

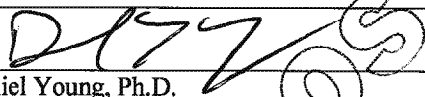
theranos	LDT Validation Report	Theranos Total Iron Assay	Rev:
		CL RPT-14059	1
Description	Validation Report for Modified Siemens Assay of Total Iron in Lithium Heparin Plasma		
Originator: Curtis Schneider		Date: 10/15/2013	

Validation of Modified Siemens Total Iron Assay

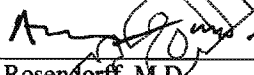
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Page 1 of 16

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TMP-00009 Rev. A, Released 08/01/13

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		CL RPT-14059	1
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Total Iron Plasma Assay

- I. **Overview**
- II. **Method Principle**
- III. **Definitions and Abbreviations**
- IV. **Non-Clinical Validation**
 - a. Analytical Measurement Range
 - i. Limits of Blank, Detection and Quantitation
 - ii. Linearity
 - b. Analytical Specificity
 - c. Precision
- V. **Clinical Validation**
 - a. Method Comparison with Predicate
 - b. Transference and Verification of Reference Interval (Venous)
 - c. Verification of Reference Interval with Finger Stick Samples
- VI. **Stability**
 - a. Reagent
 - b. Sample
 - c. Calibrators

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Overview

Ingested iron is absorbed primarily from the intestinal tract and is temporarily stored in the mucosal cells as Fe(III)-ferritin. Ferritin provides a soluble protein shell to encapsulate a complex of insoluble ferric hydroxide-ferric phosphate. On demand, iron is released into the blood by the mechanisms that are not clearly understood, to be transported as Fe(III)-transferrin.

Transferrin is the primary plasma iron transport protein, which binds iron strongly at physiological pH. Transferrin is generally only 25% to 30% saturated with iron. The additional amount of iron that can be bound is the unsaturated iron-binding capacity. The total iron binding capacity (TIBC) can be indirectly determined using the sum of serum iron (Total Iron) and UIBC. Knowing the molecular weight of the transferrin and that each molecule of transferrin can bind 2 atoms of iron, TIBC and transferrin concentration is interconvertible.

Percent saturation ($100 \times \text{serum iron} / \text{TIBC}$) is usually normal or increased in persons who are iron deficient, pregnant, or are taking oral contraceptive medications. Persons with chronic inflammatory processes, hemochromatosis or malignancies generally display low transferrin.

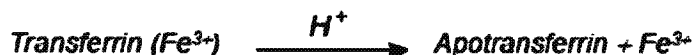
I. Method Principle

Ferric iron is dissociated from its carrier protein, transferrin, in an acid medium and simultaneously reduced to the ferrous form. The ferrous iron is complexed with

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ferrozine, a sensitive iron indicator, to produce a colored chromophore, which absorbs at 571/658 nm.

Reaction Equation



II. Definitions and Abbreviations

The following definitions and abbreviations are used in this document and related documents and attachments:

- a. **Accuracy:** Accuracy is defined by CLSI as the closeness of agreement between a test result and an accepted reference value. Method accuracy is used in a different sense by the American Association of Pharmaceutical Scientists where it is expressed as percent relative error (%RE). Trueness, a related CLSI term, is the closeness of agreement between the average of a number of replicate measured quantity values and a reference quantity value.
- b. **Analyte:** Component represented in the name of a measurable quantity. The closely related term measureand is defined as the particular quantity subject to measurement.
- c. **Analytical sensitivity:** There are several alternative uses of this term. Most commonly, and for the purposes of this Validation Plan, it is used interchangeably with limit of detection. It is also used to describe the ability of an analytical method to assess small variations of the concentration of an analyte, such as the slope of the calibration curve (IUPAC).
- d. **Analytical specificity:** Ability of a test or procedure to correctly identify or quantify an entity, including in the presence of interfering substance(s) or phenomena.

theranos	LDT Validation Report	Theranos Total Iron Assay	Rev:
		CL RPT-14059	1
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Originator: Curtis Schneider		Date: 10/15/2013	

