

**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**

1. Who is the current creditor? Elizabeth Holmes  
Name of the current creditor (the person or entity to be paid for this claim)  
Other names the creditor used with the debtor \_\_\_\_\_

2. Has this claim been acquired from someone else?  
 No  
 Yes. From whom? \_\_\_\_\_

3. Where should notices and payments to the creditor be sent?  
Where should notices to the creditor be sent? See summary page  
Where should payments to the creditor be sent? (if different)  
Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)  
Contact phone 6509466384 Contact phone \_\_\_\_\_  
Contact email elizabeth.holmesa@gmail.com Contact email \_\_\_\_\_  
Uniform claim identifier for electronic payments in chapter 13 (if you use one):  
\_\_\_\_\_

4. Does this claim amend one already filed?  
 No  
 Yes. Claim number on court claims registry (if known) \_\_\_\_\_ Filed on \_\_\_\_\_  
MM / DD / YYYY

5. Do you know if anyone else has filed a proof of claim for this claim?  
 No  
 Yes. Who made the earlier filing? \_\_\_\_\_



**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: \_\_\_\_ \_

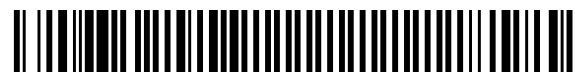
7. How much is the claim? \$ See summary page. Does this amount include interest or other charges?  
 No  
 Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

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.  
Shareholder

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)?

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 type="checkbox"/> Other. Specify subsection of 11 U.S.C. § 507(a)( ) that applies.	\$ _____

\* 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 02/01/2023  
MM / DD / YYYY

/s/Elizabeth Holmes  
Signature

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

Name Elizabeth Holmes  
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

<b>Debtor:</b> 23-10024 - Tricida, Inc.		
<b>District:</b> District of Delaware		
<b>Creditor:</b> Elizabeth Holmes 2443 Fillmore Street #370  San Francisco, CA, 94115 United States of America <b>Phone:</b> 6509466384 <b>Phone 2:</b>  <b>Fax:</b>  <b>Email:</b> elizabeth.holmesa@gmail.com	<b>Has Supporting Documentation:</b> Yes, supporting documentation successfully uploaded	
	<b>Related Document Statement:</b>	
	<b>Has Related Claim:</b> No	
	<b>Related Claim Filed By:</b>	
		<b>Filing Party:</b> Creditor
<b>Other Names Used with Debtor:</b>		<b>Amends Claim:</b> No <b>Acquired Claim:</b> No
<b>Basis of Claim:</b> Shareholder	<b>Last 4 Digits:</b> No	<b>Uniform Claim Identifier:</b>
<b>Total Amount of Claim:</b> 5,134.50 -350 shares bought @14.67		<b>Includes Interest or Charges:</b> No
<b>Has Priority Claim:</b> No		<b>Priority Under:</b>
<b>Has Secured Claim:</b> No <b>Amount of 503(b)(9):</b> No <b>Based on Lease:</b> No <b>Subject to Right of Setoff:</b> No		<b>Nature of Secured Amount:</b> <b>Value of Property:</b> <b>Annual Interest Rate:</b> <b>Arrearage Amount:</b> <b>Basis for Perfection:</b> <b>Amount Unsecured:</b>
<b>Submitted By:</b> Elizabeth Holmes on 01-Feb-2023 5:40:33 p.m. Eastern Time		
<b>Title:</b>		
<b>Company:</b>		

1.27.23

Re Elizabeth Holmes Tricida shareholdings

Please find attached a copy of the most recent E\*Trade statement showing the account and Tricida shareholdings for Elizabeth Holmes. The last four digits of my social security number are 1188. Please let me know if you need additional information

Thank you

December 1, 2022 - December 31, 2022

Account Number: **XXXX-2616**  
 Account Type: **INDIVIDUAL**

**Customer Update:**

**When to expect your 2022 tax documents**

Visit [etrade.com/tax](http://etrade.com/tax) to see when you'll receive 1099s, 5498s, and other tax documents.

