



Joseph L. Faber

Principal

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he/him

Industry Experience

Associate General Counsel

Millennium Pharmaceuticals, Inc. (now Takeda Pharmaceutical Company Limited)

Vice President and Associate General Counsel

United Asset Management Corporation (now Old Mutual Asset Management)

Joe is the Managing Principal of Faber Daeufer & Itrato, and a member of the firm's Equity, Diversity & Inclusion Committee Council. Joe often serves as outside general counsel for venture-backed drug discovery and development companies. In addition, he functions as lead outside transactional counsel for emerging companies seeking strategic business partnering or private financing, as well as for mature companies seeking to acquire technologies and platforms.

EXPERIENCE

Millennium Pharmaceuticals, Inc. (now Takeda Pharmaceutical Company, Limited)

Associate General Counsel

- Managed the Corporate Law and Research and Product Alliance Groups
- Served on the executive management team responsible for the corporate strategic planning process
- Served on the Strategic Business Team that managed Millennium's oncology franchise
- Led a coalition of biotechnology companies and the Biotechnology Industry Organization to obtain the issuance of SEC Rule 3a-8, which substantially increased opportunities for strategic investments by cash-rich biopharmaceuticals in early-stage growth companies

United Asset Management Corporation (now Old Mutual Asset Management; then a NYSE-listed holding company with \$200B under management)

Vice President and Associate General Counsel

- Served on the strategic deal team that acquired over 40 investment advisory firms located in the US and Europe

Hill & Barlow

Corporate lawyer concentrating on mergers and acquisitions and venture capital

Bar Admissions

- Maine
- Massachusetts
- New York

Education

- Boston University School of Law, J.D.
- Harvard College, A.B.



Joe Faber (continued)

RECENT CLIENT WORK

Private Financing

- Sale of royalty rights on certain therapeutic product candidates by Lundbeckfond Ventures to New Enterprise Associates
- Strategic grant funding by Ibis Reproductive Health in Laboratoire HRA-Pharma
- Advice on grant funding strategies to Food Allergy Science Initiative
- Re-organization and equity financing of XyloCor Therapeutics
- Spin-out of Synspira from Synedgen, and research funding agreement in Synspira by Cystic Fibrosis Foundation
- Strategic grant funding by Cure GM1 Foundation in Dorphan S.A.
- Organization and equity financing of Guardian Therapeutics from private strategic investor
- Equity and debt financings of PanOptica
- Equity financings of Praxis Precision Medicines
- Investment in Prisyne business division of Synedgen from private strategic investor
- Investment in WoundCare business division of Synedgen from private strategic investor
- Equity investment by Lundbeckfond Ventures and MRL Ventures (Merck) in Spero Therapeutics
- Equity investment by Novo A/S in Galera Therapeutics
- Spin-out and equity financing of Kinogen from Dana-Farber Cancer Institute
- Spin-out and equity financing of Mellitus from Harvard Medical School; multiple convertible debt financings and venture equity financings
- Spin-out of epigenetic modulators for CNS disorders by Proteros Biostructures, and equity financing from Atlas Ventures and J&J Development Corp. to launch Rodin Therapeutics
- Organization, equity and debt financings of AesRx (now Shire)
- Equity financings of Anterios, and strategic investment from Pacific Corp (South Korea)
- Equity financings of Civitas Therapeutics (now Accorda Therapeutics), and repayable grant from Michael J. Fox Foundation for Parkinson's Research
- Equity and debt financings of Lux Biosciences
- Equity and debt financings of MedAvante
- Venture debt financing of PTC Therapeutics
- Development of impact investing model for Partners HealthCare System



Joe Faber (continued)

- Sale of Eligard® royalty by MediGene to Healthcare Royalty Partners (formerly Cowen Healthcare Royalty Partners)