- e. **Calibration:** Set of operations that establish, under specified conditions, the relationship between values of quantities indicated by a measuring instrument or measuring system, or values represented by a material measure or a reference material, and the corresponding values realized by standards. Under CLIA, calibration refers to the process of testing and adjusting an instrument, kit, or test system, to provide a known relationship between the measurement response and the value of the substance being measured by the test procedure (42 CFR 493.1217).
- f. **Calibrator:** A substance, material, or article intended to be used to establish the measurement relationships of a diagnostic medical device.
- g. **CLIA:** Clinical Laboratory Improvement Amendments of 1988, Congressional legislation that defined and requires specific quality assurance practices in clinical laboratories.
- h. **CLSI:** Clinical and Laboratory Standards Institute.
- i. **Coefficient of Variation:** The ratio of the standard deviation to the average, often multiplied by 100 and expressed as a percentage, abbreviated as %CV .
- j. **Colorimetry:** A technique used to determine the concentration of colored compound(s) in solution.
- k. **Interfering substance:** A substance or quantity thereof that is not the measurand but that affects the result of the measurement.
- l. **IUPAC:** International Union of Pure and Applied Chemistry
- m. **LDT:** Laboratory –developed Test.
- n. **Linearity:** Linearity is the ability of a quantitative analytical method to provide results that are directly proportional to the concentrations of an analyte in test samples, within a given measuring interval. It is an important parameter to confirm when evaluating an analytical method because it verifies correct interpolation of results between points.
- o. **LMR:** Lower end of the measuring range is the lowest level at which defined conditions, including all stated characteristic of the method, are met.

theranos	LDT Validation Report	Theranos Total Iron Assay	Rev:
		CL RPT-14059	1
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- p. **LoB:** Limit of Blank is the highest value in a series of results on a sample that contains no analyte.
- q. **LoD:** Limit of Detection is the lowest amount of analyte in a sample that can be detected with stated probability, although perhaps not quantified as an exact value.
- r. **LoQ:** When used without a prefix, the Limit of Quantitation is the lowest actual concentration at which an analyte is reliably detected and at which uncertainty of the test result is less than or equal to the goal set by the manufacturer or laboratory. The term may also be used with prefixes L for lower (LLOQ) and U for upper (ULOQ), respectively. Note: $LoB < LoD \leq LoQ$.
- s. **Matrix:** All components of a material system, except the analyte. A specimen matrix is the biological milieu in which an analyte exists (e.g., plasma, serum, urine, or other body fluids).
- t. **Measuring Interval (reportable range; analytical measurement range or AMR):** A measuring interval consists of all numeric values between the lower and upper numeric values for which a method can produce quantitative results suitable for clinical use. Where applicable, a linearity study is frequently used to establish or verify the measuring interval that can be reported for a measurement method. Alternatively, the lower limit of the measuring interval may be assigned as the LoQ (LLOQ).
- u. **Precision:** Precision is the closeness of agreement between indications or measured quantity values obtained by replicate measurements on the same or similar objects under specified conditions. It is usually expressed numerically in terms of standard deviation (SD) or percent Coefficient of Variation (%CV).
- v. **Reference interval:** The interval between and including two reference limits. It is common practice to define a reference limit so a stated fraction of the reference values is less than or equal, or greater than or equal, to the respective upper or lower limit.
- w. **SOP:** Standard Operating Procedure.
- x. **Spectrophotometry:** The quantitative measurement of the transmission (or reflection) properties of a material as a function of wavelength.

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		CL RPT-14059	1
Description	Validation Report for Modified Siemens Assay of Total Iron in Lithium Heparin Plasma		
Originator: Curtis Schneider		Date: 10/15/2013	

- y. **Testing System:** The entirety of the testing process, including instrument, sample, reagents, supplies, and procedures. Personnel are sometimes included in the definition.

III. Pre-clinical Validation

a. Analytical Measurement Range

i. Limits of Blank, Detection and Quantitation

The limits of blank, detection, and quantitation were determined to be 6.7 µg/dL, 10.2 µg/dL and 10.8 µg/dL respectively.

