Participant Information Sheet and Consent Form

Interventional Study - *Adult providing own consent for* ***Cohort 1***

USC Clinical Trials

Title:	A Seamless Phase 1b Study to Evaluate Safety, Tolerability and Efficacy of SER-301 in Adult Subjects with Active Mild-to-Moderate Ulcerative Colitis
Protocol Number:	SER-301-001
International Sponsor:	Seres Therapeutics, Inc.
Australian Sponsor:	PSI CRO Australia Pty. Ltd.
Coordinating Principal Investigator (CPI) / Principal Investigator (PI):	Dr Susan Thackwray Telephone: (07) 5456 3797
Associate Investigator(s):	Dr Michael Harrison, Dr Dawid Smalberger
Location:	USC Clinical Trials Level 1, 9 Ochre Way Sippy Downs QLD 4556

Part 1. What is the process of participation in this study?

You are invited to take part in a research study. This is because you have active ulcerative colitis (UC). The study is testing a new treatment for UC. The potential new treatment is called SER-301. This is the first study, which tests SER-301 in people with mild-to-moderate UC.

This Participation Information Sheet and Consent Form tells you about the study. It explains the tests and treatments involved. Knowing what is involved will help you decide if you want to take part in the study.

Please take the time to read the following information carefully and feel free to share and discuss it with others. Please ask your study doctor if there is anything that is not clear, that you do not understand, or if you would like more information. Before deciding whether or not to take part, you might want to talk about it with a relative, friend or your local doctor.

Participation in this study is voluntary. If you don't wish to take part, you don't have to. You will receive the best possible care whether or not you take part in the study.

If you decide you want to take part in the study, you will be asked to sign the Consent Form. By signing it you are telling us that you:

- Understand what you have read

- Consent to take part in the study
- Consent to have the tests and treatments that are described
- Consent to the use of your personal and health information as described

Your consent will only be for participation in the Cohort 1 part of the study. Participants who take part in Cohort 2 will be provided with a separate Participant Information Sheet and Consent Form that is specific to that part of the study.

You will be given a copy of this signed Participant Information Sheet and Consent Form for your records.

Part 2. What is the purpose of this research?

Ulcerative colitis is a condition that causes chronic inflammation of the surface of the colon (largest part of the large intestine). This can lead to episodes of bloody diarrhoea, stool urgency, and abdominal (belly) pain. The cause of the disease is unknown, but some think it may be a combination of how environmental factors interact with your genetics, immune responses, and gut bacteria (also known as your gut "microbiome"). The gut microbiome consists of trillions of bacteria that live in the human gastrointestinal tract. These bacteria help control the immune system in and around the gut. Studies have shown that the gut microbiome of people with UC may be different from the gut microbiome of people without UC.

Seres Therapeutics, Inc. has been studying the gut microbiome to understand the treatment of disease. From studies of people with diseases of the gut, it has been found that certain diseases are worse in people who have an imbalanced or disrupted microbiome. Seres Therapeutics, Inc. is currently developing investigational drugs which try to help peoples' gut microbiome return to a healthy state.

SER-301 is an investigational drug. This means it is not an approved safe and effective treatment of UC in Australia and was created to provide a potential new and unique way to treat UC.

SER-301 is a preparation of 18 different types of bacteria which came from (and are naturally found in) a healthy person's gut and were then grown in a laboratory. It may repair or restore the gut microbiome by adding in specific bacteria that research suggests may be good for gut health. These bacteria were grown individually and then combined to make SER-301. SER-301 comprises two different capsule types:

- SER-301 Part 1, containing a liquid formulation with bacterial spores of 10 strains, and
- SER-301 Part 2,containing a dry powder formulation with vegetative bacteria containing 8 strains.

  (collectively addressed as, SER-301, hereon)

SER-301 is given after preparing your gut with an antibiotic called vancomycin, a process known as "pre-conditioning." SER-301 and vancomycin are capsules given by mouth.

Oral vancomycin is approved by the Therapeutic Goods Administration (TGA) for other indications such as enterocolitis and *Clostridium difficile*, but not for pre-conditioning in ulcerative colitis.

SER-301 contains bacteria that were associated with positive outcomes in previous Seres Therapeutics, Inc. clinical studies, including 1 study in UC.

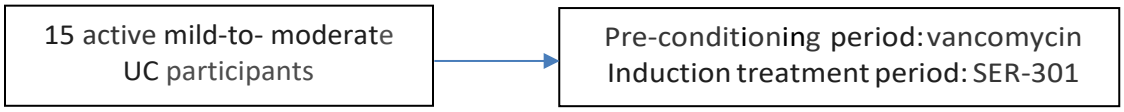
The purpose of this study is to find out how safe and effective SER-301 is. The study will be done in 2 parts, Cohort 1 and Cohort 2. If you agree to participate in this study, you will only be part of Cohort 1 mentioned below, not both.

- Cohort 1: The **open-label** part of the study, where every participant receives SER-301 after vancomycin pre-conditioning. What this means that you and your study doctor will know that you are receiving SER-301.
- Cohort 2: The **placebo-controlled** part of the study, where some participants will receive SER-301 (after vancomycin pre-conditioning) and some receive a placebo (a capsule containing no active drug) (after pre-conditioning with a placebo for vancomycin). You will not be participating in this part of the study but if you want to know more about it, please talk to your study doctor. Participants who take part in Cohort 2 will be provided with a separate Participant Information Sheet and Consent Form which further explains the study design.

