U.S. FOOD & DRUG ADMINISTRATION

VIA UNITED PARCEL SERVICE AND E-MAIL

Jeffrey L. Neul, M.D., Ph.D.
Vanderbilt University Medical Center
PMB 40, 230 Appleton Place
Nashville, Tennessee 37203-5721

Rett Syndrome Research Trust
Attention: Jana von Hehn, Ph.D., Director of Research
67 Under Cliff Rd1
Trumbull, Connecticut 06611

Re: Submission of Clinical Trial Results Information Pursuant to 42 U.S.C. 282(j)
FDA Reference Number: CDER-2024-109
NCT03633058

Dear Dr. Neul and Dr. von Hehn:

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 you are 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

[1] *See* sections 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." We recognize that Rett Syndrome Research Trust is listed as the responsible party for this applicable clinical trial in the ClinicalTrials.gov data bank. Given the definition of "responsible party" in the statute and regulations, and the definition of "sponsor" in 21 CFR 50.3, we have concluded that you, Jeffrey L. Neul, M.D., Ph.D., are the responsible party and the sponsor for this applicable clinical trial.
[2] *See* sections 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."

U.S. Food & Drug Administration
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must be submitted no later than one year after the primary completion date[3] of the applicable clinical trial, unless the responsible party has submitted a timely 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.[4]

FDA has identified potential noncompliance related to the above-identified clinical trial, titled "A Randomized, Double-blind, Placebo-controlled, Cross-over Study to Assess the Safety, Tolerability and Efficacy of Oral Ketamine for Patients With Rett Syndrome." This trial was a phase 2, randomized, cross-over study evaluating the safety, tolerability, and efficacy of oral ketamine for the treatment of subjects with Rett Syndrome. It appears that results information for the referenced applicable clinical trial has not been submitted to the ClinicalTrials.gov data bank. Moreover, it appears that you failed to update the responsible party contact information for this clinical trial as required under 42 CFR 11.64(a)(1)(ii)(L).[5] You should review your records of this clinical trial and determine whether you submitted all required information. If you determine that this information is required and due for this clinical trial, please submit the information promptly.

Failure to submit clinical trial information[6] 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)). Beginning 30 calendar days after you receive this letter, FDA intends to further review and assess the above-identified clinical trial. If FDA determines that you have 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, you may receive from FDA a Notice of Noncompliance,[7] and FDA may thereafter initiate an administrative action seeking a civil money penalty.[8] In addition to civil money penalties,

[3] *See* 42 CFR 11.10 for the definition of "primary completion date." *See also* section 402(j)(1)(A)(v) of the PHS Act (42 U.S.C. 282(j)(1)(A)(v)), which defines "completion date." As reflected in 42 CFR 11.10, the terms "primary completion date" and "completion date" are synonymous for the purposes of 42 CFR part 11.

[4] *See* sections 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.

[5] For applicable clinical trials initiated on or after January 18, 2017, such as the referenced clinical trial, 42 CFR 11.64(a)(1)(ii)(L) requires that responsible party contact information be "updated not later than 30 calendar days after a change in the responsible party or the contact information for the responsible party." If you are no longer the responsible party for this clinical trial, you should notify FDA and must update this information in the ClinicalTrials.gov data bank.

[6] *See* sections 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."

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

[8] 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." Moreover, section 303(f)(3)(B) of the FD&C Act (21 U.S.C. 333(f)(3)(B)) provides that "[i]f 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 notification 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." These civil money penalty amounts reflect the amounts found in the statute.

violations of section 301(jj) of the FD&C Act (21 U.S.C. 331(jj)) could result in other regulatory action, such as injunction and/or criminal prosecution, without further notice.

As requested, please review your clinical trial records and submit any required results information to the ClinicalTrials.gov data bank. We also request that you review all applicable clinical trials for which you are the responsible party to ensure compliance with all ClinicalTrials.gov registration and results information submission requirements. You can access the ClinicalTrials.gov website at https://register.clinicaltrials.gov.

If you have any questions about this letter, you may call Miah Jung, Pharm.D., M.S., at (240) 402-3728. Please have the FDA reference number provided at the top of this letter available when you call. Alternatively, you may e-mail FDA at CDER-OSI-Advisory@fda.hhs.gov. Please include the FDA reference number with any e-mail communications.

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.

We request that you submit a written response to FDA within 30 calendar days after you receive this letter, stating the actions you have taken in response to this letter. If you believe that you have 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.

Miah Jung, Pharm.D., M.S.
Branch Chief
Compliance Enforcement Branch
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}

Laurie Muldowney, M.D.
Deputy Director
Office of Scientific Investigations
Office of Compliance
Center for Drug Evaluation and Research
U.S. Food and Drug Administration

cc: Jeffrey L. Neul, M.D., Ph.D.
Vanderbilt University Medical Center
Vanderbilt Kennedy Center
405 One Magnolia Circle Bldg.
110 Magnolia Circle
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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/

LAURIE B MULDOWNEY
12/19/2023 10:53:42 AM