Limit of blank

CLSI guideline EP17-A section 4.3.1

Level	Number of samples	N	Mean	SD
Blank	1	20	2.6	2.5
Alpha Parametric LoB	5%			6.7

Limit of detection

CLSI guideline EP17-A section 4.3.2

Level	Number of samples	N	Pooled SD
Low	1	20	2.1
Beta Parametric LoD	5%		10.2



theranos	LDT Validation Report	Theranos Total Iron Assay	Rev:
		CL RPT-14059	1
Description	Validation Report for Modified Siemens Assay of Total Iron in Lithium Heparin Plasma		
Originator: Curtis Schneider		Date: 10/15/2013	

Limit of quantitation

CLSI guideline EP17-A section 5.1

Level	Number of samples	N
Low	1	20
Bias	0.8	
Pooled imprecision	2.1	
95% total error	5.0	
Allowable error	2	

The lower limit of quantitation has been established at 10.8 µg/dL (19.8% CV and 108.0% recovery).

ii. Linearity

The Analytical Measurement Range (AMR) including linear measurement interval has been determined by Siemens. Refer to the Analytical Range section of the manufacturer product information insert for additional details.

b. Analytical Specificity

The analytical specificity for this assay was determined by testing the effect of bilirubin (10 mg/dL) and triglycerides (200 mg/dL) on plasma samples spiked with the interferences and then compared with un-spiked controls. Iron concentration at which the interference testing was performed at was 53 µg/dL. Non-interference was defined as the mean result from testing of spiked samples within 10% of the mean of the un-spiked samples. Recoveries were within 93.1% to 97.7% (see table below).

Table 1. Interference Testing For Iron.

Analyte (mg/dL)	% Recovery		
	Interferent		
	Bilirubin (10 mg/dL)	Hemoglobin (100 mg/dL)	Triglycerides (200 mg/dL)
Free Iron	97.7	N/A*	93.1

* N/A Not Applicable

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Page 8 of 16

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TMP-00009 Rev. A, Released 08/01/13

theranos	LDT Validation Report	Theranos Total Iron Assay	Rev:
		CL RPT-14059	1
Description	Validation Report for Modified Siemens Assay of Total Iron in Lithium Heparin Plasma		
Originator: Curtis Schneider		Date: 10/15/2013	

No significant interference was observed.

c. Precision

Level = Level 1

Number of observations	80
Number of runs	40
Number of days	20
Runs per day	2
Replicates per run	2
Mean	75.8

	SD	95% CI	CV	Allowable Total SD
Repeatability	2.1	1.7 to 2.7	2.8%	-
Between-run	0.0		0.0%	-
Between-day	0.2		0.2%	-
Within-laboratory	2.1	1.8 to 2.5	2.8%	15.2

Imprecision is less than allowable total imprecision: 20% upto 400µg/dL then 20%.

Level = Level 2

Number of observations	80
Number of runs	40
Number of days	20
Runs per day	2
Replicates per run	2
Mean	152.5

	SD	95% CI	CV	Allowable Total SD
Repeatability	4.1	3.4 to 5.2	2.7%	-
Between-run	0.0		0.0%	-
Between-day	1.5		1.0%	-
Within-laboratory	4.4	3.8 to 5.2	2.9%	30.5

Imprecision is less than allowable total imprecision: 20% upto 400µg/dL then 20%.

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		CL RPT-14059	1
Description	Validation Report for Modified Siemens Assay of Total Iron in Lithium Heparin Plasma		
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Level = Level 3

Number of observations	80
Number of runs	40
Number of days	20
Runs per day	2
Replicates per run	2
Mean	237.8

	SD	95% CI	CV	Allowable Total SD
Repeatability	5.5	4.6 to 7.1	2.3%	-
Between-run	0.0		0.0%	-
Between-day	2.7		1.1%	-
Within-laboratory	6.2	5.3 to 7.4	2.6%	47.6

Imprecision is less than allowable total imprecision: 20% upto 400µg/dL then 20%.

The percent CV reported as zeros in the above precision summary are most likely a consequence of rounding the values in StatisPro.