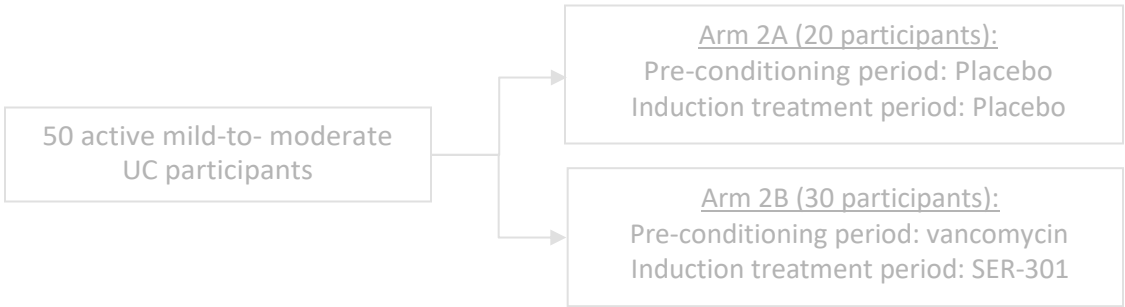
Figure 1: SER-301-001 Treatment Cohorts

A. Cohort 1: Open-Label

You will be participating in this part of the study



B. Cohort 2: Placebo-Controlled



SER-301 and vancomycin are all capsules given by mouth and will be referred to as "study drug".

This study will also see if SER-301 changes the intestinal bacteria.

This study is being sponsored in Australia by Seres Therapeutics, Inc. and conducted by PSI CRO Australia Pty. Ltd.

Part 3. What does participation in this research involve?

If you agree to take part in this study, your participation will only be for the open-label part of the study. Your participation in the study will last about 31 weeks.

Your study doctor will review whether you need to stop taking any of your current UC medications before you join the study, and which medications are not allowed during the study.

It will include at least 8 study visits in person at USC Clinical Trials or remotely, and regularly scheduled phone calls.

Study participation is divided into 4 periods: screening, pre-conditioning, induction treatment, and safety follow-up.

Screening (up to 4 weeks)

The screening period will determine if the study is right for you. There will be 2 study visits at USC Clinical Trials during screening and 1 phone call. During 1 of the study visits, an endoscopy will be performed, which will occur at Buderim Gastroenterology Centre. Endoscopy is a medical procedure which uses video imaging to check your colon health.

Pre-conditioning (approximately 1 week)

If this study is right for you, and if you decide to take part, you will participate in the open-label part of the study. There will be 1 study visit during this period. This will take place at USC Clinical Trials where you will be given your first dose of vancomycin and will remain for at least 60 minutes to watch for signs of an allergic reaction. You will then be provided with instructions for taking the pre-conditioning study drug at home 4 times a day for 6 days.

- As you are enrolled in the open-label part of the study, you will receive pre-conditioning with vancomycin for 6 days.

Once you stop taking the study drug, you will return any remaining study drug and all bottles dispensed.

Induction Treatment (approximately 10 weeks)

There will be 4 study visits during this period (the first 2 visits will be 2 weeks apart and the remaining visits will be scheduled approximately once a month). The first time you take the study drug, SER-301, you will do this at USC Clinical Trials, and will remain there for at least 60 minutes and up to 2 hours to watch for signs of sensitivity to the study drug or an allergic reaction. You will be given 4 capsules "(two of each type)" of study drug to swallow with water. You will be provided with a supply of study drug to last you until at least your next visit, and instructions for taking the study drug, once a day at the same time each day. Study drug may also be shipped to your home address. At your final study visit at the end of the induction treatment part, you will have an endoscopy to see if your UC has gone into remission.

- As you are part of the open-label part of the study, you will receive 10 weeks of daily induction treatment with SER-301.

Once you stop taking the study drug, you will return any remaining study drug and all bottles dispensed.

Safety Follow-Up (approximately 16 weeks)

Once you stop taking the study drug, you will enter the safety follow-up period. There will be 1 study visit during this period, phone calls with study staff about once a week for 4 weeks and then about once a month after (for the next 3 months) to talk about how you are feeling.

More clinic visits may be required if your disease worsens. Your study doctor will explain this to you in more detail.

Visit Length

How long each visit will take depends on what tests and procedures will be done that day. As such, the time spent at USC Clinical Trials for the purposes of this study will be variable across all visits. Every effort will be made by the study staff to ensure these visits are comfortable and as least burdensome to you as possible. During your visit at USC Clinical Trials, the study staff will let you know what resources are available to you, such as places to eat, sit/rest, etc.

General procedures:

If you agree to take part in this study, you will sign the Consent Form before any study-related procedures are performed.

After you sign the Consent Form, the study doctor will do the procedures listed below throughout the study at USC Clinical Trials. You can ask the study doctor for more information about when and how many times each procedure will be done.

You are likely aware of the COVID-19 (Coronavirus) outbreak and the emergency measures that are being put in place to limit the spread of the infection, including government and institutional restrictions. As you are participating in a clinical trial, these restrictions may impact you and/or USC Clinical Trials. The study team will contact you to discuss how your appointments will be managed in these circumstances.

The only experimental procedure that you will have during this study is taking the study drug. All other procedures you will have are well known and are standard in the care of patients with UC. You may be asked for more blood or stool samples and to record your symptoms of UC more frequently than if you were not in the study.

