
occurrences causally related to treatment / all	0 / 3	0 / 6	0 / 3
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Septic embolus			
subjects affected / exposed	0 / 70 (0.00%)	1 / 71 (1.41%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 0	0 / 1	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0
Septic shock			
subjects affected / exposed	0 / 70 (0.00%)	1 / 71 (1.41%)	0 / 72 (0.00%)
occurrences causally related to treatment / all	0 / 0	0 / 1	0 / 0
deaths causally related to treatment / all	0 / 0	0 / 0	0 / 0

Frequency threshold for reporting non-serious adverse events: 5 %

<b>Non-serious adverse events</b>	40 mg/kg	Control	80 mg/k
Total subjects affected by non-serious adverse events			
subjects affected / exposed	65 / 70 (92.86%)	66 / 71 (92.96%)	69 / 72 (95.83%)
Congenital, familial and genetic disorders			
Atrial septal defect			
subjects affected / exposed	4 / 70 (5.71%)	2 / 71 (2.82%)	4 / 72 (5.56%)
occurrences (all)	5	2	4
Vascular disorders			
Hypotension			
subjects affected / exposed	2 / 70 (2.86%)	3 / 71 (4.23%)	4 / 72 (5.56%)
occurrences (all)	3	4	4
Pallor			
subjects affected / exposed	10 / 70 (14.29%)	3 / 71 (4.23%)	4 / 72 (5.56%)
occurrences (all)	11	3	5
Cardiac disorders			

Patent ductus arteriosus subjects affected / exposed occurrences (all)	18 / 70 (25.71%) 18	24 / 71 (33.80%) 26	24 / 72 (33.33%) 24
Tachycardia subjects affected / exposed occurrences (all)	6 / 70 (8.57%) 6	2 / 71 (2.82%) 2	6 / 72 (8.33%) 9
Pregnancy, puerperium and perinatal conditions			
Agitation neonatal subjects affected / exposed occurrences (all)	7 / 70 (10.00%) 8	3 / 71 (4.23%) 3	9 / 72 (12.50%) 10
Bradycardia neonatal subjects affected / exposed occurrences (all)	6 / 70 (8.57%) 7	3 / 71 (4.23%) 3	8 / 72 (11.11%) 8
Intraventricular haemorrhage neonatal subjects affected / exposed occurrences (all)	7 / 70 (10.00%) 8	12 / 71 (16.90%) 15	10 / 72 (13.89%) 11
Jaundice neonatal subjects affected / exposed occurrences (all)	41 / 70 (58.57%) 47	41 / 71 (57.75%) 46	49 / 72 (68.06%) 50
Neonatal respiratory distress syndrome subjects affected / exposed occurrences (all)	10 / 70 (14.29%) 12	13 / 71 (18.31%) 13	8 / 72 (11.11%) 8
Retinopathy of prematurity subjects affected / exposed occurrences (all)	3 / 70 (4.29%) 3	3 / 71 (4.23%) 3	6 / 72 (8.33%) 6
Weight decrease neonatal subjects affected / exposed occurrences (all)	2 / 70 (2.86%) 2	2 / 71 (2.82%) 2	4 / 72 (5.56%) 4
Blood and lymphatic system disorders			
Anaemia neonatal subjects affected / exposed occurrences (all)	22 / 70 (31.43%) 26	31 / 71 (43.66%) 52	31 / 72 (43.06%) 37
Coagulation disorder neonatal subjects affected / exposed occurrences (all)	2 / 70 (2.86%) 2	1 / 71 (1.41%) 1	5 / 72 (6.94%) 5

Thrombocytopenia subjects affected / exposed occurrences (all)	4 / 70 (5.71%) 5	5 / 71 (7.04%) 5	6 / 72 (8.33%) 6
General disorders and administration site conditions Oedema subjects affected / exposed occurrences (all)	7 / 70 (10.00%) 7	7 / 71 (9.86%) 7	5 / 72 (6.94%) 7
Gastrointestinal disorders Abdominal distension subjects affected / exposed occurrences (all)	6 / 70 (8.57%) 7	6 / 71 (8.45%) 8	5 / 72 (6.94%) 8
Constipation subjects affected / exposed occurrences (all)	6 / 70 (8.57%) 7	6 / 71 (8.45%) 7	9 / 72 (12.50%) 9
Gastric haemorrhage subjects affected / exposed occurrences (all)	3 / 70 (4.29%) 3	6 / 71 (8.45%) 6	2 / 72 (2.78%) 2
Necrotising enterocolitis neonatal subjects affected / exposed occurrences (all)	3 / 70 (4.29%) 3	6 / 71 (8.45%) 6	2 / 72 (2.78%) 2
Regurgitation subjects affected / exposed occurrences (all)	10 / 70 (14.29%) 10	1 / 71 (1.41%) 1	12 / 72 (16.67%) 13
Vomiting subjects affected / exposed occurrences (all)	9 / 70 (12.86%) 9	8 / 71 (11.27%) 9	9 / 72 (12.50%) 10
Respiratory, thoracic and mediastinal disorders apnoea neonatal subjects affected / exposed occurrences (all)	31 / 70 (44.29%) 39	27 / 71 (38.03%) 31	26 / 72 (36.11%) 29
Bronchopulmonary dysplasia subjects affected / exposed occurrences (all)	6 / 70 (8.57%) 6	9 / 71 (12.68%) 9	6 / 72 (8.33%) 6
Hypercapnia subjects affected / exposed occurrences (all)	3 / 70 (4.29%) 3	1 / 71 (1.41%) 1	4 / 72 (5.56%) 5