IV. Clinical Validation

a. Method Comparison with Predicate (Accuracy/Comparability)

To test the accuracy of the assay on the Theranos System, fifty one (51) unique patient samples were screened on the predicate method (Siemens, Advia) and on the Theranos method. Using the predicate method thirty (30) values were within the reference range (male: 65 - 175 µg/dL; female: 50 - 170 µg/dL), two (2) were below the reference range, and nineteen (19) were above the reference range. Based on the results of the data examination, either a simple linear regression or alternative procedures were used to estimate expected (average) bias and the confidence interval of expected bias at the desired medical decision level(s) as per CLSI guidance EP09-A2. StatisPro was used for bias calculations. These estimates were compared with internal criteria to judge the acceptability of the Theranos method. Each sample was run in duplicate on the predicate, and the average used for comparison to the Theranos method. Some samples were stored before analysis on both methods. If the confidence interval for the predicted bias includes the defined acceptable bias or if the acceptable bias is greater than the higher limit of the confidence interval of the predicted bias, then the data do not show that the bias of the Theranos method is

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different from the acceptable bias or there is a high probability (97%) that the predicated bias is acceptable, respectively. The acceptable bias at each medical decision level was determined based on the total allowable error (TEa) minus the measured precision at the level closest to that decision level. Total allowable error (TEa) was taken from American Proficiency Institute (API) peer proficiency testing criteria or CLIA proficiency testing criteria for acceptable analytical performance, as printed in the Federal Register February 28, 1992;57(40):7002-186, when available. The TEa for Iron is 20%. The table below shows the allowable bias and precision at 3 levels (values shown in parentheses) and the corresponding closest medical decision limits.

Table 2. Allowable Bias and Precision at the Medical Decision Levels

Medical Decision Levels (µg/dL)	50 (75.8)	220 (152.5)	400 (237.8)
Precision (%)	0.2	1.0	1.1
Allowable Bias (%)	19.8	19.0	18.9

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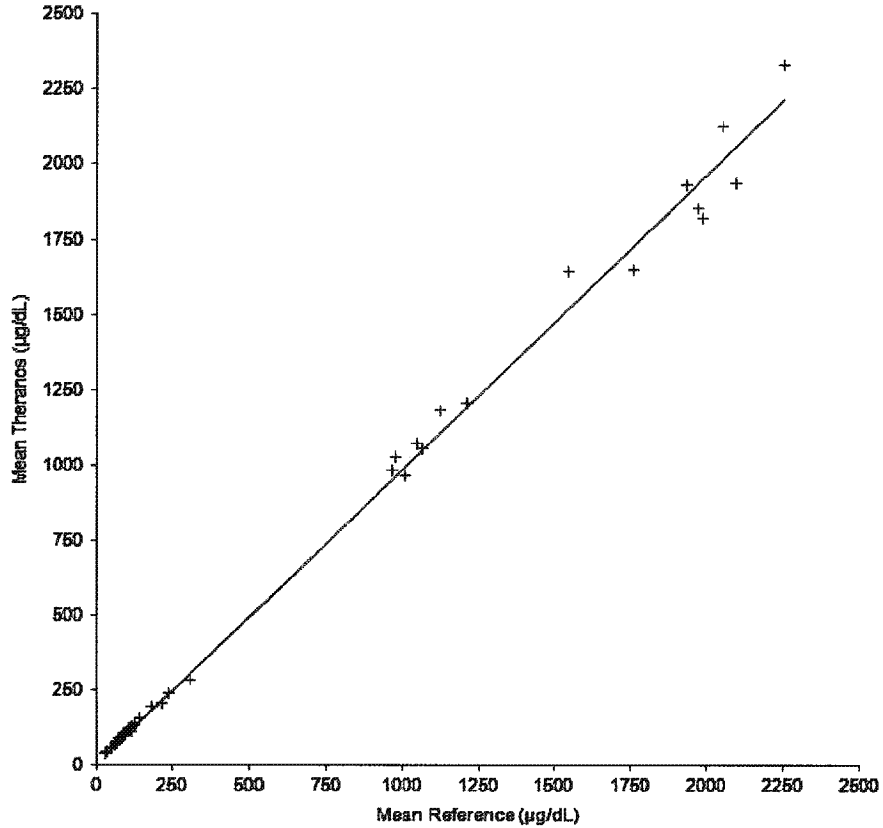


Figure 1. Graph showing Theranos method versus Predicate Method (Siemens Advia).

