



COLLABORATION, GROWTH AND IMPACT

ANNUAL REPORT 2018



SAMUEL WAXMAN CANCER
RESEARCH FOUNDATION

ANNUAL REPORT 2018

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The Samuel Waxman Cancer Research Foundation mission is to eradicate cancer by funding collaborative cross-institutional research to identify and correct abnormal gene function that causes cancer. This research is the basis for developing minimally toxic treatments for all patients with cancer.



A YEAR OF PROGRESS AND PROMISE

Dear Friend,

Thanks to your generous support, 2018 was a stellar year for the Samuel Waxman Cancer Research Foundation (SWCRF). Your generosity helped the SWCRF to allocate more than 2 million dollars in new grants and increase the number of scientists we fund in the Institute Without Walls to fifty, an increase by twenty.

Growth in philanthropic support means that the SWCRF has more resources to invest in research that is laser-focused on correcting the abnormal gene function, the root cause of cancer.

These resources include 1.4 million dollar's worth of funding that the SWCRF awarded to 7 scientists with two-year grants of \$200,000 each.

Also, we reached a significant milestone in our Partnerships for Aging and Cancer research program with the National Cancer Institute (NCI) and National Institute on Aging (NIA). The NCI selected 14 scientists who will begin a two-year research collaboration. This innovative \$3 million "private-public" partnership pairs experts in aging with experts in cancer who will examine why aging is now the leading risk factor for developing cancer.

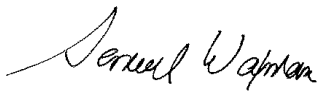
We continue to measure our successes by the advances in funded research that uncovers the genetic and epigenetic causes of cancer and exciting breakthroughs in minimally-toxic treatments.

Thank you for investing in our research growth and being partners with us in our quest to eradicate cancer.

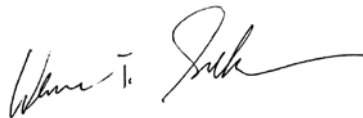
Very truly yours,



Michael Nierenberg
Chairman



Samuel Waxman, MD
Founder and CEO



William T. Sullivan
Executive Director



Michael Nierenberg



Samuel Waxman, MD



William T. Sullivan

A YEAR IN PHOTOS

Throughout the year, the SWCRF community gathered to advance cancer research and make memorable moments. Here are just a few.

APRIL 29



More than 40 SWCRF-funded scientists and collaborating investigators presented reports of their research at the annual Scientific Review held at the Ichan School of Medicine at Mount Sinai Hospital.

APRIL 30



SWCRF Chief Scientific Officer Dr. Jonathan Licht presented the 2018 David T. Workman Memorial Award to Craig B. Thompson, MD, president and CEO of Memorial Sloan Kettering Cancer Center at the annual Breakthroughs Symposium. Dr. Thompson received the recognition for his leadership role in the development of an innovative therapy for acute myeloid leukemia (AML). Pictured (l) to (r): Ramon Parsons, MD, PhD; William T. Sullivan; Jonathan Licht, MD; Craig Thompson, MD; and Samuel Waxman, MD.

JULY 14



The 14th Annual Hamptons Happening raised a record \$430,000 and was held at the Bridgehampton estate of Kenneth and Maria Fishel. The annual food and wine event honored real estate developer Joe Farrell, Michelin-star chef Matt Lambert and fashion designer Ramy Brook Sharp. Chris Wragge of CBS 2 News once again served as master of ceremonies.

SEPTEMBER 30



Dr. Waxman receives the "Friendship Medal" from China's Vice-Premier, Liu He.

The government of China honored Dr. Samuel Waxman with their Friendship Award medal, the country's highest honor awarded to foreign civilians. The Vice-Premier of the People's Republic of China, Liu He, presented the medal to Dr. Waxman at a ceremony in Beijing. Following this event, Dr. Waxman met with SWCRF-funded investigators and health leaders in Shanghai.