Nasal inflammation subjects affected / exposed occurrences (all)	7 / 70 (10.00%) 7	7 / 71 (9.86%) 7	10 / 72 (13.89%) 10
Neonatal tachypnoea subjects affected / exposed occurrences (all)	12 / 70 (17.14%) 14	8 / 71 (11.27%) 9	10 / 72 (13.89%) 11
Pneumothorax subjects affected / exposed occurrences (all)	4 / 70 (5.71%) 4	2 / 71 (2.82%) 2	3 / 72 (4.17%) 3
Skin and subcutaneous tissue disorders Dermatitis diaper subjects affected / exposed occurrences (all)	7 / 70 (10.00%) 7	2 / 71 (2.82%) 2	6 / 72 (8.33%) 7
Renal and urinary disorders Atelectasis neonatal subjects affected / exposed occurrences (all)	0 / 70 (0.00%) 0	4 / 71 (5.63%) 5	4 / 72 (5.56%) 4
Metabolism and nutrition disorders Feeding intolerance subjects affected / exposed occurrences (all)	11 / 70 (15.71%) 11	10 / 71 (14.08%) 11	17 / 72 (23.61%) 17
Hyperglycaemia subjects affected / exposed occurrences (all)	2 / 70 (2.86%) 2	3 / 71 (4.23%) 3	5 / 72 (6.94%) 5
Hypermagnesaemia subjects affected / exposed occurrences (all)	3 / 70 (4.29%) 3	4 / 71 (5.63%) 4	4 / 72 (5.56%) 4
Hypocalcaemia subjects affected / exposed occurrences (all)	3 / 70 (4.29%) 4	3 / 71 (4.23%) 3	7 / 72 (9.72%) 7
Hypoglycaemia subjects affected / exposed occurrences (all)	4 / 70 (5.71%) 6	3 / 71 (4.23%) 5	1 / 72 (1.39%) 1
Hyponatraemia subjects affected / exposed occurrences (all)	5 / 70 (7.14%) 7	5 / 71 (7.04%) 6	6 / 72 (8.33%) 6
Metabolic acidosis			

subjects affected / exposed	4 / 70 (5.71%)	9 / 71 (12.68%)	5 / 72 (6.94%)
occurrences (all)	4	11	5

## More information

### Substantial protocol amendments (globally)

Were there any global substantial amendments to the protocol? Yes

Date	Amendment
16 March 2016	<p>Previous version of the protocol has been revised based upon discussions regarding the design and description of study 03-CL-1202 and based on lessons learned from this study's predecessor, study 03-CL-1201.</p> <p>Key changes:</p> <ul style="list-style-type: none"><li>- study treatment - criteria for repeat study treatment dosing changed to encourage repeat dosing and to reflect revision of respiratory support in inclusion criteria</li><li>-endpoints - definition of primary endpoint revised to be consistent with clinical practice and for clarity</li><li>-results of Non-Clinical and Clinical Studies - results of study 03-CL-1201 added, data from preliminary studies KL4-CPAP-01 and KL4-ASTH-01 clarified and augmented</li><li>-inclusion/exclusion criteria - Use of respiratory support in inclusion criteria (3 and 6) revised to be consistent with clinical practice and for clarity; exclusion criterion 7 revised to be consistent with clinical practice; exclusion criterion 11 added due to inadvertent omission from original protocol</li><li>-statistics - enrollment stratification changed to allow greater enrollment of subjects in higher gestation age stratum</li><li>-Data safety Monitoring Committee - rules for Data Monitoring Committee review had been inadvertently carried over from Study 03-CL-1201 so were changed to reflect the larger study population of Study 03-CL-1202</li><li>-Changes for Clarity- extensive revisions made for clarity to introduction and descriptions of study design/rationale, study treatment dosing and administration, study procedures and guidelines, and study evaluations</li></ul>

Notes:

### Interruptions (globally)

Were there any global interruptions to the trial? No

### Limitations and caveats

Limitations of the trial such as small numbers of subjects analysed or technical problems leading to unreliable data.

Clogging of a in-line filter led to a higher number of treatment interruptions than expected. This primarily affected one batch of supplies that were, by chance, predominantly used in European sites.

Notes: