

ANNUAL REPORT 2016

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2016 HIGHLIGHTS

- Our pipeline remained robust with over 300 proposals considered.
- Our portfolio companies raised an aggregate \$56M in co-investments, follow-on financing, and grants.
- miRagen Therapeutics announced a definitive merger agreement with Signal Genetics, Inc. (NASDAQ: SGNL). The financing will fund R&D and ongoing clinical programs in oncology and fibrosis. The company will also continue to develop its preclinical assets in cardiovascular disease.
- We expanded our Strategic Advisory Board with the addition of Dr. Costantino Iadecola, Director of the Brain & Mind Research Institute at Weill Cornell Medical College.
- The Leducq organization's new Chief Scientific Officer, Dr. Mariell Jessup, will support Broadview Ventures as an in-house advisor. Dr. Jessup was formerly the Medical Director of UPenn's Heart and Vascular Center, and Clinical Chief of the Cardiovascular Division. She is also a past President of the American Heart Association.
- Broadview Ventures and Leducq Corporation relocated to new shared office space at 265 Franklin Street in Boston, MA.

OUR PORTFOLIO

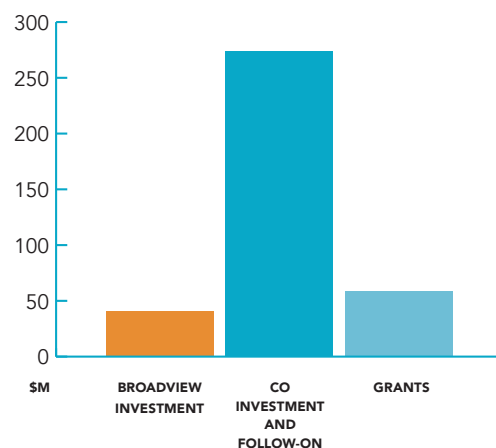
Broadview Ventures made 3 new investments in 2016:

- FineHeart—fully implantable and wirelessly powered intraventricular mechanical circulatory support device
- Gila Therapeutics—PYY delivered via the oral mucosa for the management and treatment of obesity
- Aeromics—Aquaporin 4 (AQP4) channel inhibition for the treatment of stroke-related cerebral edema

This year, across our portfolio, our co-investors included: Sofimac Parters, M Capital Partners, Connecticut Innovations, Slater Technology Fund, CTI Life Sciences, Zoll Medical, Ascension Ventures, and ONSET Ventures, among others.

Our portfolio companies achieved important milestones:

- Acesion—awarded Wellcome Trust Translation Award and received the 2016 Ernst & Young Danish Entrepreneur of the Year award within lifesciences
- Aggamin—began Phase 0/I study to test the safety of its novel therapy for preeclampsia
- Apama—initiated a robust FIH trial to evaluate its novel ablation catheter in patients with AF
- Cardero—received an IND to begin a heart failure study in patients with Duchenne's Muscular Dystrophy, in collaboration with UC Davis
- FineHeart—was selected as one of the 10 most promising European startups through the BigBooster International Startup Acceleration Program
- Herantis—initiated first-in-human study with Lymfactivin, a gene-therapy based treatment for lymphedema
- InfoBionic—commercially launched the Mome® Kardia, a wireless remote monitoring system for the detection and diagnosis of arrhythmias
- miRagen—initiated first-in-human studies in oncology and fibrosis



BROADVIEW'S INVESTMENTS ARE LEVERAGED 8X BY CO-AND FOLLOW-ON INVESTMENTS, AND NON-DILUTIVE GRANT FUNDING

OUR MISSION

In 2008, the Leducq Family Trust established Broadview Ventures to accelerate the development of promising technology for the diagnosis and treatment of cardiovascular and neurovascular disease through targeted investments.

INVESTMENTS THROUGH 2016

Company	Technology/Therapy	Founders/Management
2016 FineHeart Gila Therapeutics Aeromics	fully implantable, miniaturized circulatory support device for HF PYY for management and treatment of obesity novel drug candidate for stroke-related cerebral edema	Philippe Ritter, Stephane Garrigue, Arnaud Mascarell Andres Acosta, Tom Vasicek, Sergei Zolotukhin Walter Boron, Marc Pelletier
2015 Pulmokine 480 Biomedical Cardero Therapeutics	small molecule for pulmonary artery hypertension bioresorbable stent for multiple indications mitochondrial biogenesis platform technology	Larry Zisman, Shreefal Mehta Bob Langer, George Whitesides, Maria Palasis George Schreiner, Sundeep Dugar
2014 ZZ Biotech Ischemia Care Acesion Pharma Aria CV	peptide therapeutic for stroke gene-based diagnostic for stroke small molecule therapeutic for AF device for pulmonary artery hypertension	Berislav Zlokovic, Kent Pryor Jeff June Ulrik Sørensen, Morten Grønnet John Scandurra, Karl Vollmers
2013 Zumbro Discovery BioKier Remedy GI Windows	peptide therapeutic for treatment of resistant hypertension small molecule anti-diabetic treatment small molecule for the treatment of stroke non-surgical approach to gastric bypass	John Burnett, Horng Chen George Szweczyk, Roger Nolan Sven Jacobsen Chris Thompson, Marvin Ryou, James Wright
2012 VGS InfoBionic Herantis DeclImmune	external support for saphenous vein grafts in CABG cloud-based remote arrhythmia monitoring VEG-F based gene therapy for lymphedema MAb for treatment of post MI and I/R injury	Eyal Orion, Yanai Ben Gal Jeremy Ruskin, Nancy Briefs Pekka Simula Christopher Mirabelli, Walter Newman
2011 Cardialen NuPulse Aggamin Provasculon* Apama	implantable pain-free cardioversion for the treatment of AF counterpulsation device for the treatment of HF novel preeclampsia treatment peptide therapeutics for treatment of MI and I/R injury novel ablation system for treatment of AF	Igor Efimov, Paula Skjefte Valluvan Jeevanandam, Douglas Altschuler Ravi Thadhani, Paul Kussie, Ananth Kamuranchi Rich Lee, Roger Kitterman Amr Salahieh
2010 Allosteros Intravascular Imaging Capricor* CellAegis	CaMKII inhibitors for HF and AF NIRF device for intracoronary artery imaging allogeneic stem cell therapy after MI remote ischemic conditioning for MI	Howard Schulman, Mark Anderson Farouc Jaffer, Vasilis Ntziachristos Eduardo and Linda Marbán Andrew Redington, Chris Calderone, Rocky Ganske
2009 CardiAQ Valve* VetriNova miRagen	transcatheter mitral valve gene therapy for regeneration of cardiac tissue microRNAs for cardiovascular and oncology indications	Brent Ratz, Arshad Quadri, Rob Michiels Hina Chaudhry Bruce Booth, Mike Bristow, Eric Olson

* Exited

BROADVIEW TEAM

MANAGEMENT

Christopher Colecchi
Managing Director

Maria Berkman
Christopher de Souza
Rick Jones
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Nichole Schiffer

ADVISORS

Annabel Chen-Tournoux
Teo Dagi
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STRATEGIC

ADVISORY BOARD

Eugene Braunwald
Kim Fox
Thomas Hughes
Costantino Iadecola
Jerry Karabelas
Martín Landaluce
Joseph Loscalzo
Eric Rose
David Tancredi

BROADVIEW INVESTMENTS BY INDICATION