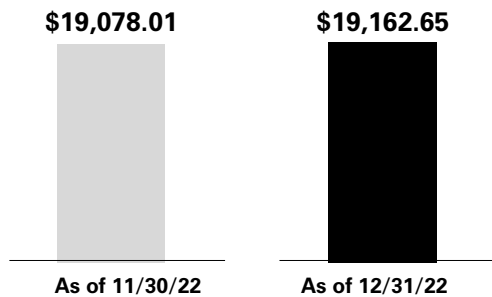
**E\*TRADE Securities LLC**  
 P.O. Box 484  
 Jersey City, NJ 07303-0484  
 1-800-387-2331 [etrade.com](http://etrade.com)  
 Member SIPC

**E\*TRADE Securities**  
 Investment Account

**Why not get your statements, confirmations, and tax documents online?** Enroll for paperless delivery today at [etrade.com/paperless](http://etrade.com/paperless).

ELIZABETH HOLMES  
 2443 FILLMORE ST #370  
 SAN FRANCISCO CA 94115-1814

**Account At A Glance**



**Net Change:** **\$84.64**

DETACH HERE

ELIZABETH HOLMES  
 2443 FILLMORE ST #370  
 SAN FRANCISCO CA 94115-1814

DETACH HERE

**Use This Deposit Slip** **Acct: 5210-2616**

**Please do not send cash**

Make checks payable to E\*TRADE Securities LLC

Dollars	Cents

**TOTAL DEPOSIT**

Mail deposits to:

E\*TRADE SECURITIES LLC  
 P.O. Box 484  
 Jersey City, NJ 07303-0484

**E\*TRADE**  
 from Morgan Stanley

123120220001 111521026166

Please refer to the E\*TRADE Securities LLC ("ETS") Customer Agreement (the "Customer Agreement") at [www.etrade.com/custagree](http://www.etrade.com/custagree) for a complete discussion of the terms and conditions governing your account and the Relationship Summary at [www.etrade.com/formrcs](http://www.etrade.com/formrcs) for information about ETS services. If you have questions regarding the Customer Agreement, your account, or positions and balances please contact us through [etrade.com](http://etrade.com) or call 800-387-2331. THE INFORMATION CONTAINED IN YOUR ACCOUNT STATEMENT SHALL BE BINDING UPON YOU IF YOU DO NOT OBJECT, EITHER IN WRITING OR VIA ELECTRONIC MAIL, WITHIN FIVE (5) DAYS AFTER THE ACCOUNT STATEMENT IS FIRST RECEIVED BY YOU.

Securities products and services are offered by ETS, Member SIPC. Your account is carried by ETS, Member SIPC, which maintains your funds and securities deposited with ETS directly by you or your advisor firm. Please review this statement carefully. If you disagree with any transaction, or if there are any errors or omissions, please notify us at 800-387-2331 within five (5) days of your receipt of this statement. Any oral statements that you have made to us should be confirmed in writing.

**Applicable Rules and Regulations.** All transactions in your account shall be subject to the constitution, rules, regulations, customs, and usages of the exchange or market, and its clearing house, where the transactions are executed by ETS or its agents, including ETS affiliates. Also, where applicable, the transactions shall be subject to the provisions of the Securities Act of 1933, as amended, the Securities Exchange Act of 1934, as amended, and the rules and regulations of the Securities and Exchange Commission ("SEC"), the Board of Governors of the Federal Reserve System, and any applicable self-regulatory organization. For information about FINRA's Broker Check Program, including an investor brochure, please contact FINRA at 800-289-9999 or [www.finra.org](http://www.finra.org).

**Securities Pricing.** The amounts printed in the total market value column of the Account Holdings section, or any amounts derived therefrom, are based on US month end prices and are provided by outside quotation services for the securities held by us in your account. Prices of municipal bonds, certain over-the-counter securities, and federal obligations are approximations and are only for guidance purposes. Prices used are based on the last reported transaction known to the quotation services or the yields or values that are calculated on the basis of these prices. Value of brokered CDs reflected on this statement is estimated by a third-party pricing service. Actual value may differ if you elect to sell your CD(s) in the secondary market. Bonds and/or fixed income securities trade differently than equity securities and do not trade on a liquid exchange. Rather, they trade in the OTC (over-the-counter) market and sufficient liquidity may not exist for you to sell your position prior to maturity. The sale of instruments prior to maturity may result in a loss of principal.

