U.S. FOOD & DRUG ADMINISTRATION

VIA E-MAIL

Ocugen
Attention: Edward Walters – Associate Director, Clinical Operations
5 Great Valley Parkway
Malvern, Pennsylvania 19355
(b) (6)

Re: Submission of Clinical Trial Results Information & Certification to Accompany Certain Drug Product, Biological Product, and Device Product Submissions Pursuant to 42 U.S.C. 282(j)
FDA Reference Number: CDER-2021-126
NCT03785340, IND 136132

Dear Mr. Walters:

Based on an initial review of Food and Drug Administration (FDA) records, information from the ClinicalTrials.gov data bank operated by the National Library of Medicine (a part of the National Institutes of Health), and any available public information, it appears that Ocugen is the "responsible party"[1] for the above-identified clinical trial, which appears to be an "applicable clinical trial"[2] subject to the requirements of section 801 of the Food and Drug Administration Amendments Act of 2007, including its implementing regulations in 42 CFR part 11. A responsible party for an applicable clinical trial is required to submit to the ClinicalTrials.gov data bank certain results information for the clinical trial; such results information generally must be submitted no later than one year after the primary completion date of the applicable clinical trial, unless the responsible party has submitted a certification of delay, a request for an extension for good cause, or a request for a waiver of the requirements for submission of results information.[3]

[1] *See* section 402(j)(1)(A)(ix) of the Public Health Service Act (PHS Act) (42 U.S.C. 282(j)(1)(A)(ix)) and 42 CFR 11.10 for the definition of "responsible party."
[2] *See* section 402(j)(1)(A)(i)-(iii) of the PHS Act (42 U.S.C. 282(j)(1)(A)(i)-(iii)) and 42 CFR 11.10 for the definition of "applicable clinical trial."
[3] *See* section 402(j)(3)(E) and (H) of the PHS Act (42 U.S.C. 282(j)(3)(E) and (H)) and 42 CFR part 11, subpart C for results information submission requirements.

U.S. Food & Drug Administration
10903 New Hampshire Avenue
Silver Spring, MD 20993
ww.fda.gov

FDA has identified potential noncompliance related to the above-identified clinical trial, titled "A Phase 3 Randomized, Placebo-Controlled, Double-Masked, Multicenter, Safety and Efficacy Study of Brimonidine Tartrate 0.2% Nanoemulsion Eye Drops in Patients With Dry Eye Disease (DED)." It appears that results information for the referenced applicable clinical trial has not been submitted to the ClinicalTrials.gov data bank. Your company should review its records of this clinical trial and determine whether your company submitted all required results information. If your company determines that results information is required and due for this clinical trial, please submit the results information promptly.

Failure to submit clinical trial information[4] required under section 402(j) of the PHS Act (42 U.S.C. 282(j)), including information required under the regulations found in 42 CFR part 11, is a prohibited act under section 301(jj)(2) of the Federal Food, Drug, and Cosmetic Act (FD&C Act) (21 U.S.C. 331(jj)(2)). FDA intends to further review and assess the above-identified clinical trial beginning 30 calendar days after you receive this letter. If FDA determines that your company has failed to submit any clinical trial information required under section 402(j) of the PHS Act (42 U.S.C. 282(j)), including its implementing regulations in 42 CFR part 11, your company may receive from FDA a Notice of Noncompliance,[5] and FDA may thereafter initiate an administrative action seeking a civil monetary penalty.[6] In addition to civil monetary penalties, violations of section 301(jj) of the FD&C Act (21 U.S.C. 331(jj)) could also result in other regulatory action, such as injunction and/or criminal prosecution.

As requested, please review your company's clinical trial records and submit any required results information to the ClinicalTrials.gov data bank. You can access the ClinicalTrials.gov website at https://register.clinicaltrials.gov.

