

# EXHIBIT A

IN THE UNITED STATES DISTRICT COURT  
FOR THE DISTRICT OF DELAWARE

ARBUTUS BIOPHARMA CORPORATION )  
and GENEVANT SCIENCES GmbH, )

Plaintiffs, )

v. )

MODERNA, INC. and MODERNATX, INC. )

Defendants. )

MODERNA, INC. and MODERNATX, INC., )

Counterclaim-Plaintiffs, )

v. )

ARBUTUS BIOPHARMA CORPORATION )  
and GENEVANT SCIENCES GmbH, )

Counterclaim-Defendants. )

C.A. No. 22-252 (MSG)

**JURY TRIAL DEMANDED**

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OUTSIDE COUNSEL'S EYES ONLY -  
FILED UNDER SEAL**

**DEFENDANTS' COUNTERCLAIMS AND ANSWER TO AMENDED COMPLAINT  
DECLARATORY JUDGMENT COUNTERCLAIMS**

Defendants/Counterclaim-Plaintiffs Moderna, Inc. and ModernaTX, Inc. (collectively, “Moderna”) demand a trial by jury on all issues so triable and assert the following counterclaims against Plaintiffs/Counterclaim-Defendants Arbutus Biopharma Corporation (“Arbutus”) and Genevant Sciences GmbH (“Genevant”):

**INTRODUCTION**

1. Moderna brings these counterclaims in response to Arbutus and Genevant’s lawsuit, which baselessly seeks to profit from Moderna’s innovations that led to its groundbreaking mRNA-1273 “COVID-19 Vaccine.” Specifically, Moderna asks this Court to declare that Moderna’s COVID-19 Vaccine does not infringe the Asserted Patents, and that those patents are invalid. In short, this lawsuit will confirm that Moderna and its scientists, employees, and

collaborators are the true innovators in the mRNA delivery technology that led to its lifesaving COVID-19 Vaccine. Plaintiffs played no role in Moderna’s significant accomplishments.

**A. Moderna’s Development of mRNA Medicines Using Lipid Nanoparticle Delivery**

2. For a decade before COVID-19 emerged, Moderna had been pioneering a new class of medicines made of messenger RNA, or mRNA, and developed its own platform technologies that could deliver mRNA in a variety of therapeutic and prophylactic applications, including vaccines.<sup>1</sup> These mRNA medicines have the potential to treat and prevent a wide range of diseases—from infectious diseases like influenza and HIV, to autoimmune and cardiovascular diseases and rare forms of cancer. Over the past twelve years, Moderna has worked diligently in its laboratories to pioneer a number of fundamental breakthroughs in the field of mRNA technology. These discoveries span all aspects of mRNA medicines—from the characteristics and design of the mRNA itself and the protein it encodes, to the technologies to deliver mRNA to patients safely and effectively.

3. Included among the mRNA advancements that Moderna developed over years of extensive work, is its proprietary lipid nanoparticle (“LNP”) delivery technologies to encapsulate the mRNA for delivery.<sup>2</sup> The LNPs function to protect the mRNA and deliver it into cells.<sup>3</sup>

4. Moderna invested years of work and resources to develop LNPs that are tailored to work with mRNA. Those efforts included developing novel proprietary lipids and optimal lipid

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<sup>1</sup> D.I. 17-1, Ex. B (Decl. of Shaun Ryan, Mot. to Supplement the Record to Provide Evidence of Standing) ¶ 2.

<sup>2</sup> *Id.* ¶¶ 2-3.

<sup>3</sup> *Id.*

compositions, and improving LNP manufacturing processes. Moderna’s inventions in this area have been recognized with multiple U.S. patents.<sup>4, 5</sup>

5. Moderna’s innovative proprietary LNP formulation technology, developed to address the complex problem of reliably delivering mRNA to a patient, goes well beyond the rudimentary, early technology for delivery of siRNA described in Arbutus’s Asserted Patents, nor is it covered by those patents.

**B. Arbutus’s Failed Attempts to Develop Products of its Own**

6. In contrast to Moderna’s proprietary LNP technology to deliver mRNA, Arbutus (and its predecessor Protiva Biotherapeutics, Inc., “Protiva”) conducted research relating to delivery of small interfering RNA (“siRNA”), small pieces of RNA “about 15–60 . . . nucleotides in length” as defined by Arbutus. *See, e.g.*, U.S. Patent No. 8,058,069 (“’069 Patent”) at 6:55–66. siRNA is a far cry from the long, complex mRNA that Moderna’s technology is designed to deliver. By way of example, Moderna’s COVID-19 Vaccine delivers mRNA that is approximately 4,000 nucleotides—over 60 times the length contemplated by the Arbutus patents.

7. None of the Asserted Patents focus on mRNA. For example, the specification of the ’069 Patent (and related Asserted Patents) focuses on siRNA, not mRNA, discussing “Selection of siRNA Sequences,” “Generating siRNA Molecules,” “Modifying siRNA Sequences,” and “Target Genes” of siRNA. *See, e.g.*, ’069 Patent at cols. 29, 32, 33, and 35. Indeed, all 11 examples of the ’069 Patent (and its asserted family members) are directed to “nucleic acid-lipid particles” comprising siRNA—none involve mRNA. *Id.* at 67:64–86:18; *see also* U.S. Patent 9,504,651 at

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<sup>4</sup> <https://cen.acs.org/pharmaceuticals/drug-delivery/Without-lipid-shells-mRNA-vaccines/99/i8>.

<sup>5</sup> *E.g.*, <https://www.modernatx.com/patents>.

cols. 14–19 (Examples 1–8, none of which are directed to mRNA formulations). This is consistent with Arbutus predecessor Protiva’s public statements at the time that the company was “focused on” “formulations for RNAi therapeutics.”<sup>6</sup> As another example, the ’651 Patent focuses on plasmid DNA, rather than mRNA. *See* ’651 Patent at 2:17–19 (“The present invention can be used to form lipid vesicles that contain encapsulated plasmid DNA or small molecule drugs.”), and cols. 14–15.

8. Tellingly, Plaintiffs/Counterclaim Defendants never developed an LNP capable of delivering mRNA, let alone manufactured or sold any approved products of their own, whether siRNA or mRNA-based.

9. Failing to develop any products of its own, Arbutus instead improperly expanded the scope of its patent estate in an attempt to cover the inventions of others, including pioneers like Moderna. Consequently, the purported inventions that Arbutus lays claim to in the Asserted Patents bear no resemblance to the rudimentary technology described in the specifications.

### **C. Moderna’s Development and Sale of its COVID-19 Vaccine**

10. The SARS-CoV2 virus, which causes COVID-19, was first detected in December 2019. On January 10, 2020, the genetic sequence of the SARS-CoV-2 virus became public.<sup>7</sup> Leveraging its decade of research and proprietary technologies, Moderna quickly responded when the pandemic struck, swiftly developing, manufacturing, and providing doses of its COVID-19 vaccine to people around the world. The COVID-19 Vaccine, also referred to as the mRNA-1273 vaccine, uses Moderna’s proprietary LNP delivery technology that Moderna developed and

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<sup>6</sup> <https://investor.arbutusbio.com/news-releases/news-release-details/tekmira-pharmaceuticals-and-protiva-biotherapeutics-announce-0>.

<sup>7</sup> “SARS-CoV-2 mRNA Vaccine Development Enabled by Prototype Pathogen Preparedness,” bioRxiv.org, at 5–6 (June 11, 2020) (“Moderna/NIH Preprint”).

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