The procedures that will be performed during the study include the following:

- Answer questions about your medical history, including your UC history

- Answer questions about medications you are taking, what they are for and how long you have been taking them for
- Physical examination, including height and/or weight
- Check of vital signs (blood pressure, heart rate, respiratory rate, and temperature)
- Blood and urine sample collection (to check your health and use for additional testing)
- Stool collection (to use for additional testing)
- Endoscopy and colon biopsy sample collection
- Record symptoms related to your UC stool frequency and rectal bleeding daily in a diary
- You will be reminded of your next scheduled visit, as well as specific instructions for reporting any symptoms or concerns

Several of the medical procedures being done in this study, many of which would be done during your regular doctor's office visits to help your doctor decide on a treatment for your UC, have risks. However, the study may require that more blood is collected than if you were not in the study.

Samples:

1. Blood: You will have blood drawn (from approximately 4 teaspoons [20 mL] to 3 tablespoons [45 mL] per visit) from a vein in your arm to check your general health and to check for molecules related to the immune system or inflammation. If you consent to future biomedical research use of your samples, a portion of your sample will be saved for future use. If you are a woman who is able to get pregnant, your blood will be checked to make sure that you are not pregnant during the screening period.
2. Urine: You will be asked to provide a urine sample to check the function of your kidneys and to check for bladder infection. If you are a woman who is able to get pregnant, your urine will be checked to make sure that you are not pregnant.
3. Stool: You will be asked to provide stool samples during the study. Your stool samples will be checked for: bacteria in the stool; molecules made or modified in the intestine; microbiome content; the concentrations of other molecules in the stool; genetic material (human or bacterial DNA or RNA) in the stool; any study drug capsules or capsule pieces (photographs of the stool sample may be taken if any study drug capsules or capsule pieces are found). If you consent to future biomedical research use of your samples, a portion of your sample will be saved for future use.

   This study also includes at-home stool sample collection. For this, the study staff will give you stool collection kits and instructions for you on how to collect and store the stool sample. You can return the stool sample to USC Clinical Trials at your next study visit. Alternatively, USC Clinical Trials can arrange for a courier to pick this stool sample up from you and deliver this to them.

4. Endoscopy and biopsies: You will have a medical procedure called a lower endoscopy (flexible sigmoidoscopy or colonoscopy) at 2 planned times during the study. Your study doctor will discuss with you whether a colonoscopy or flexible sigmoidoscopy is preferred. A lower endoscopy is a procedure that allows the study doctor to look closely at the inside of the lower part of your colon (large intestine) by inserting a long, flexible tube through the rectum into the colon. You will need to follow the bowel preparation instructions provided by your study doctor for the endoscopy. Your study doctor may also ask you to either drink a "prep" solution or give yourself enemas to help clean your colon before the procedure. Depending on whether a flexible sigmoidoscopy or colonoscopy is performed, you may have sedation for this procedure and may need to arrange for transportation back to your home. There are rarer complications such as tearing of the colon and/or bleeding that may require surgical repair. When a biopsy (removal of a small piece of tissue) is performed during the colonoscopy, bleeding from the biopsy site may occur. Other complications that may occur include infection at the biopsy site and bacteria in the blood.

   Your first lower endoscopy will help determine if you are eligible for the study. Your second lower endoscopy will be done once you have completed the 10-week induction treatment to assess how you are responding to the study treatment. An additional endoscopy may be needed if you experience a UC flare and it may replace the second endoscopy.

   When you have a lower endoscopy, small bits of tissue (biopsies, about 4 mm, or the size of a grain of rice) will be taken from the lining of your colon, examined under the microscope and tested in a lab for how much of each gene is present in the biopsy (human genetic testing). If you consent to future biomedical research use of your samples, a portion of your sample (including endoscopy videos) may be saved for future use.

   A video of the inside of your colon will be recorded so it can be evaluated by Seres Therapeutics, Inc. and their representatives. The study doctor will explain this to you in more detail, including information about possible risks and discomforts.

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Table 1: Schedule of Visits and Activities

The table below is intended to assist in understanding visit scheduling.

	Screening (Up to 4 Weeks)			Pre-conditioning (6 Days)	Induction Treatment Period (10 Weeks)					Safety Follow-Up (16 Weeks)				Unsch. / EoT
										Short-Term (4 Weeks)		Long-Term (12 Weeks)		
WEEK NUMBER	**Wks -4 to -1**			**Wk 0**	**Wk 1**	**Wk 2**	**Wk 3**	**Wk 7**	**Wk 11**	**Wks 12, 13, & 14**	**Wk 15**	**Wks 19 & 23**	**Wk 27 / EoS**	
VISIT NUMBER	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10, 11, 12**	**13**	**14, 15**	**16**	
Visit Type	**Clinic**	**Phone**	**Clinic/Endo.**	**Clinic**	**Clinic**	**Home Stool Sample**	**Clinic**	**Clinic**	**Clinic/ Endo.**	**Phone**	**Clinic**	**Phone**	**Phone**	**Clinic**
Informed consent process	X													
Eligibility to participate in the study	X		X											
Medical history (including history of smoking and alcohol use)	X													
UC history	X													
Prior medications & UC therapies	X													
Question about medications you are taking	X		X	X	X		X	X	X	X	X	X	X	X
Demographics	X													
Physical exam	X								X		X			X
Vital signs	X			X					X		X			X
Height (at screening only), weight	X			X					X					X
Diary completion	X	X	X	X	X	X	X	X	X	X				
Lower endoscopy			X						X					X