Simple linear regression was used to establish a slope, intercept and an r^2 . The slope, intercept and clinical correlation were determined to be 0.98, 5.66 and 0.99 respectively.

theranos	LDT Validation Report	Theranos Total Iron Assay	Rev:
		CL RPT-14059	1
Description	Validation Report for Modified Siemens Assay of Total Iron in Lithium Heparin Plasma		
Originator: Curtis Schneider		Date: 10/15/2013	

Comparability

CLSI guideline EP09-A2-IR section 7

Level ID	Value	Difference	SE	95% CI	Allowable difference
50.000000	4.5506690	4.5506690	7.64000612	0.8024981 to 19.90383	9.5000000 >
220.000000	0.7688863	0.7688863	6.89749173	3.0921423 to 14.62991	41.8000000
400.000000	-3.2353542	-3.2353542	6.42257747	6.1420068 to 9.671298	76.0000000

Difference is less than allowable bias: 19% upto 500µg/dL then 19%.

The difference between the two methods is not greater than the allowable difference. The performance requirement is verified.

b. Transference and Verification of Reference Interval (Venous)

Reference ranges were modified by applying the regression equation to the lower and upper reference limits of existing reference interval to generate a new reference range. New reference ranges were verified using a minimum of twenty (20) new normal subjects

New reference ranges were verified using a total of sixty four (42 males and 22 females) new normal subjects with matched Lithium heparin venous and finger sticks samples. For a reference range to pass verification, 95% of values should fall within the upper and lower reference limits and 5% or fewer values fall outside of the upper and lower reference limits. For venous verification with the male population group 40 (95.2%) values fell within the new reference range and 2 (4.8%) values fell outside the new reference range. For the female population group 21 (95.5%) values fell within the new reference range and 1 (4.5%) values fell outside the new reference range. See graphs below for male and female venous samples verification.

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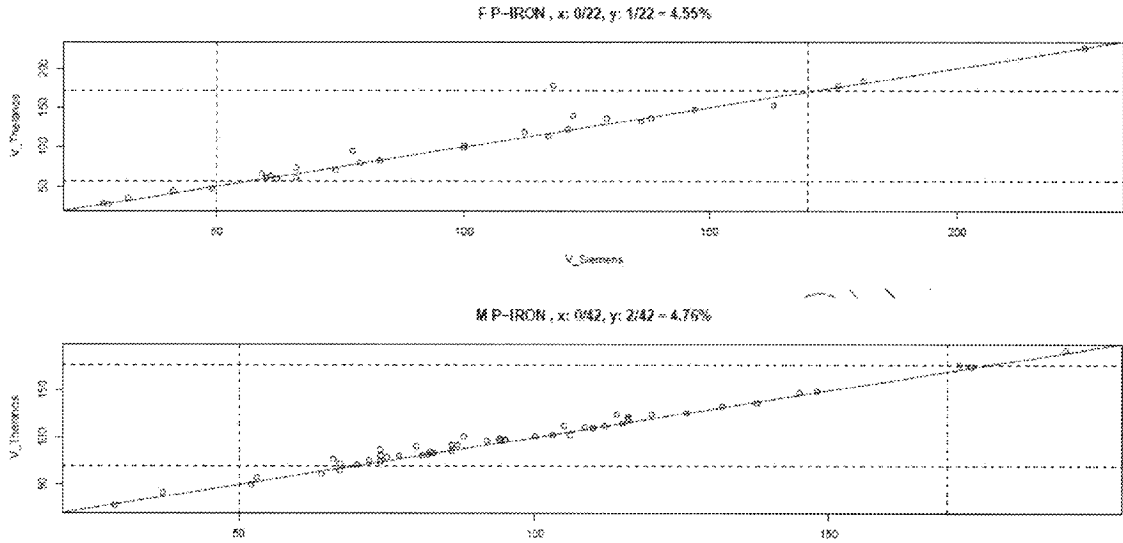


Figure 2. Graph showing male & female venous sample reference range verification.

c. Verification of Reference Interval with Finger Stick Samples

New reference ranges were also verified with venous matched finger sticks (Lithium heparin) from a total of forty four (24 males & 20 females) new normal subjects. The finger stick samples were collected in a Theranos blood collection device (BCD) configured with separate Lithium heparin and EDTA vessels. For finger stick verification 23 values (96 %) for the male and 20 values (100%) for female group fell within the new reference range and one value (4%) for the male group fell outside the new reference range. See graphs below for finger stick samples verification.