Yo-Xin Zeng, Vice Minister of Health, Samuel Waxman, M.D., Zhu Chen, Vice-Chairman of the National People's Congress and Dr. Saijuan Chen, an SWCRF-funded investigator.

MAY 6



In 2018, the SWCRF became an official charity partner with the TD Five Boro Bike Tour, a popular spring event that attracts up to 30,000 cyclists for a 40-mile ride through the five boroughs of NYC. A team of 10 cyclists raised \$12,500 for the SWCRF.

MAY 15



The SWCRF held its 5th annual Collaborating for a Cure Ladies Luncheon at the home of philanthropist Susan Gutfreund and raised more than \$40,000 for cancer research. The event was chaired by Lauren Lawrence, Pamela Morgan, and Marion Waxman and Erica Linden-Fineberg as co-chair, and featured the trendsetting international fashion designer Jason Wu's summer and fall collections. Pictured (l) to (r): Susan Gutfreund, Marion Waxman, Pamela Morgan, Lauren Lawrence and William T. Sullivan.

JUNE 25



The 36th Annual Golf Tournament and dinner honored Ofer Yardeni, Chairman and CEO of Stonehenge Management. More than 100 golfers participated and raised over \$240,000 for cancer research. SWCRF board members Dennis Herman and Gary Jacob chaired the event held at the Fresh Meadow Country Club in Lake Success, New York. Pictured (l) to (r): Patrick Jones, representing Patron Sponsor AmTrust Financial, Ofer Yardeni, event honoree and Silver Sponsor and Benjamin Young with BlackRock.

OCTOBER 7



Dr. Samuel Waxman appeared on the PIX11 News show "Up Close with Marvin Scott" to talk about the latest in cancer research and promising treatments.

NOVEMBER 15



Undeterred by a blizzard, guests, board members, supporters and staff of the SWCRF celebrated the 21st anniversary of the Collaborating for a Cure Gala at Cipriani Wall Street and raised more than \$2.5 million in support of the foundation. Attendees enjoyed a cozy evening with a five-star meal, auction, and a private musical concert by Dawes who performed at the gala as part of their world tour. Richard Volpe of Nomura Securities spoke on how his family was touched by cancer and why supporting research is so vital. Pictured (l) to (r): Christian, Richard and Alison Volpe.

SWCRF INVESTS MORE THAN \$2 MILLION FOR RESEARCH

The SWCRF invested more than \$2 million to fund both its key research programs and ongoing research grants of scientists who are part of the Institute Without Walls. This is one of the largest rounds of funding in the Foundation's history, which was made possible through the generosity of individuals, private foundations, and corporations during the past year.

The funding includes new research grants awarded in the Partnerships for Aging and Cancer and seven innovative research grants. The grants bring nearly 20 newly-invited scientists to the SWCRF Institute Without Walls international network of collaborating research investigators and laboratories.

"I am excited about these teams of innovative investigators and their potential to uncover new strategies for cancer prevention and treatment."

— Richard J. Hodes, MD, NIA Director

FOURTEEN SCIENTISTS SELECTED TO STUDY AGING AND CANCER

Fourteen scientists were awarded research grants to study the links between aging and cancer from the Partnership for Aging and Cancer Research Program, a research collaboration between the SWCRF, National Cancer Institute (NCI) and National Institute on Aging (NIA). The Partnership launched in 2018 as a two-year, \$3 million pilot to fund cross-institutional and cross-disciplinary research that will focus on why aging is a leading risk factor for getting cancer.

This partnership model pairs investigators who study cancer with investigators who study aging. An independent panel of scientists organized by the NCI reviewed all research proposals to select the fourteen investigators.

The SWCRF has launched a \$20 million campaign to fund more independent but collaborative research in aging and cancer.