**Interest/Dividends.** We are required by law to report annually to you and to the Internal Revenue Service on Form 1099 any taxable interest, dividends, and capital gains credited to your account, as well as any taxes withheld. The year-to-date figures shown on your statement reflects these amounts classified to the best of our current knowledge based on activity. In certain circumstances, payments may be subject to reclassification, such reclassifications will be reflected to the Internal Revenue Service on your Form 1099. Your statement may not reflect all adjustments required for tax purposes, please refer to your tax documents.

**SIPC and other Insurance Coverage.** ETS is a member of the Securities Investor Protection Corporation ("SIPC"). SIPC currently protects the assets in each of your securities accounts at ETS up to \$500,000 (including \$250,000 for claims for cash). Visit [www.sipc.org](http://www.sipc.org) or call 202-371-8300 for more information including a brochure on SIPC protection. (Please note that money market mutual fund balances are considered securities rather than cash.) Additional protection for ETS has been secured through an independent insurer, more information about which can be found at <https://us.etrade.com/customer-service/faq>. The market risks associated with investing and any resulting losses are not covered by SIPC or the additional protection.

**Payment for Order Flow.** The SEC (and FINRA) requires that all broker-dealers inform their customers when a new account is opened, and on an annual basis thereafter, of payment for order flow practices (compensation received for placing orders through specialists on national securities exchanges, over-the-counter market makers, alternative trading systems, and ECN's (collectively, "market centers")). Consistent with the overriding principle of best execution, ETS routes orders to various market centers. ETS receives remuneration (generally in the form of per share cash payments or through profit sharing arrangements) for routing orders in securities to particular market centers for execution. Such remuneration is considered compensation to ETS, and the source and amount of any compensation received in connection with your transaction will be disclosed to you upon written request. ETS posts SEC Rule 606 quarterly reports that include order routing disclosures including the material aspects of the firms relationships with outside market centers at [www.etrade.com](http://www.etrade.com). In addition, on request, ETS may provide the identity of the venue to which your orders were routed for execution in the six months prior to the request, whether the orders were directed orders or nondirected orders, and the time of the transactions, if any, that resulted from such orders. ETS regularly assesses the execution quality provided by the market centers to which we route order flow in seeking best execution for our clients. For non-directed client orders, it is our policy to route orders to market centers based on a number of factors that are more fully discussed in the Supplemental Materials of FINRA Rule 5310, including where applicable, but not necessarily limited to, speed of execution, price improvement opportunities, differences in price dis-improvement, likelihood of executions, the marketability of the order, size guarantees, service levels and support, the reliability of order handling systems, customer needs and expectations, transaction costs and whether the firm will receive remuneration for routing order flow to such market centers. Price improvement is available under certain market conditions and for certain order types and we regularly monitor executions to test for such improvement if available.

**Margin Accounts.** The amount of margin required will be the greater of the (1) amount required by applicable laws, regulations, rules of applicable self-regulatory organizations and clearinghouses, or (2) amount required by ETS in its sole discretion. You will be charged interest on a daily basis on all debit balances that you owe to ETS and on credit extended to you by ETS for the purpose of purchasing, carrying, or trading in securities or otherwise. Interest is calculated on a 360-day basis using settlement date balances. Except as otherwise agreed by you and ETS, the applicable interest rate for margin loans will be determined by adding the prevailing base rate and the applicable sliding scale percentage rate, which is in turn determined by your average daily debit balance. Your stated interest rate is subject to change without notice during each period in accordance with fluctuations in your average daily debit balance and changes to the base rate that are attributable to a change in the Federal Funds rate. ETS will provide you with at least 30 days' prior written notice before changing your stated interest rate for any other reason. Information about ETS's base rate is available upon written request to ETS. For more information on how ETS calculates interest, please see the Customer Agreement. If you have a margin account, this statement is a combined statement for both your margin account and special memorandum account. The permanent record of the separate account as required by Regulation T of the Federal Reserve Board is available for your inspection.

**Free Credit Balances.** Any cash balances in your securities account, which represent an obligation of ETS, are payable to you upon demand and referred to as free credit balances. Your free credit cash balances: 1) can be maintained in the securities account and will earn interest through the "Cash Balance Program" as more fully described at <https://us.etrade.com/options-uninvested-cash>, and 2) as such are held unsegregated and may be used by ETS in the conduct of its business, subject to the limitations of Rule 15c3-3 under the Securities Exchange Act of 1934. Your free credit cash balances can alternatively be directed to other cash balance options.