theranos	LDT Validation Report	Theranos Total Iron Assay	Rev:
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Description	Validation Report for Modified Siemens Assay of Total Iron in Lithium Heparin Plasma		
Originator: Curtis Schneider	Date: 10/15/2013		

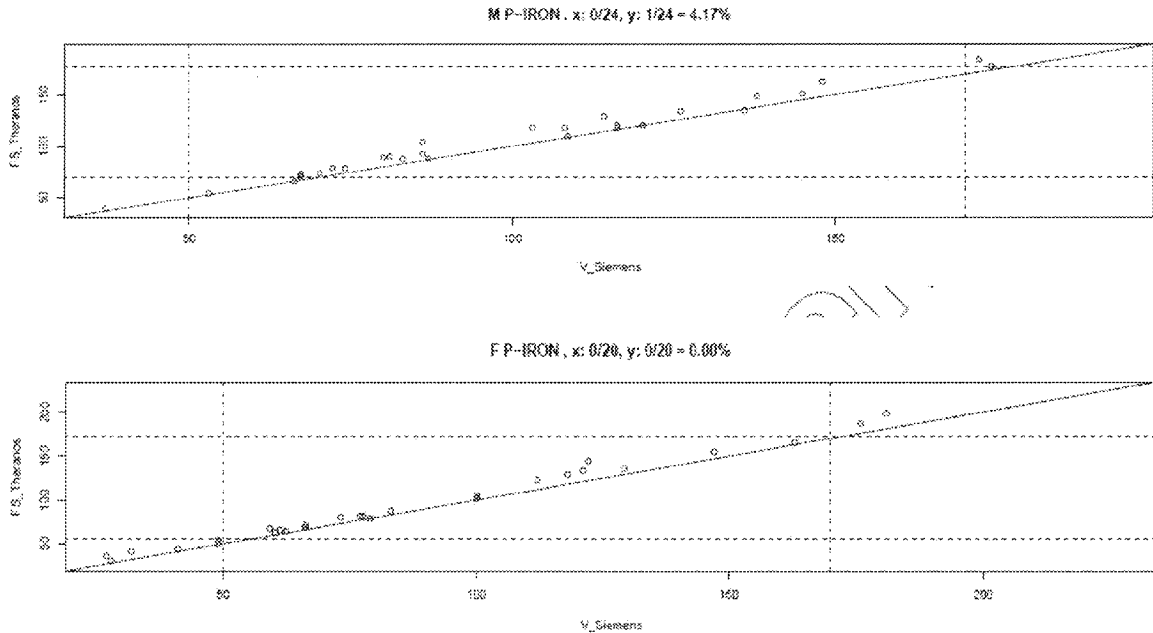


Figure 3. Graph showing male & female Finger stick sample reference range verification.

The new reference range for finger stick total iron was determined to be 69-177 $\mu\text{g/dL}$ (male) and 55-170 $\mu\text{g/dL}$ (female).

VI. Stability

a. Reagents

On-board Reagent Stability

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Page 15 of 16

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TMP-00009 Rev. A, Released 08/01/13

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Originator: Curtis Schneider		Date: 10/15/2013	

System	Stability
ADVIA 1200	60 days
ADVIA 1650/1800	60 days
ADVIA 2400	60 days

For all systems, unopened reagents are stable until the expiration date printed on the product label when stored at 2°C - 8°C. Do not freeze the reagents.

For additional details, refer to the Methods Introduction section of the system-specific Operator's Guide.

b. Sample

Plasma samples for total iron analysis are stable for 2 weeks at 2-8 °C, or at least 90 days at -20 °C.

c. Calibrators

Siemens Chemistry Calibrators should be stored at 2-8 °C, protected from light, and are stable until the expiration date on the vial label. Opened calibrators are stable for 48 hours, except for total and direct bilirubin, which are stable for 8 hours.

REVISION HISTORY			
Revision Level	Effective Date	Initiator	ECO Number
A	11/10/2013	A. Rosendorff	CL ECO-00118
Section Number			
All	Description and Justification of Changes		
	Initial Release		

Theranos Confidential

Page 16 of 16

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TMP-00009 Rev. A, Released 08/01/13