

Supplementary Appendix

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Section 1. Dose-Limiting Toxicity Definition*NHL cohort:*

- Grade 4 anemia
- Grade 4 neutropenia
- Grade 4 thrombocytopenia lasting > 7 days
- Grade ≥ 3 febrile neutropenia
- Grade ≥ 3 thrombocytopenia with grade > 2 hemorrhage

CLL cohort:

- Grade 4 toxicity lasting > 7 days
- Grade ≥ 3 non-hematologic toxicity unresponsive to standard supportive care measure, except
 - Grade ≥ 3 ALT/AST elevation that resolves to \leq grade 2 within 7 days, or
 - Infusion-related reactions grade ≥ 3 related to ublituximab occurring at the first infusion that do not affect continuation to subsequent infusions
- Treatment delay of ≥ 14 days due to unresolved toxicity
- Any grade 2 non-hematologic toxicity at any time during treatment that is dose limiting

Section 2. Supplementary Figures

Figure S1. Duration of Response for Patients Receiving U2 at Therapeutic Doses and Above. NE, not estimable; NR, not reached.

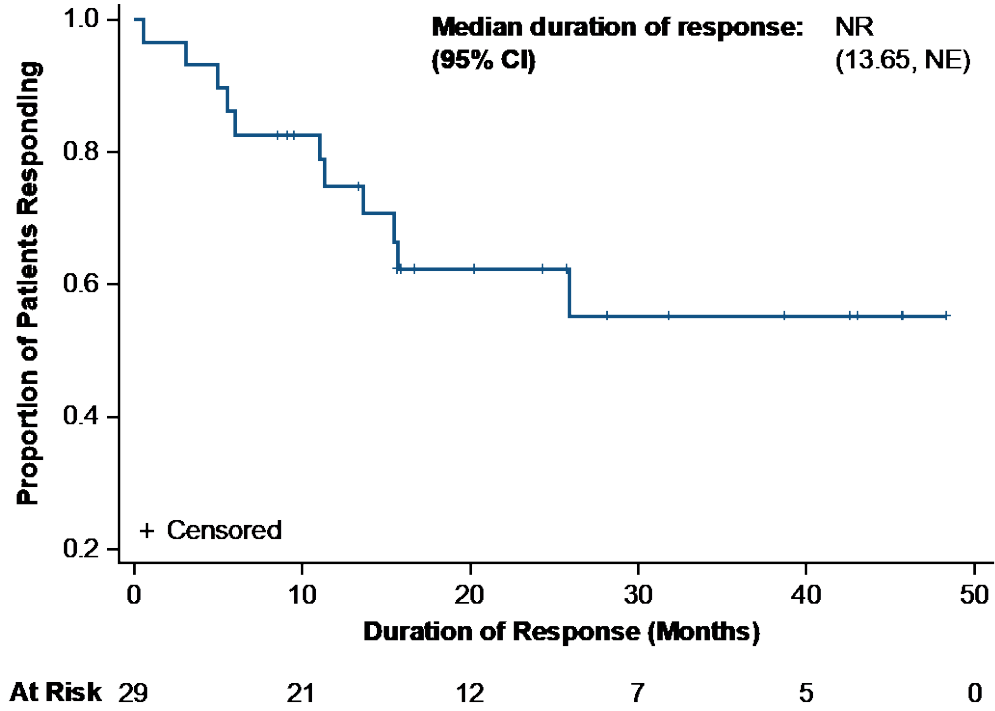


Figure S2. Duration of Response for Patients with CLL/SLL, Aggressive B-NHL, or Indolent B-NHL Receiving U2 at Therapeutic Doses and Above. Aggressive B-NHL included mantle cell lymphoma, diffuse large B cell lymphoma, and Richter’s transformation. Indolent B-NHL included marginal zone lymphoma and follicular lymphoma. NE, not estimable. NR, not reached.

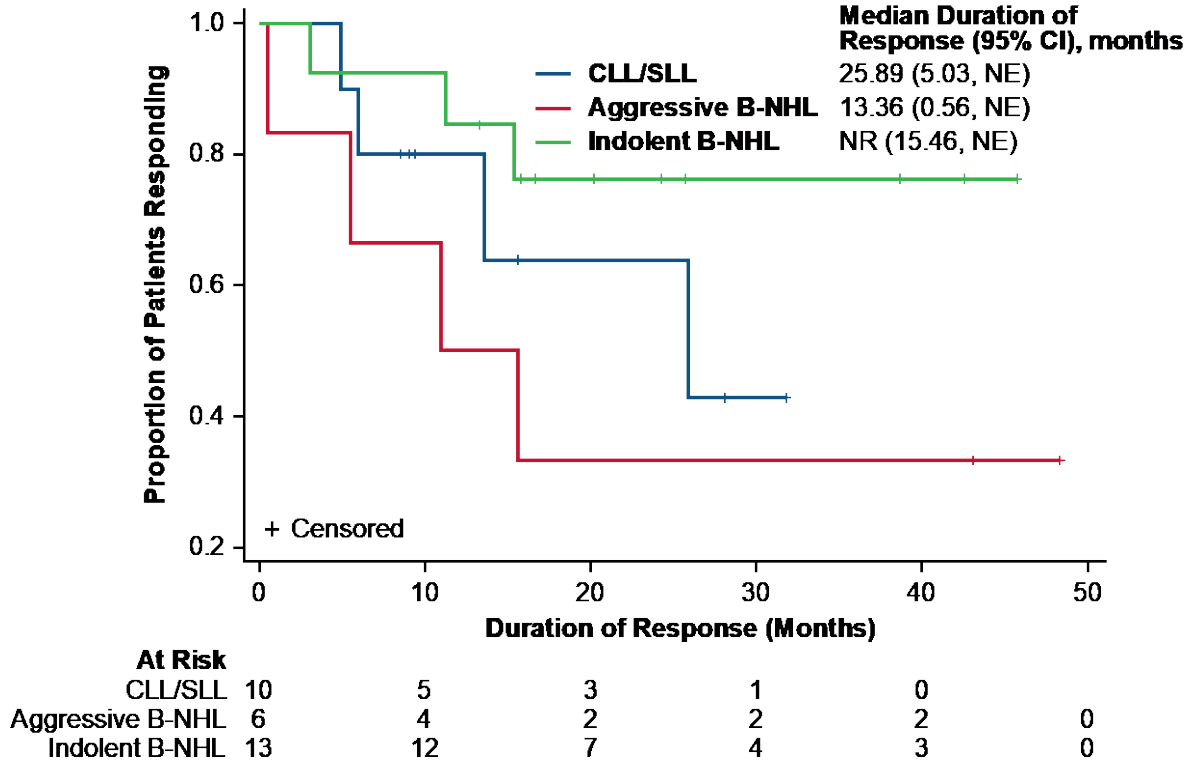


Figure S3. Progression-Free Survival for Patients with CLL/SLL, Aggressive B-NHL, or Indolent B-NHL Receiving U2 at Therapeutic Doses and Above. Aggressive B-NHL included mantle cell lymphoma, diffuse large B cell lymphoma, and Richter’s transformation. Indolent B-NHL included marginal zone lymphoma and follicular lymphoma. NE, not estimable. NR, not reached.