Strategic Transactions

- Alnylam Pharmaceuticals acquisition of Sirna Therapeutics from Merck for \$175 million plus milestones and royalties
- Sale of Phenex Pharmaceuticals' FXR program for the treatment of NASH and other liver diseases to Gilead Sciences for up to \$470 million
- Sale of vivoPharm to Cancer Genetics for \$12 million
- Acquisition by Guardian Therapeutics of Band Therapeutics
- Sale of Custom Automated Prosthetics to Henry Schein
- Business combination of BioSTAR West and Hawaii Chitopure to form Synedgen
- Sale of Taligen Therapeutics to Alexion for \$111 million plus contingent payments
- Sale of PhosImmune to Agenus for \$10 million plus contingent payments
- Sale of CytoSolv to Semma Therapeutics for undisclosed payments
- Acquisition by AesRx of a Phase I sickle cell program from Xechem International (and related amendment and restatement of in-license agreement with Virginia Commonwealth University)
- Sale of AesRx (with a Phase II sickle cell program) to Baxter Healthcare
- Strategic investment by Alnylam Pharmaceuticals in Tekmira Pharmaceuticals in connection with business combination of Tekmira Pharmaceuticals and Protiva Biotherapeutics
- Strategic investment in CliniWorks from IMS Health
- Strategic investment in Ossianix from H. Lundbeck
- Launch by scientific founders of Tempero Pharmaceuticals, including strategic investment from GlaxoSmithKline
- Spin-out of Florida Biologix business from University of Florida, and equity financing (now Brammer Bio)
- Acquisition of PharmPro division of FluidAir by Mutual Pharmaceutical Company
- Acquisition by Ophthotech of PDGF aptamer program from OSI Pharmaceuticals
- In-license and development collaboration for Lux Biosciences with Isotechnika Pharma, and in-license of delivery technology platforms by Lux Biosciences from Rutgers University (NJ Center for Biomaterials) and University of Missouri at Kansas City

COMMUNITY

Joe is or has been involved in a wide range of philanthropic and community organizations. His current activities include:



Joe Faber (continued)

- **The Center for Discovery**, Pro bono counsel for R&D initiatives at a leading provider of medical and clinical care and education services for people with complex developmental disabilities.
- **Dana-Farber Cancer Institute and Partners in Health**, Pro bono counsel for an international health services joint venture.
- **Black Owned Maine**, Pro bono counsel for not-for-profit seeking to raise awareness and opportunities for Black entrepreneurs in Maine.
- **Center for Maine Contemporary Art**, Board of Trustees, Finance Committee, and Search Committee (for Executive Director and Chief Curator).
- **Innovation, Development, and Entrepreneurship in Anesthesia (IDEA) Lab at Dartmouth-Hitchcock Medical Center**, Advisory Board.
- **LabShares Newton**, Advisory Board.

His past activities include:

- **Partners Healthcare Center for Personalized Genetic Medicine**, Genetics Advisory Council, past member.
- **Columbia University's College of Physicians and Surgeons**, Medical Science and Technology Council, past member.
- **CAVU Foundation**, Board of Directors, past member. CAVU supported community programs that enhance the health care of underserved children in Massachusetts.
- **Venturing Out**, Board of Directors, past member. Venturing Out was an innovative not-for-profit organization that taught entrepreneurship to incarcerated and court-involved adults and high-risk youth.
- **The Possible Project**, Co-Founder of a not-for-profit that helps young people imagine, create and run their own business.
- **Slow Money**, Maine and New York chapters. Joe worked with leadership to create pathways for individuals and families to provide financial assistance to farmers and agriculture businesses promoting sustainable local food systems. He also developed novel "patient loan" structures that have been used to raise critical financing for businesses that are re-building agricultural and fisheries food infrastructures.

Joe has spoken on business law and ethics at the Massachusetts Institute of Technology (Program of Health Sciences and Technology), Ross School of Business at the University of Michigan (Net Impact Conference), and Boston College Law School.

Joe was a member of the National Finance Council and actively involved in the voter protection team for the Stacey Abrams for Governor campaign.

Joe is a member of the Mondaire Jones for Congress Finance Committee.

The logo for Faber Daeufer & Itrato PC, featuring the word "faber" in a lowercase, italicized serif font. The letter "a" is lowercase and has a red underline. The letters "b", "e", and "r" are lowercase and have a red underline. The letters "f", "d", and "i" are lowercase and do not have a red underline.