

Fill in this information to identify the case:

Debtor Tricida, Inc.

United States Bankruptcy Court for the: _____ District of Delaware
(State)

Case number 23-10024

**Official Form 410
Proof of Claim**

04/22

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense. Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies or any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. **Do not send original documents;** they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

<p>1. Who is the current creditor?</p>	<p><u>Emily Chao</u> Name of the current creditor (the person or entity to be paid for this claim)</p> <p>Other names the creditor used with the debtor _____</p>				
<p>2. Has this claim been acquired from someone else?</p>	<p><input checked="" type="checkbox"/> No</p> <p><input type="checkbox"/> Yes. From whom? _____</p>				
<p>3. Where should notices and payments to the creditor be sent?</p> <p>Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%; padding: 2px;">Where should notices to the creditor be sent?</th> <th style="width: 50%; padding: 2px;">Where should payments to the creditor be sent? (if different)</th> </tr> <tr> <td style="padding: 5px;"> <p><u>Emily Chao</u> <u>677 Riverband Pl</u> <u>Henderson, NV 89052</u></p> <p>Contact phone _____</p> <p>Contact email <u>ejchao@gmail.com</u></p> <p>Uniform claim identifier for electronic payments in chapter 13 (if you use one): _____</p> </td> <td style="padding: 5px;"> <p>Contact phone _____</p> <p>Contact email _____</p> </td> </tr> </table>	Where should notices to the creditor be sent?	Where should payments to the creditor be sent? (if different)	<p><u>Emily Chao</u> <u>677 Riverband Pl</u> <u>Henderson, NV 89052</u></p> <p>Contact phone _____</p> <p>Contact email <u>ejchao@gmail.com</u></p> <p>Uniform claim identifier for electronic payments in chapter 13 (if you use one): _____</p>	<p>Contact phone _____</p> <p>Contact email _____</p>
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<p>4. Does this claim amend one already filed?</p>	<p><input checked="" type="checkbox"/> No</p> <p><input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on _____ MM / DD / YYYY</p>				
<p>5. Do you know if anyone else has filed a proof of claim for this claim?</p>	<p><input checked="" type="checkbox"/> No</p> <p><input type="checkbox"/> Yes. Who made the earlier filing? _____</p>				



Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? No
 Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: ____ _

7. How much is the claim? \$ 20,000. Does this amount include interest or other charges?
 No
 Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or credit card.
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).
Limit disclosing information that is entitled to privacy, such as health care information.
Retention bonus not paid

9. Is all or part of the claim secured? No
 Yes. The claim is secured by a lien on property.
Nature or property:
 Real estate: If the claim is secured by the debtor's principle residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.
 Motor vehicle
 Other. Describe: _____
Basis for perfection: _____
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)
Value of property: \$ _____
Amount of the claim that is secured: \$ _____
Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amount should match the amount in line 7.)
Amount necessary to cure any default as of the date of the petition: \$ _____
Annual Interest Rate (when case was filed) _____ %
 Fixed
 Variable

10. Is this claim based on a lease? No
 Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? No
 Yes. Identify the property: _____



12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)?

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

No

Yes. Check all that apply:

	Amount entitled to priority
<input type="checkbox"/> Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B).	\$ _____
<input type="checkbox"/> Up to \$3,350* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7).	\$ _____
<input type="checkbox"/> Wages, salaries, or commissions (up to \$15,150*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4).	\$ _____
<input type="checkbox"/> Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8).	\$ _____
<input type="checkbox"/> Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5).	\$ _____
<input checked="" type="checkbox"/> Other. Specify subsection of 11 U.S.C. § 507(a)(<u>4</u>) that applies.	\$ <u>20,000</u>

* Amounts are subject to adjustment on 4/01/25 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim pursuant to 11 U.S.C. § 503(b)(9)?

No

Yes. Indicate the amount of your claim arising from the value of any goods received by the debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim.

\$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

I am the creditor.

I am the creditor's attorney or authorized agent.

I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.

I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgement that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 02/24/2023
MM / DD / YYYY

/s/Emily Chao
Signature

Print the name of the person who is completing and signing this claim:

Name Emily Chao
First name Middle name Last name

Title _____

Company _____
Identify the corporate servicer as the company if the authorized agent is a servicer.

Address _____

Contact phone _____ Email _____



KCC ePOC Electronic Claim Filing Summary

For phone assistance: Domestic 866-476-0898 | International 001-310-823-9000

Debtor: 23-10024 - Tricida, Inc.		
District: District of Delaware		
Creditor: Emily Chao 677 Riverband PI Henderson , NV, 89052 Phone: Phone 2: Fax: Email: ejchao@gmail.com	Has Supporting Documentation: Yes, supporting documentation successfully uploaded Related Document Statement:	
	Has Related Claim: No Related Claim Filed By:	
	Filing Party: Creditor	
Other Names Used with Debtor:	Amends Claim: No Acquired Claim: No	
Basis of Claim: Retention bonus not paid	Last 4 Digits: No	Uniform Claim Identifier:
Total Amount of Claim: 20,000	Includes Interest or Charges: No	
Has Priority Claim: Yes	Priority Under: 11 U.S.C. §507(a)(d): 20,000	
Has Secured Claim: No Amount of 503(b)(9): No Based on Lease: No Subject to Right of Setoff: No	Nature of Secured Amount: Value of Property: Annual Interest Rate: Arrearage Amount: Basis for Perfection: Amount Unsecured:	
Submitted By: Emily Chao on 24-Feb-2023 11:47:48 a.m. Eastern Time Title: Company:		



Retention Agreement

Dear Emily Chao,

In recognition of the important role you have today and in anticipation of your contributions moving forward, Tricida, Inc. (the "Company") is offering you retention awards in the form of equity and cash. The equity and cash awards are granted pursuant to, and subject to the terms of, the Tricida, Inc. 2018 Equity Incentive Plan (the "2018 Plan"), the applicable award agreement and the Terms and Conditions provided below.