	Screening (Up to 4 Weeks)			Pre-conditioning (6 Days)	Induction Treatment Period (10 Weeks)					Safety Follow-Up (16 Weeks)				Unsch. / EoT
										Short-Term (4 Weeks)		Long-Term (12 Weeks)		
WEEK NUMBER	**Wks -4 to -1**			**Wk 0**	**Wk 1**	**Wk 2**	**Wk 3**	**Wk 7**	**Wk 11**	**Wks 12, 13, & 14**	**Wk 15**	**Wks 19 & 23**	**Wk 27 / EoS**	
VISIT NUMBER	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10, 11, 12**	**13**	**14, 15**	**16**	
Visit Type	**Clinic**	**Phone**	**Clinic/Endo.**	**Clinic**	**Clinic**	**Home Stool Sample**	**Clinic**	**Clinic**	**Clinic/ Endo.**	**Phone**	**Clinic**	**Phone**	**Phone**	**Clinic**
Biopsies			X						X					X
In-clinic study drug dosing				X	X									
Return unused study drug					X		X	X	X					X
Study drug dispensed				X	X		X	X						
Question about whether you are experiencing any adverse events				X	X		X	X	X	X	X	X	X	X
Blood sample collection	X			X	X				X		X			X
Urine sample collection (for pregnancy test in women of childbearing potential)	X		X	X	X		X	X	X		X			X
Stool sample collection	X		X	X	X	X	X	X	X		X		X	

Part 4. What do I have to do?

If you agree to take part in this study, you must carefully follow the instructions given to you by the study doctor and study staff. This is important for your safety and equally important to the quality of the data that will be collected relative to your commitment to the study. During your participation, it is expected that you:

- perform all of your study assessments;
- store your study drug in a safe place; and do not share it with others;
- return unused study drug and bottles; do not throw away any empty study drug bottles;
- answer all scheduled phone calls (also considered "visits");
- let your study doctor know of any changes in your health while you are in this study;
- check with the study doctor before starting any new medications;
- not take part in any other research studies while you are in this study;
- notify your study doctor immediately if you choose to stop your participation in the study for any reason;
- do not donate blood for non-study purposes, unless medically required, while you are in this study.

Certain medications and therapies are not allowed during the study. The study doctor will discuss this in further detail with you at your study visit.

You will be expected to record your stool frequency and rectal bleeding related to UC disease daily in a diary at screening and for the duration of your study treatment. You will be taught how to use the diary.

You will be given a card indicating that you are taking part in this study. You should carry this with you at all times and return it at the end of the study. It should be shown to any other doctor who provides medical care to you whilst you are in this study.

Part 5. Other relevant information about the research study?

This study will be done at sites in Australia and New Zealand and will include about 65 participants.

There are no additional costs associated with participation in this study. All medications, tests and medical care required as part of the study will be provided to you free of charge.

You will be reimbursed for any reasonable travel, parking, meals and other expenses associated with the study visit. The types and amounts of expenses that may be reimbursed are at the discretion of USC Clinical Trials and must be in accordance with local policies. The study staff will provide you with all the necessary details on the reimbursement process.

By taking part in this study, you agree that your samples (or data generated from analysis of these materials) may be provided to Seres Therapeutics, Inc.

Seres Therapeutics, Inc. may directly or indirectly benefit financially from your samples or from knowledge acquired through analysis of your samples.

You will not benefit financially from your involvement in this study even if, for example, your samples (or knowledge acquired from analysis of your samples) prove to be of commercial value to Seres Therapeutics, Inc.

In addition, if knowledge acquired through this study leads to discoveries that are of commercial value to Seres Therapeutics, Inc. the study doctors or their institutions, there will be no financial benefit to you or your family from these discoveries. You will not benefit financially from your involvement in this study.

If you decide to participate in this study, the study doctor will inform your local doctor.

Part 6. Do I have to take part in this research study?

Taking part in this study is entirely voluntary. You may choose either to take part or not to take part in the study. If you decide to take part in this study, you may leave the study at any time.

If you do decide to take part, you will be given this Participant Information Sheet and Consent Form to sign and you will be given a copy to keep.

Your decision whether to take part or not to take part, or to take part and then withdraw, will not affect your routine treatment, your relationship with those treating you, or your relationship with USC Clinical Trials. You are free to withdraw from the study at any time without giving a reason if you do not wish to provide one.

Part 7. What are the alternatives to participation?

If you decide not to participate in this study, there are other available treatments that your study doctor can discuss with you. You do not need to participate in this study to be treated for your ulcerative colitis.

The study doctor will also tell you about the risks and benefits of each option.

Part 8. What are the possible benefits of taking part?

If you take part in this study, there may or may not be a direct benefit to you. You may experience an improvement in your UC by taking SER-301, but there is no guarantee. However, the results of this study may help Seres Therapeutics, Inc., the study doctor, and the staff to provide better treatments in the future for people with UC.

Part 9. What are the possible risks and disadvantages of taking part?

Medical treatments often cause side-effects. Like other medications, SER-301 may cause side-effects. You may have none, some or all of the effects listed below, and they may be mild, moderate, or severe.

If you have any of these side-effects, or are worried about them, talk with your study doctor. Your study doctor will also be looking out for side-effects.

As this is the first time SER-301 is being studied in people, the side-effects are not known. There may be side-effects that the researchers do not expect or do not know about and that may be serious. Tell your study doctor immediately about any new or unusual symptoms that you get as a result of taking part in this study. As with any investigational drug, it is not possible to predict all of the unwanted side-effects.

Many side-effects go away shortly after treatment ends. However, sometimes side-effects can be serious, long lasting, or permanent. If a severe side-effect or reaction occurs, your study doctor may need to stop your treatment. Your study doctor will discuss the best way of managing any side-effects with you.

You may experience 1 or more of the side-effects indicated below from being in this study. In addition to these, there may be other unknown risks associated with being in this study.