We also note that it appears that your company, which is the sponsor of investigational new drug application (IND) 136132, failed to provide to FDA the certification (i.e., Form FDA 3674) required under section 402(j)(5)(B) of the PHS Act (42 U.S.C. 282(j)(5)(B)) to accompany certain drug product submissions. Specifically, at the time of submission of an

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[4] *See* section 402(j)(1)(A)(iv) of the PHS Act (42 U.S.C. 282(j)(1)(A)(iv)) and 42 CFR 11.10 for the definition of "clinical trial information."

[5] *See* section 402(j)(5)(C)(ii) of the PHS Act (42 U.S.C. 282(j)(5)(C)(ii)).

[6] Pursuant to section 303(f)(3)(A) of the FD&C Act (21 U.S.C. 333(f)(3)(A)), "[a]ny person who violates section 301(jj) [of the FD&C Act (21 U.S.C. 331(jj))] shall be subject to a civil monetary penalty of not more than $10,000 for all violations adjudicated in a single proceeding." "If a violation of section 301(jj) [of the FD&C Act (21 U.S.C. 331(jj))] is not corrected within the 30-day period following [receipt of a statutory Notice of Noncompliance issued under section 402(j)(5)(C)(ii) of the PHS Act (42 U.S.C. 282(j)(5)(C)(ii))], the person shall, in addition to any penalty under subparagraph (A), be subject to a civil monetary penalty of not more than $10,000 for each day of the violation after such period until the violation is corrected." Section 303(f)(3)(B) of the FD&C Act (21 U.S.C. 333(f)(3)(B)). These civil monetary penalty amounts reflect the amounts found in the statute. These amounts are updated annually to reflect inflation, as required by the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. No. 101-410, 104 Stat. 890 (1990) (codified as amended at 28 U.S.C. 2461, note 2(a)), as amended by the Federal Civil Penalties Inflation Adjustment Act Improvements Act of 2015 (Sec. 701 of the Bipartisan Budget Act of 2015, Pub. L. No. 114-74, November 2, 2015). For the most up-to-date amounts, please see 45 CFR 102.3.

application under section 505 of the FD&C Act (21 U.S.C. 355), such application must be accompanied by a certification that all applicable requirements of section 402(j) of the PHS Act (42 U.S.C. 282(j)), including its implementing regulations in 42 CFR part 11, have been met. The protocol for the applicable clinical trial NCT03785340 was submitted to IND 136132 in a protocol amendment on August 29, 2018; however, it appears that at the time this protocol amendment was submitted to FDA, your company did not submit to FDA the certification required by section 402(j)(5)(B) of the PHS Act (42 U.S.C. 282(j)(5)(B)). The failure to submit a certification under section 402(j)(5)(B) of the PHS Act (42 U.S.C. 282(j)(5)(B)) is a prohibited act under section 301(jj)(1) of the FD&C Act (21 U.S.C. 331(jj)(1)).

If you have any questions about this letter, you may call Mark S. Miller, Pharm.D., at (301) 796-2798. Please have the FDA reference number provided at the top of this letter available when you call. Alternatively, you may email him at CDER-OSI-Advisory@fda.hhs.gov. Please include the FDA reference number with any e-mail communications.

We request that you submit a written response to FDA within 30 calendar days after you receive this letter, stating the actions that you have taken in response to this letter. If you believe that your company has complied with applicable requirements, please provide us with your reasoning and include any supporting information for our consideration. Please direct your response to the address below and include the FDA reference number in all correspondence relating to this matter.

Mark S. Miller, Pharm.D., BCPS, RAC
CAPT, USPHS
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Division of Enforcement and Postmarketing Safety
Office of Scientific Investigations
Office of Compliance
Center for Drug Evaluation and Research
U.S. Food and Drug Administration
Building 51, Room 5352
10903 New Hampshire Avenue
Silver Spring, MD 20993

Sincerely yours,

{See appended electronic signature page}

David C. Burrow, Pharm.D., J.D.
Director
Office of Scientific Investigations
Office of Compliance
Center for Drug Evaluation and Research
U.S. Food and Drug Administration

This is a representation of an electronic record that was signed electronically. Following this are manifestations of any and all electronic signatures for this electronic record.

/s/

DAVID C BURROW
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