Equity Awards

Number of Stock Options: 2,900

Effective September 10, 2020, you will receive a stock option grant of 2,900 shares, with an exercise price equal to the closing stock price on such date. These shares will vest in two (2) equal tranches on June 30, 2021 and December 31, 2021, subject to the terms of the Stock Option Agreement. You will soon receive a communication via E*TRADE to accept the Stock Option Award and Agreement. You must be actively employed with the Company on the applicable vesting date to vest in the equity awards.

Cash Retention Awards

You will receive four (4) Cash Retention Awards granted under Article IV (Performance Awards) of the 2018 Plan, with each award valued at 10% of your base salary (as of the date of this letter), payable as described below provided that you are actively employed and in good standing with the Company on the applicable installment date and otherwise meet the Cash Retention Award Terms provided below.

- The first Cash Retention Award installment, effective January 1, 2021
- The second Cash Retention Award installment, effective May 1, 2021
- The third Cash Retention Award installment, effective September 1, 2021
- The fourth and final Cash Retention Award installment, effective December 31, 2021

Each such Cash Retention Award payment shall be made no later than thirty (30) days following the applicable installment date.

The equity and cash awards shall be subject to taxes and other required deductions.

Thank you for all your hard work and commitment to the Company and everimer. We look forward to your continued contribution in 2020 and beyond.

Sincerely,

Angela Lee

SVP, Quality & Project Management

Cash Retention Award Terms and Conditions

Your right to the payment of the Cash Retention Award on each of the installment dates is subject to the following Terms and Conditions:

- You are actively employed by the Company on the installment date;
- You are in good standing with the Company on the installment date;
- You with due diligence and good faith, fulfill your job responsibilities and meet your; performance objectives both related to your present position and/or related to any position at the Company held by you in the future; and
- You do not resign your employment for any reason before the installment date.

Please note that this letter is not intended to guarantee employment for any specific duration and your employment with the Company remains “at will.”



verifies the Electronic Signature of this document

SIGNATURE

Signer Name:	Emily Chao
User ID:	EChao@Tricida
Date Electronically Signed:	Sep 14, 2020 07:07 PM EDT
File Name:	chao_emily-adpdms-897 - 2020-09-14T19.12.00.604Z.pdf
Display Name:	Chao_Emily

TRICIDA

ejchao@gmail.com

Dear Emily,

Your employment with Tricida, Inc. (“Tricida” or the “Company”) will end as of January 1, 2021 (“Employment Termination Date”).

Pay

You will continue to receive your regular pay through the normal payroll schedule via direct deposit until your Employment Termination Date. If you are contributing to the ESPP your contribution will cease as of January 1, 2021.

You will receive a final paycheck on your Employment Termination Date. Your last paycheck will include pay through January 1, 2021 as well as any accrued and unused vacation. Please be sure to log into ADP to update your personal email address and update your settings to include email notification preferences to your personal email address. After January 1, 2021, you will have access to the external ADP website by logging on to the following web address <https://my.adp.com/static/redbox/login.html>. You will also find your W-2 for 2020 and prior year W-2 information through this portal. If you have any questions regarding your paycheck, please reach out to anyone on the HR or Payroll team.

Benefits

Please note, you will need to still elect benefit options during Open Enrollment as these elections will drive your COBRA elections and COBRA payments*. Your healthcare benefits will remain in effect through the end of January. Shortly thereafter you will be receiving a packet from our new COBRA Administrator “Discovery”, with details regarding COBRA elections and pricing. If you would like to continue benefits under COBRA, you will have 60 days from the date your active benefits terminated, January 1, 2021 or 60 days from the date of your COBRA packet, whichever is later, to elect coverage through COBRA

If you are contributing to the Tricida 401k, your contributions will cease as of January 1, 2021 and you will not be able to contribute further. Contact your financial advisor for advice on what you can do with the funds you may have accumulated. Please be sure to

update your personal information on the Vanguard website (www.myvanguard.plan.com).

Stock Plan

Any unvested stock options granted by Tricida will be cancelled on your last day of employment. If you have any questions regarding your E*Trade account, please reach out to E*Trade at 1-800-387-2331. Vested stock options may be exercised until ninety days after your Employment Termination Date. For questions regarding vested stock, please email Stockadmin@Tricida.com. Please be sure to update your personal contact information online with E*Trade including your personal email address.

Company Property

You are required to return your Company provided IT equipment. This includes cell phone with charger(s), laptop with charger(s), docking station, access card key, iPad with case and charger(s), and any other items as applicable. If you are not able to drop these items off at the South San Francisco Headquarters, please visit your local FedEx location and utilize Tricida's FedEx account #794484910 for packaging and return shipping. Once shipping has been arranged, please email the tracking number to Tricida IT at helpdesk@tricida.com.

Before returning Company provided iPhones, to safe-guard your personal data, "Sign Out" of any Apple ID accounts that have been applied.

For personal phones setup with Tricida BYOD, Tricida IT will initiate a selectively removal of Company data from your device upon termination. The removal will not impact your personal data on your device. If you have any questions on this process, please reach out to the Tricida IT at helpdesk@tricida.com.

Please reach out to Tricida IT at helpdesk@tricida.com if you have any other questions about the return of Company provided IT equipment.

If you need to coordinate the return of all other Company property by emailing Facilities@tricida.com for any needs related to the return of Company property.

Sincerely,

DocuSigned by:

1BA24D689570498...
Human Resources