If you participate in this study there are several medical procedures involved (and associated risks), many of which would be done during your regular doctor's office visits to help your doctor decide on a treatment for your UC. However, the study may require that more blood is collected than if you were not in the study.

During blood draws, you may have pain and/or bruising at the place on your arm where blood is taken. Rarely, blood clots may form, and infections may occur. If you feel faint, you should lie down right away to avoid falling down. You should let your study doctor, or the staff know if you have any of these problems.

Per institutional practice, your study doctor will also ask you to sign a separate clinical consent form that will explain in detail the risks of the lower endoscopy (colonoscopy or flexible sigmoidoscopy) as well as any biopsies that may be performed. The endoscopy procedure will be performed as part of standard of care, may require sedation, and may involve pain, discomfort, or complications.

Some of the bacteria in SER-301 were associated with improved health in a similar investigational drug from Seres Therapeutics, Inc. called SER-287. Fifty-eight people with UC participated in a clinical study with SER-287, called "SERES-101", in which 11 people received placebo and 47 received SER-287 for 8 weeks. Of the 47 people who received SER-287:

- 27.7% (13/47) had at least 1 side-effect reported as related to SER-287 treatment, the most common being belly pain (8.5%, compared with 0 in the placebo group) and diarrhea (6.4%, compared with 9.1% in the placebo group), as shown in
- **Table** 2.
- 38.3% (18/47) had at least 1 side-effect reported as unrelated to SER-301 treatment, as shown in Table 3.
- Overall, a total of 66% (31/47) experienced at least 1 side-effect, for a total of 91 side-effects in the study.
- No serious side-effects were reported as related to SER-287 treatment.

- 1 serious adverse event (worsening depression in a person with a history of depression) was reported as unrelated to SER-287 treatment, in 1 person.

Table 2. Side-effects Reported as Related to SER-287 in SERES-101 Study

	Side-effect	# People (%)
Commonly Reported (Incidence at least 5%)	Belly pain	4 (8.5%*)
	Diarrhoea	3 (6.4%**)
Other (Incidence less than 5%)	Constipation; Increased passing of gas; Feeling sick	2 (4.3%)
	Belly swelling; Abnormal stool; Bowel movement inconsistency; Loss of bowel control; Acid reflux (GERD); Inflammation of oesophagus (food pipe); Yeast infection; Decreased appetite; Headache; Skin reaction	1 (2.1%)

*Legend: * = compared with 0 in placebo group*

*** = compared with 9.1% in placebo group*

Table 3. Side-effects Reported as Unrelated to SER-287 in SERES-101 Study

Side-effect	# People (%)
Back pain	5 (10.6%)
Belly pain; Bacteria or viral infection in the nose or throat; Headache; Feeling sick	3 (6.4%)
Vomiting; Cold; Nose infection; Muscle twitch/pain; Cough; UC worsening; Positive urine test for infection (bacterial infection in your urinary tract or may suggest a urinary tract infection)	2 (4.3%)
Belly pain; Bowel movement inconsistency; Constipation; Diarrhoea; Increased passing of gas; Frequent bowel movements; Mucus in stool; Fatty or mucous diarrhoea; Weakness/lack of energy; Chest pain; Flu-like symptoms; Swelling in limbs; Over-active immune system (over-sensitive to something); Skin (bacterial) infection; Pneumonia (lung inflammation); Kidney Infection; Sinus infection; Urinary tract infection; Viral Infection in the nose or throat; Low blood potassium; Depression; Pelvic pain; Stuffy nose; Hay fever; Acne; Rash; Swelling in face	1 (2.1%)

SER-287 is now being tested in more people with UC in a clinical study called “SERES-201”, in which about 67 people are planned to receive placebo and 134 are planned to receive SER-287 for 10 weeks. As of 01 June, 2020, the study is more than half over and the blinded safety data from this study appears consistent with the SERES-101 study.

There may be a risk of an allergic reaction to SER-301, but none were seen with SER-287 in the SERES-101 clinical study.

If you suffer any of these side-effects (or any others not listed), please tell your study doctor immediately.

You may receive vancomycin before the study drug dosing. Vancomycin is a non-absorbable antibiotic, which means that when it is taken by mouth it stays in the digestive tract, and it does not spread throughout different body systems. It is considered to be generally safe when it is taken by mouth. You will not be included in the study if you have a known allergy to vancomycin. There may also be a possibility of you having an unknown allergic reaction to vancomycin, which is why you will be watched carefully for 60 minutes after your first dose.

The most common side-effects (>10%) that have been reported for oral vancomycin include nausea, low blood potassium and belly pain. Less common side-effects (<10%) have included swelling in the arms and leg, feeling tired, headache, fever, diarrhea, gassiness, vomiting, urinary tract infection, and back pain. Rare side-effects include hearing impairment, kidney injury, decrease in platelets (a type of blood cell that helps your blood clot), and inflammation of blood vessels. If you have any of these signs or symptoms, please contact your study doctor.

You will have blood tests and physical exams to review your safety before and after dosing of vancomycin.

Pregnancy and breastfeeding

[For female participants] It is not known if SER-301 affects fertility, unborn babies, or pregnant or breastfeeding women. If you are pregnant, breastfeeding or planning to become pregnant, you may not participate in this study. If you are able to become pregnant, a blood pregnancy test will be done at your screening visit, and urine pregnancy tests will be done at some study visits. You should discuss this with your partner(s), and you and your partner(s) must agree to practice at least 1 highly effective method of birth control to avoid becoming pregnant while you are in the study (examples include an intrauterine device, birth control pill, birth control implant, birth control depot injection). Your study doctor will discuss the methods of birth control that are considered adequate. If you suspect that you are pregnant, you should tell the study doctor immediately. If you become pregnant while you are in the study, you will be withdrawn from taking the study drug and be asked to agree to be followed for safety. You will be asked about the outcome of your pregnancy.