James V. DeGregori, PhD University of Colorado, Denver collaborating with **Ranjan Sen, PhD**, National Institute on Aging

Research Focus:

Understanding and Circumventing Aging-Dependent Changes in the Bone Marrow Microenvironment that Promote Leukemogenesis



Hariharan Easwaran, MSc, PhD, Johns Hopkins University collaborating with **Rafael DeCabo, PhD**, National Institute on Aging

Research Focus:

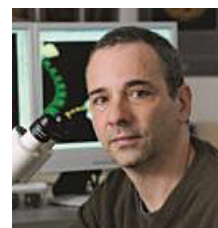
Characterizing Age-Associated Epigenetic Alterations and Their Roles in Tumor Development



Doris Germain, PhD, Icahn School of Medicine at Mount Sinai collaborating with **Rafael DeCabo, PhD**, National Institute on Aging

Research Focus:

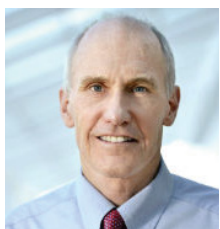
The Role of the Mitochondrial Unfolded Protein Response in the Etiology of Breast Cancer in Young Versus Elderly Women



Margaret Goodell, PhD, Baylor College of Medicine collaborating with **Andre Nussenzweig, PhD**, National Cancer Institute

Research Focus:

Clonal Hematopoiesis, Aging and Genome Stability in Ppm1d Mutants



Carl June, MD, University of Pennsylvania collaborating with **Nan-ping Weng, MD, PhD**, National Institute on Aging

Research Focus:

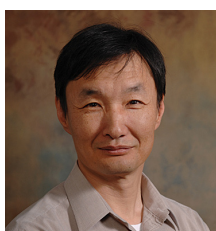
Determinants of Cd8+ T Cell Aging and Reduced Function in B Cell Cancer



Cristina Montagna, PhD, Albert Einstein College of Medicine collaborating with **Thomas Ried, MD**, National Cancer Institute

Research Focus:

Age Associated Genomic Instability and Brain Tumor Risk



Mary Stack, PhD, University of Notre Dame collaborating with **Christina Annuziata, MD, PhD**, National Cancer Institute and **Arya Biragyn, PhD**, National Institute on Aging

Research Focus:

Aging and the Ovarian Tumor Microenvironment

“Through the NCI-SWCRF collaboration, I am confident that the new results obtained from this Partnership will better inform our understanding of the interplay between aging and cancer,”

— **Douglas R. Lowy, MD, NCI Acting Director**

SEVEN INVESTIGATORS AWARDED 2019-2021 GRANTS

The SWCRF awarded \$1.4 million in new grants to scientists researching aging and cancer, differentiation therapy, abnormal gene expression, and epigenetic therapies.

Earlier this year, the SWCRF issued a Request for Applications (RFA) to cancer research institutions worldwide and received more than fifty applications. After careful peer review, the SWCRF scientific leadership selected seven new investigators for their innovative research projects and awarded each \$200,000 in grant funding over two years. About half of the grants will study aging and cancer and the remainder examining abnormal gene expression associated with cancer.

Grant recipients are expected to declare collaboration with at least one other investigator who is a member of the SWCRF Institute Without Walls for joint publications, grant applications, and other mechanisms that support the mission of the Foundation. These investigators present a progress report of their research findings at the annual SWCRF symposium for peer review.

The 2019-2021 individual research grant recipients are:



Tyler J. Curiel, MD, MPH

The University of Texas Health Science Center at San Antonio

Research focus:

Age effects of T cell stem cells, cancer stem cells and immune checkpoints on cancer immunotherapy



Ronald M. Evans, PhD

The Salk Institute for Biological Studies

Research focus:

FXR as a novel therapeutic target in Colitis-induced Colorectal Cancer



Maria E. Figueroa, MD

University of Miami

Research focus:

The role of age-related reprogramming of KLF6 in HSC dysfunction and myeloid malignancies



Jan Karlseder, PhD

The Salk Institute for Biological Studies

Research focus:

The regulation of proliferative boundaries by autophagy

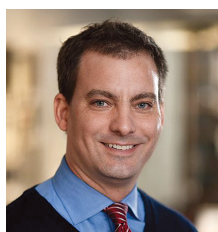


Ross Levine, MD

Memorial Sloan Kettering Cancer Center

Research focus:

