



PMI RESEARCH & DEVELOPMENT

Study ZRHM-REXA-07-JP

Clinical Study Report Appendix 16.1.7

Audit Certificates

Study Title:	A randomized, controlled, open-label, 3-arm parallel group, multi-center study to demonstrate reductions in exposure to selected smoke constituents in healthy smokers switching to the Tobacco Heating System 2.2 Menthol (THS 2.2 Menthol) or observing smoking abstinence, compared to continuing to use menthol conventional cigarettes, for 5 days in confinement and prolonged by 85 days in an ambulatory setting
Study Number:	ZRHM-REXA-07-JP
Product Name:	Tobacco Heating System 2.2 Menthol (THS 2.2 Menthol)
Study Initiated (first subject screened):	01 August 2013
Study Completed (last subject last visit):	03 July 2014
Principal Investigator and Affiliation:	Mamoru Oki, MD, PhD, Seishukai Clinic 3-18-5, Matsugaya, Taitou-ku Tokyo 111-0036, Japan Professor Masahiro Endo, MD, Tokyo Heart Center Osaki Hospital, 5-4-12, Kita-Shinagawa, Shinagawa-ku, Tokyo 141-0001, Japan
Sponsor:	Philip Morris Products S.A. PMI Research & Development Quai Jeanrenaud 5 2000 Neuchâtel, Switzerland
Sponsor Signatories:	Christelle Haziza, PhD, Manager P1 Clinical Program, Clinical Scientist Nicola Lama, PhD, Biostatistician Andrea Donelli, Clinical Scientist Patrick Picavet, MD, Medical Safety Officer
Version:	1.0
Date:	24 February 2016

This study was conducted in accordance with Good Clinical Practice.

Confidentiality Statement

This document is confidential. Disclosure of any of its contents to third parties is not permitted except by the prior written consent of Philip Morris Products S.A.



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16.1.7 Audit Certificates

**Audit Certificate**

The Quality Assurance Department, (b) (4) has conducted the audits as follows.

11/December/2014

Auditor Responsible

Quality Assurance Dept. (b) (4)

11. Dec. 2014

(b) (4)

1. Audited Clinical Study

- 1) Title of Clinical Study: A randomized, controlled, open-label, 3-arm parallel group, multi-center study to demonstrate reductions in exposure to selected smoke constituents in healthy smokers switching to the Tobacco Heating System 2.2 Menthol (THS 2.2 Menthol) or observing smoking abstinence, compared to continuing to use menthol conventional cigarettes, for 5 days in confinement and prolonged by 85 days in an ambulatory setting
- 2) Investigational Medical Product: Tobacco Heating System 2.2 Menthol (THS 2.2 Menthol)
- 3) Study Protocol Number: Not assigned (Study number: ZRHM-REXA-07-JP)

2. Audit Details

Period	Type of Audit	Subject of Audit
12 September 2013	For-Cause Audit	Seishukai Clinic
19-20 September 2013	For-Cause Audit	Seishukai Clinic
24-25 September 2013	Medical Institution Audit	Seishukai Clinic