[For male participants] It is not known if SER-301 affects sperm and there is no information on the long-term effects of SER-301 on fertility. It is highly recommended that you inform your partner of your participation in the study and the need to avoid pregnancy. If you have partner(s) who can become pregnant, you should avoid getting your partner(s) pregnant while participating in this study. You and your partner(s) must agree to practice at least 1 effective method of birth control while you are in the study. Inform your study doctor if your partner(s) becomes pregnant. The study doctor will discuss the methods of birth control that are considered adequate. In the event that your partner(s) does become pregnant, she will be asked to agree to be followed on the outcome of her pregnancy and health of the baby at birth.

Part 10. What will happen to my test samples?

During the study, the study staff will be collecting blood, urine, stool and biopsy samples from you. These samples will be sent to overseas based Sponsor approved central laboratories for testing and will be stored there until the end of the study.

You will also be asked if you want to provide additional consent to having your blood, stool, biopsies and videos from your endoscopy procedures used for optional future biomedical research at overseas-based central laboratories qualified by Seres Therapeutics, Inc. where the samples will also be stored. Future biomedical research may involve new or better ways to examine your samples using knowledge gained

from this research or other studies. The research may help Seres Therapeutics, Inc. better understand UC and the human microbiome or help to identify people who are more likely to benefit from a specific treatment. The additional consent for your samples to be used for future biomedical research is optional and will not affect your overall participation in the study, neither will it affect the treatment of your condition at USC Clinical Trials.

Genetic tests look at the genes present in an organism or cell, like the bacteria in your gut microbiome or a human cell. A genetic test may help scientists learn more about how genes contribute to health and disease, as well as develop new treatments. Sometimes the results do not directly help the study participant, but they may benefit others in the future. Seres Therapeutics, Inc. may do human genetic testing and may evaluate bacterial molecules (DNA or RNA) in your blood, stool, and biopsy samples. Seres Therapeutics, Inc. may also test your samples for the presence or absence of other biological molecules. The genetic and other tests done on your samples will be performed for research purposes only. Your individual results from the testing and this study will not be made available to you, your family or your doctor and they will not be placed in your medical records. If research from this study is published in professional journals, there will be no identifying information, such as your name, address or phone number included in the publication.

Part 11. What if new information arises during this research study?

Sometimes new information affecting the study is received. You will be told if any relevant new information becomes available that may affect your willingness to carry on taking part in the study. If this happens, your study doctor will contact you as soon as possible, and will discuss whether you should continue in the study. If you decide not to carry on, your study doctor will make arrangements for your care to continue. If you decide to continue in the study, you may be asked to sign a new consent form.

Part 12. Can I have other treatments during this research study?

Whilst you are participating in this study, you may not be able to take some or all of the medications or treatments you have been taking for your condition or for other reasons. It is important to tell your study doctor and the study staff about any treatments or medications you may be taking, including over-the-counter medications, vitamins or herbal remedies, acupuncture or other alternative treatments. You should also tell your study doctor about any changes to these during your participation in the study. Your study doctor should also explain which treatments or medications need to be stopped for the time you are involved in the study.

Part 13. What if I withdraw from this research study?

Participation in this study is voluntary and it is entirely your decision whether or not to take part. If after reading this Participation Information Sheet and Consent Form, and talking with the study staff, you choose not to participate, or if you change your mind after signing the Consent Form for any reason, your decision will be respected. There will not be any penalties for this, and it will not affect your medical care and treatment.

If you decide to take part in this study, but later withdraw for any reason, study data, blood, urine, biopsy, stool, and video-recording samples collected before your withdrawal may still be used. After you withdraw from the study, no new information will be collected from you, unless you were experiencing an adverse event at the time of your withdrawal. Any adverse event will be followed until it has resolved. Your research records remain part of this clinical study even if you withdraw from the clinical study.

You should be aware that data collected by Seres Therapeutics, Inc. up to the time you withdraw will form part of the study results. If you do not want them to do this, you must tell them before you join the study. You may not be able to participate in this study if you do not wish for your data to form part of the study results.

Discontinuation of study drug

You may choose to stop taking the study treatment at any time but still remain in the study and continue to come for further visits and assessments. If you discontinue study treatment, you will move into the safety follow-up part of the study, where you will have regular phone calls with study staff to talk about how you are feeling for 16 weeks. If you discontinue study treatment but do not withdraw your consent for your study doctor to use your protected health information, new health information may be collected until this study ends.

Part 14. Could this research study be stopped unexpectedly?

Your study doctor, Regulatory Authorities, Ethics Committees, or Seres Therapeutics, Inc. may end your participation in the study without your permission at any time if they decide that it is in your best interest or for the reasons below:

- You have a side-effect from the study drug;
- You experience any change in your medical condition that might be harmful to you;
- You fail to follow the study doctor's instructions;
- Administrative purposes;
- Termination of the study by Seres Therapeutics, Inc., Regulatory Authorities, or the Ethics Committees;
- Seres Therapeutics, Inc. asks that you be removed from the study;
- You become pregnant.

Part 15. What happens when the research study ends?

As this is a research study, SER-301 will be given to you only during this study and not after the study is over.