Determining the role of somatic clonal evolution in aging, hematopoiesis, and predisposition to malignancies



Joel Neilson, PhD

Baylor College of Medicine

Research focus:

In vivo disruption of a novel translation pre-initiation complex as a putative therapeutic vulnerability for breast cancer differentiation therapy



Emmanuelle Passegue, PhD

Columbia University

Research focus:

Autophagy and Hematopoietic stem cell function in aging and leukemia

COLLABORATIONS FOR A CURE

UPDATES ON SWCRF-FUNDED RESEARCH

TARGETING BRAIN CANCER



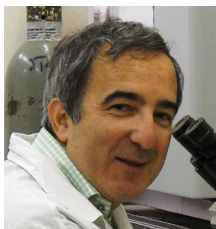
Kevan Shokat, PhD
University of California
San Francisco



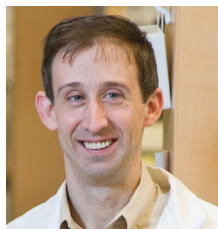
William Weiss, MD, PhD
University of California
San Francisco

The research collaboration between Dr. Shokat and Dr. Weiss is targeting EGFR, a genetic signal that is responsible for driving the formation of glioblastoma, the most common and deadly form of brain cancer. A significant problem with current treatments is that the drugs cannot penetrate the brain barrier. Through a clinical trial, Drs. Shokat and Weiss are currently studying the results of a therapy regimen that will overcome the brain's barrier. Since the risk of developing glioblastoma increases in people over the age of 50, their research collaboration is contributing to the SWCRF Partnership for Aging and Cancer Program.

THERAPIES FOR PEDIATRIC BLOOD CANCERS



Shai Izraeli, MD
Tel Aviv University
Medical School



John Crispino, PhD
Northwestern University
School of Medicine

Dr. Shai Izraeli, a cancer geneticist, is collaborating with Dr. John Crispino, a cancer biologist, to advance treatments for children with leukemia. Their collaboration bridges Dr. Izraeli's research lab at Tel Aviv University, and work as Director of the Schneider's Children Medical Center of Israel with Dr. Crispino's lab at Northwestern University. During the past year, the collaborating scientists completed a Phase 1 clinical trial that curtailed the growth of abnormal blood cells in myelofibrosis, a form of leukemia that forms in the bone marrow. They are now planning an advanced clinical study for this treatment. The collaboration also moved a step closer to developing treatments for a form of leukemia that is common in children with Down's Syndrome.

RESEARCHING A RARE CANCER, WHY?



Christopher French, MD
Brigham and Women's
Hospital



Stephen Blacklow, MD
Dana-Farber Cancer
Institute

SWCRF-funded investigator Dr. Christopher French a cancer pathologist, collaborated with Stephen Blacklow, MD, an expert in molecular pharmacology at the Dana Farber Cancer Institute, to study a rare but deadly cancer called NUT midline carcinoma (NMC). There is no treatment for this cancer that often forms a tumor in the head or neck area and affects both children and adults. The collaboration led to the discovery that a new combination of therapies targeted a key oncoprotein responsible for NUT tumor growth. The scientists expect to proceed with a clinical trial to further test the efficacy of this new therapy. The results could be transferrable to other types of cancers.

TARGETING CHROMOSOMAL INSTABILITY IN LUNG CANCER



Ethan Dmitrovsky, MD
Frederick National Laboratory
for Cancer Research



Tak Mak, PhD
Princess Margaret
Cancer Centre

Dr. Ethan Dmitrovsky has been studying lung cancer for much of his career, and his most recent breakthrough was achieved through a research collaboration with Dr. Tak Mak, an expert in cancer biology at the Princess Margaret Cancer Institute in Toronto. Dr. Dmitrovsky and Dr. Mak have discovered a specific genetic makeup of lung cancer cells that makes them vulnerable to treatment. The treatment causes the cancer cells to die, which is called "anaphase catastrophe." They are developing drugs to trigger anaphase catastrophe and to target the most drug-resistant lung cancer cells. These drugs will soon enter clinical trials.