AUDIT CERTIFICATE



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Audited Company or Site	Osaki Hospital Tokyo heart center 5-4-12, Kitashinagawa, Shinagawa-ku / Tokyo 141-0001 Japan								
Audit Date(s)	14th Feb 2014								
Study No	ZRHM-REXA-07-JP								
Clinical Study Protocol Title	A randomized, controlled, open-label, 3-arm parallel group, multi-center study to demonstrate reductions in exposure to selected smoke constituents in healthy smokers switching to the Tobacco Heating System 2.2 Menthol (THS 2.2 Menthol) or observing smoking abstinence, compared to continuing to use menthol conventional cigarettes, for 5 days in confinement and prolonged by 85 days in an ambulatory setting.								
Sponsor	Philip Morris Products S.A. Sponsor Quai Jeanrenaud 5, 2000 Neuchatel - Switzerland								
Principal Investigator	Professor Masahiro Endo M.D.								
<p>We hereby certify that an independent audit has been performed within the above mentioned Site. This audit was conducted according to PMI Research and Development Standard Operating Procedures and included the following:</p> <table border="0"><tr><td>Purpose of Audit:</td><td>Reference Used:</td></tr><tr><td><ul style="list-style-type: none">Follow Up Audit related to routine Audit NOT_2014_002To determine whether the ZRHM-REXA-07-JP related activities were conducted, and the data were recorded, and accurately reported according to the protocol, sponsor's/site standard operating procedures (SOPs), and Good Clinical Practice (ICH-GCP).Ensure that the rights, integrity, and confidentiality of trial subjects are respected</td><td><ul style="list-style-type: none">Study Protocol # ZRHM-REXA-07-JPICH-GCP</td></tr></table> <table border="0"><tr><td>Auditee(s):</td><td>Auditor(s):</td></tr><tr><td><ul style="list-style-type: none">Professor Masahiro Endo M.D. PIYuko Yamanaka Quality Management Division Head</td><td><ul style="list-style-type: none">(b) (4)Olivier PETIT QA Officer – PMI RD</td></tr></table>		Purpose of Audit:	Reference Used:	<ul style="list-style-type: none">Follow Up Audit related to routine Audit NOT_2014_002To determine whether the ZRHM-REXA-07-JP related activities were conducted, and the data were recorded, and accurately reported according to the protocol, sponsor's/site standard operating procedures (SOPs), and Good Clinical Practice (ICH-GCP).Ensure that the rights, integrity, and confidentiality of trial subjects are respected	<ul style="list-style-type: none">Study Protocol # ZRHM-REXA-07-JPICH-GCP	Auditee(s):	Auditor(s):	<ul style="list-style-type: none">Professor Masahiro Endo M.D. PIYuko Yamanaka Quality Management Division Head	<ul style="list-style-type: none">(b) (4)Olivier PETIT QA Officer – PMI RD
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AUDIT CERTIFICATE



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- Akihiro Nanri SSI Team member
- Maiko Takahira SSI Manager
- Chieko Imabayashi SSI Assistant Manager
- Michihiro Otsuka SSI Team member
- Yukari Kurosawa SSI Team member
- Hirohisa Tanaka SSI Team member

Date of certificate:

12 March 2014

Certified by:

Olivier Petit

Name of PMI representative

Function QA Officer GCP

PMI Research and Development



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Audited Company or Site	Osaki Hospital Tokyo heart center 5-4-12, Kitashinagawa, Shinagawa-ku Tokyo 141-0001 Japan
Audit Date(s)	19-20/11/2013
Study No (if applicable)	ZRHM-REXA-07-JP
Clinical Study Protocol Title (if applicable)	A randomized, controlled, open-label, 3-arm parallel group, multi-center study to demonstrate reductions in exposure to selected smoke constituents in healthy smokers switching to the Tobacco Heating System 2.2 Menthol (THS 2.2 Menthol) or observing smoking abstinence, compared to continuing to use menthol conventional cigarettes, for 5 days in confinement and prolonged by 85 days in an ambulatory setting.
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Principal Investigator (if applicable)	Professor Masahiro Endo M.D., PI
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Auditee(s):	Auditor(s):
<ul style="list-style-type: none">Professor Masahiro Endo M.D., PIYukari Kurosawa, Vice Director of THC(b) (4)(b) (4)Maiko Takahira, SSI ManagerChieko Imabayashi, SSI Assistant ManagerMichihiro Otsuka, SSI Team memberHirohisa Tanaka, SSI Team memberAkihiro Nanri, SSI Team member	<ul style="list-style-type: none">(b) (4)O. Petit, PMI R&D – QA Officer Auditor in training(b) (4)
Date of certificate: 30/01/2014	Certified by: (b) (4) PMI Research and Development