A description of this clinical study will be available on the Australian New Zealand Clinical Trials Registry (ANZCTR) at https://www.anzctr.org.au. This website will not include information that can identify you. At most, the website will include a summary of the results. You can search this website at any time.

Part 16. What will happen to information about me?

By signing this Participation Information Sheet and Consent Form, you consent to the study doctor and relevant study staff collecting and using personal information about you for the study. This includes medical information collected from hospital records and your general practitioner, if required, and information collected during the study.

Any information obtained in connection with this study that can identify you will remain confidential.

Your study doctor and study staff will know that you are in this study. Study records will identify you only by a number or code, not by your name. However, Seres Therapeutics, Inc. as well as its representatives, Regulatory Authorities, and Ethics Committees may look at your records from time to time and have access to confidential information that identifies you by name.

Seres Therapeutics, Inc. and its representatives may access and use your health information for any or all of the following:

- to conduct the study and to confirm the study results;
- to assure the safety, effectiveness and quality of the study and of medical products or therapies developed through the research;
- to conduct new medical research and develop proposals for new medical products or therapies; and
- as required by law.

If you have any questions or concerns, you may discuss this in detail with the study doctor or study staff and ask any questions that you may have about the sharing of your health information.

Seres Therapeutics, Inc. intends to use the knowledge obtained from doing this study to develop another study. The results of this study will be shared with Regulatory Authorities, and may be shared at scientific conferences, or through publications so that other interested people may learn from the research. Confidential or personal identifiable information about you will not be shared.

There is a risk of loss of confidentiality in research studies. Every effort will be made to protect you and your health information to the full extent possible.

Your personal data, including your sex, age, race, disease history, general health, response to the study drug, and dose levels of study drug may be relevant to the future biomedical research. This information, along with other personal data, may be used by the researchers who are studying your blood and stool. You will not be identified by name, only by a number and your partial date of birth (excluding the month of birth).

The results of this study may be published. However, your personal data (data that would identify you) will not be disclosed in any publication without your further and explicit consent for that purpose.

During the study, your collected personal information including your medical files may be disclosed to Seres Therapeutics, Inc., its representatives assisting with the study research, including the central laboratory, study monitors, and to auditors, government or Regulatory Authorities, or Ethics Committees. Your medical files may be reviewed at the hospital (or study doctor's office) or remotely (outside of the study center) in order to check the information and verify the clinical study procedures, without breaking your confidentiality. If your medical files are reviewed remotely, the records will include your study number but will not include your name or other directly identifiable information. Whether your medical files are reviewed at USC Clinical Trials or remotely for purposes of the study, your records will be kept secure during this process.

In accordance with relevant Australian and/or Queensland privacy and other relevant laws, you have the right to ask the study doctor about the data being collected on you and to see your personal health information and, if applicable, ask for corrections. However, if you decide to be in this study and sign this consent form, you will not be allowed to look at or copy your information until after the study is complete.

Your research records that are reviewed, stored, and analysed at USC Clinical Trials will be kept in a secured area, accessible only by authorised members of the study team. Upon completion of the study, research records will be archived for 15 years after the completion of the study.

Part 17. Complaints and compensation

If you suffer any injuries or complications as a result of this study, you should contact the study staff as soon as possible and you will be assisted with arranging appropriate medical treatment. In case of an emergency, contact 000 or present to your nearest Emergency Department.

If you are eligible for Medicare, you can receive any medical treatment required to treat the injury or complication, free of charge, as a public patient in any Australian public hospital.

Payment for any medical expenses related to said injuries or complications directly caused by the study drug or any procedure properly performed in accordance with the Protocol will be covered by insurance obtained by Seres Therapeutics, Inc.

There are 2 avenues that may be available to you for seeking compensation if you suffer an injury as a result of your participation in this study:

- The pharmaceutical industry has set up a compensation process, with which the Australian Sponsor, PSI CRO Australia Pty. Ltd., of this study has agreed to comply. Details of the process and conditions are set out in the *Medicines Australia Guidelines for Compensation*

for Injury Resulting from Participation in a Company-Sponsored Clinical Trial. In accordance with these Guidelines, the Sponsor will determine whether to pay compensation to you, and, if so, how much. A copy of the guidelines is available through the following link https://medicinesaustralia.com.au/wpcontent/uploads/sites/52/2010/09/Clinical-Trials-Compensation-Guidelines-1.pdf.

- You may be able to seek compensation through the courts.

By signing this document, you will not lose any of your legal rights or release anyone involved in the study from responsibility for mistakes.

It is the recommendation of the independent ethics committee responsible for the review of this trial that you seek independent legal advice before taking any steps towards compensation for injury.

Part 18. Who is organising and funding the research study?

This study is being sponsored by Seres Therapeutics, Inc. and conducted in Australia by PSI CRO Australia Pty. Ltd.

Seres Therapeutics, Inc. may benefit financially from this study if, for example, the study assists Seres Therapeutics, Inc. to obtain approval for a new drug.

USC Clinical Trials will receive a payment from Seres Therapeutics, Inc. for undertaking this study.

No member of the study team will receive a personal financial benefit from your involvement in this study (other than their ordinary wages).

Part 19. Who has reviewed the research study?

All research in Australia involving humans is reviewed by an independent group of people called Human Research Ethics Committee (HREC). This study has been approved by Bellberry Human Research Ethics Committee.

If you have any concerns about the conduct of this study, please do not hesitate to contact the Executive Officer of the Ethics Committee on (08) 8361 3222 and quote approval number 2020-05-497.

This study will be carried out according to the *National Statement on Ethical Conduct in Human Research (2007)*. This statement has been developed to protect the interests of people who agree to participate in human research studies.