MEET OUR NEW BOARD MEMBERS

SWCRF WELCOMES NEW BOARD MEMBERS



Members of the SWCRF Board of Directors at the annual meeting pictured L to R: (back row) Nicholas Santoro, Howard Shlafmitz, Gerard Joyce, Howard Kurz, Kenneth Fishel, Ethan Dmitrovsky, MD, Scott Waxman, Matthew Lyons, Ari Zagdanski (front row), Gary Gladstein, Spencer Waxman, Dena Weiner, Samuel Waxman, MD, Michael Nierenberg, William Sullivan, Thomas Conway, Lewis Rubin

The SWCRF board of directors elected four new members at its annual meeting in June including Gerard F. Joyce, Peeyush Misra and Nicholas Santoro. Ari Zagdanski was elected in March. In addition, longtime board member, Gary Gladstein stepped down as director and will serve as a member of the SWCRF Chairman's Council.

The SWCRF Board of Directors consists of 28 members, which includes six officers and 22 directors. Directors are elected for a three-year term. The Board is responsible for setting policy, establishing long-term goals, monitoring general operations, and approving the organizational outcomes and allocation of resources.

"We are honored to welcome these four new distinguished members to the Board of Directors," said Michael Nierenberg, chairman of the Board. "The SWCRF is proud to have a long history of dedicated leaders who are committed to helping end cancer."

"The Board of Directors extend our sincerest thanks to Gary Gladstein for his longtime leadership and support of the foundation's groundbreaking cancer research," said Samuel Waxman, MD.



Gerard F. Joyce is Managing Director, Trust Counsel, National Head of Trusts & Estates at Fiduciary Trust Company

International and is responsible for trust and estates strategy and administration. Mr. Joyce has more than 30 years of experience in the area of trusts and estates and has held senior positions at leading wealth management companies, working closely with domestic and international clients to develop customized trust and estates strategies. Mr. Joyce received his B.A. in finance from Lehigh University and his J.D. from Fordham University of Law where he was on Review. He is admitted to the bar in New York and Massachusetts.



Peeyush Misra is the founder of Growth Source Financial Technologies and is currently pursuing a PhD in Financial

Economics at MIT. Previously, Mr. Misra

was a Partner and Managing Director at Goldman Sachs where he oversaw trading in all USD interest rate products, including government bonds, agency debt, inflation linked securities, agency RMBS, interest rate swaps and options including exotics and structured notes. Mr. Misra received a B.E. in mechanical engineering from Motilal Nehru National Institute of Technology in Allahabad, India and an M.B.A. from the Indian Institute of Management.



Nicholas Santoro is Chief Financial Officer at New Residential Investment Corp. In previous roles, Mr. Santoro was chief accounting

officer at FXCM, Inc. where he was responsible for directing financial reporting, accounting, tax and financial planning activities, and was principal financial officer at the Financial Guaranty Insurance Company. Mr. Santoro is a certified public accountant and received a B.A. at Baruch College and a M.B.A. at Pace University.



Ari Zagdanski is the founder and CEO of Kinsmen Property Group (KPG), based in Manhattan. KPG owns, manages, and develops

strategic residential and commercial holdings in New York City. The company is a joint venture between both Toronto-based Madison Group and State Building Group. These Toronto firms have evolved from successful family businesses into multifaceted companies that service every aspect of the building and land development industry in Canada. Ari is a graduate of the Richard Ivey Business School at Western University in Ontario and has a law degree from the University of London.