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Part 20. Further information and who to contact

The person you may need to contact will depend on the nature of your query. If you want any further information concerning this study or if you have any medical problems which may be related to your involvement in the study (for example, any side-effects), you can contact the principal study doctor on (07) 5456 3797 or any of the following people:

Clinical contact person

Name	Georgina Street
Position	Clinical Operations Manager
Telephone	(07) 5456 3797
Email	CTC@usc.edu.au

For matters relating to research at the site at which you are participating, the details of the local site complaints person are:

Complaints contact person

Name	Office of the Chief Operating Officer
Address	University of the Sunshine Coast, Sippy Downs QLD 4556
Telephone	(07) 5456 4789

If you have any complaints about any aspect of the study, the way it is being conducted or any questions about being a research participant in general, then you may contact:

Reviewing HREC approving this research and HREC Executive Officer details

Reviewing HREC name	Bellberry Human Research Ethics Committee
Telephone	(08) 8361 3222
Email	bellberry@bellberry.com.au

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Consent Form - *Adult providing own consent for* **Cohort 1**

Title:	A Seamless Phase 1b Study to Evaluate Safety, Tolerability and Efficacy of SER-301 in Adult Subjects with Active Mild-to-Moderate Ulcerative Colitis
Protocol Number:	SER-301-001
International Sponsor:	Seres Therapeutics, Inc.
Australian Sponsor:	PSI CRO Australia Pty. Ltd.
Coordinating Principal Investigator (CPI) / Principal Investigator (PI):	Dr Susan Thackwray Telephone: (07) 5456 3797
Associate Investigator(s):	Dr Michael Harrison, Dr Dawid Smalberger
Location:	USC Clinical Trials Level 1, 9 Ochre Way Sippy Downs QLD 4556

Declaration by Participant

I have read the Participant Information Sheet or someone has read it to me in a language that I understand.

I understand the purposes, procedures and risks of the research described in the research study.

I consent to allow USC Clinical Trials to access my health information from other health providers, hospitals or laboratories outside this hospital, to the extent it relates to this study, and on the understanding that my information will be kept confidential at all times.

I have had an opportunity to ask questions and I am satisfied with the answers I have received.

I freely agree to participate in this research study as described and understand that I am free to withdraw at any time during the study without affecting my future health care.

I have been told that no information regarding my medical history will be divulged to unauthorised third parties and the results of any tests involving me will not be published so as to reveal my identity.

I consent to my treating Doctor/s being notified of my participation in this study and of any clinically relevant information noted by the trial doctor in the conduct of the trial.

I am 18 years of age or over.

I understand that I will be given a signed copy of this document to keep.

Name of Participant (please print)	_____
Signature _____	Date _____

Under certain circumstances (see Note for Guidance on Good Clinical Practice CPMP/ICH/135/95 at 4.8.9*) a witness* to informed consent is required*

Name of Witness* to Participant's Signature (please print)	_____
Signature _____	Date _____

* Witness is not to be the investigator, a member of the research team or their delegate. In the event that an interpreter is used, the interpreter may not act as a witness to the consent process. Witness must be 18 years or older.

Declaration by Study Doctor/Senior Researcher†

I have given a verbal explanation of the research study, its procedures and risks and I believe that the participant has understood that explanation.

Name of Study Doctor/ Senior Researcher† (please print)	_____
Signature _____	Date _____

† A senior member of the research team must provide the explanation of, and information concerning, the research study.

Note: All parties signing the consent section must date their own signature.

USC AUSTRALIA | Clinical TRIALS

Form for Withdrawal of Participation - *Adult providing own consent for* **Cohort 1**

Title:	A Seamless Phase 1b Study to Evaluate Safety, Tolerability and Efficacy of SER-301 in Adult Subjects with Active Mild-to-Moderate Ulcerative Colitis
Protocol Number:	SER-301-001
International Sponsor:	Seres Therapeutics, Inc.
Australian Sponsor:	PSI CRO Australia Pty. Ltd.
Coordinating Principal Investigator (CPI) / Principal Investigator (PI):	Dr Susan Thackwray Telephone: (07) 5456 3797
Associate Investigator(s):	Dr Michael Harrison, Dr Dawid Smalberger
Location:	USC Clinical Trials Level 1, 9 Ochre Way Sippy Downs QLD 4556

Declaration by Participant

I wish to withdraw from participation in the above research study and understand that such withdrawal will not affect my routine treatment, my relationship with those treating me or my relationship with USC Clinical Trials.

Name of Participant (please print) _____

Signature _____ Date _____

In the event that the participant's decision to withdraw, the Study Doctor/Senior Researcher will need to provide a description of the circumstances below, if available.

Declaration by Study Doctor/Senior Researcher†

I have given a verbal explanation of the implications of withdrawal from the research study and I believe that the participant has understood that explanation.

Name of Study Doctor/ Senior Researcher† (please print)	_____
Signature _____	Date _____

† A senior member of the research team must provide the explanation of and information concerning withdrawal from the research study.

Note: All parties signing the consent section must date their own signature.

This page is the manifestation of an electronic signature certifying that I have reviewed the electronic copy of this document and certify that it is an exact copy having all of the same attributes and information as the original document.

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Document ID: 13085
No. Pages: 24
Study: Seres Therapeutics - Mild to Moderate UC - SER-301-001

Electronic Signature for: Natalia Fitzpatrick
Electronically Signed by: nfitzpatrick
Date & Time: 02/SEP/2020 2:15 PM AEST
IP Address: 203.29.104.10