FINANCIAL STATEMENT

JULY 1 — JUNE 30 AUDITED

| REVENUE | 2018 | 2017 |
|-------------------|------------|------------|
| Contributions | \$ 382,000 | \$ 332,000 |
| Program Grants | 1,813,000 | 697,000 |
| Event Income | 1,445,000 | 1,504,000 |
| Investment Income | 15,000 | -1,000 |

| | | |
|----------------------|---------------------|---------------------|
| Total Revenue | \$ 3,655,000 | \$ 2,532,000 |
|----------------------|---------------------|---------------------|

| EXPENSE | 2018 | 2017 |
|------------------------|--------------|--------------|
| Program Services | \$ 1,971,000 | \$ 1,601,000 |
| Fundraising | 536,000 | 599,000 |
| Management and General | 273,000 | 186,000 |

| | | |
|----------------------|------------------|------------------|
| Total Expense | 2,780,000 | 2,386,000 |
|----------------------|------------------|------------------|

| | | |
|----------------|-------------------|-------------------|
| Surplus | \$ 875,000 | \$ 146,000 |
|----------------|-------------------|-------------------|

Copies of our Audited Financial Statements are available at www.waxmancancer.org/financials.

DONORS/SUPPORTERS

THANK YOU

The following donors have shared The Samuel Waxman Cancer Research Foundation's vision and belief in collaboration by generously funding the Foundation's Institute Without Walls in 2018.

\$1,000,000+

Musa and Thomas Mayer

\$500,000 - \$999,000

Arlene and Reuben Mark
The Mark Family Fund
The New York Community Trust

\$200,000 - \$499,000

Elin and Michael B. Nierenberg
The Plum Beach Foundation

\$199,999 - \$100,000

Mrs. Louise Camuto
Vince Camuto Charitable Family Trust
Carol's Crusade for a Cure
Lynn and Wesley Edens
Lucyna and Arminio Fraga
Ingeborg and Ira Rennert
The Alan B. Slifka Foundation
Taub Family Companies
Triple Negative Breast Cancer Research Foundation
Dena K. Weiner and David Rozenholz

\$99,999 - \$50,000

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Shannon River Partners
Sandy and Marc Taub
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\$49,999 - \$20,000

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Marion and Dr. Samuel Waxman
Aravintan Wijay

\$19,999 - \$10,000

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Linda and Dennis A. Herman
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Stonehenge Partners
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Sharon and Joshua B. Weintraub
The Winston Foundation

\$9,999 - \$5,000

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Nancy and Dr. Roger Gilbert
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Mildred and Bernard Kaminsky*
Ed Kaminsky
Marcy and Michael Lehrman
Leidos Biomedical Research, Inc.
Alexander S. Libin
The Litwin Foundation
Joseph Lopardo
Bob Magee
Jeffrey Mann
Charles and Roni McGuffog
Eve and Stephen Milstein
Peter Mondics
Jessica and Jason Muss

Network For Good
NYAC Athletes Fund, Inc.
People's United Bank
Rand Luxury Inc
Riva Ariella Ritvo-Slifka
Steven Shapiro
Stephen B. Siegel
Signature Bank
Nicholas P. Smith
Sol and Margaret Berger Foundation
Diane and Marc Spilker
Jill and Richard Spitz
Tadashi Shoji & Associates, Inc.
The Corcoran Group, Inc.
UBS Investment Bank
Michael Vitarelli
Christian Wall
Wells Fargo
Mindy and Mark Werner
The Winifred & William O'Reilly Foundation
Lisa and Mitchell Winter
Adam Yarnold
Yibing & Ping Jiang Foundation
York Restoration Corporation

\$4,999 - \$1,000

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Charbel Abi-Hassoun
Lynn and Craig Abramowitz
Affiliated Adjustment Group
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Anonymous
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Lee Charles
Kym Chartash
Chestnut Investors LLC
Adriana Ching
Chirag Choudhary
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 Wynne Comer
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 Michael Contillo
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 Timothy Dooley
 Kathy and John Draghi
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 Robert Durden
 Matt Durnan
 The Durnan Group
 Dynamic Credit Management
 Michael Dziuba
 Lauren and Brad Egna
 Linda and Robert Eichler
 Nicholas R. Elliot and Scott M. Lazarz
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 Beth and Michael Fascitelli
 Edward Fay
 Stefanie and Paul Feidelson
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 Jack Feuer
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 Christopher Flanagan
 Sean Flynn
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