**Other Cash Balance Option.** In addition to the Cash Balance Program you may have the option to have free credit balances in your securities account automatically transferred to a

bank sweep product, which is an account at a bank (or banks, collectively, "Program Banks") whose deposits are insured by the FDIC, but which are not obligations of ETS. Accounts opened prior to May 10, 2018 may also be eligible to have their free credit balances transferred to certain money market mutual funds. For information about the products available for free credit balances go to [www.etrade.com/sweepoptions](http://www.etrade.com/sweepoptions) ("Sweep Program"). The products available under the Sweep Program may change at any time. Notification of changes will be provided to the extent required by applicable law. Additionally, you may at any time change your selection among the products available in the Sweep Program. You may elect, subject to any limitation set forth in any Sweep Program agreement or, with respect to an account at a bank, under federal banking laws (which includes, without limitation, program banks' potential requirement of seven days' notice before permitting a withdrawal or transfer of funds from such account) that the balance in the bank deposit account be returned, or shares of the money market mutual fund in which you have a beneficial interest be liquidated and the proceeds returned, as applicable, to the securities account or remitted to you. With respect to your decision to participate in a bank sweep product, please remember you are responsible for monitoring the cash balance of your bank sweep accounts deposited with the Program Banks to determine whether you have total deposit balances held in the same capacity at any Program Bank in excess of the \$250,000 FDIC deposit insurance limit.

**Options Trading.** If you are approved for options trading, you are responsible for advising ETS of any material changes in your investment objectives or financial situation. Additionally, further information regarding commissions and other charges related to the execution of option transactions has been included in the confirmations of such transactions previously provided to you. Such information will also be made available promptly upon request.

**Random Allocation of Options Assignment Notices.** Assignment notices for short option contracts are allocated among customer short option positions in accordance with a random allocation method. A detailed description of ETS's random allocation method is available at [etrade.com](http://etrade.com) and a hard copy of the allocation procedures is available upon request.

**Financial Statement.** A financial statement of ETS is available for your inspection at its offices or at [etrade.com](http://etrade.com) or will be mailed to you upon your written request.

**Valuation of Certain Alternative Investments (including DPP and REIT securities).** Account statements may include valuations for alternative investments. The values of such investments are estimated and reflect either the most recent valuation provided to ETS by the issuer of the investment, or a valuation provided by an independent third party, which ETS will obtain as part of its services, on an annual or more frequent basis. ETS does not provide a guarantee of the value or the appropriateness of the appraisal methodology applied by the independent third party in providing a value and ETS assumes no responsibility for verifying the accuracy of any valuation presented. Failure of the issuer to provide a timely valuation is its sole responsibility. The investment may reflect no value if a valuation was unavailable or is inaccurate. Investment in non-publicly traded securities, which includes alternative investments, often involves higher risk and less liquidity than other investments. Because there is generally no secondary market for alternative investments, the values reported to you should not be relied upon as any indication of market value. You may be able to sell your interests in the alternative investments held in your account, if at all, only for amounts that are substantially less than their purchase price or the estimated values on your account statements. If your statement reflects a distribution that included a return of capital on Direct Participation Programs and/or REITs, please note that said distributions are reported and a net investment per share estimated value is also reported. Pricing and distribution information has been provided by the sponsor, issuer or other external party responsible for reporting of the DPP or REIT and the classification of distributions as income or return of capital, in whole or in part, is subject to final accounting by such party(ies) and will be reported to you on a Form 1099 or K-1, as applicable.

In case of errors or questions about your Electronic Fund Transfers please contact us at 800-387-2331 immediately or in writing at E\*TRADE Securities LLC, PO Box 484, Jersey City, NJ 07303-0484 or by visiting [etrade.com](http://etrade.com), if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The information contained in your account statement shall be binding upon you if you do not object within sixty (60) days after any transfer of funds subject to Regulation E, such as ATM and point-of-sale transfers, debit transactions, direct deposits, and withdrawals. We must hear from you no later than 60 days after we sent you the FIRST statement on which the error or problem appeared.

- (1) Tell us your name and account number.
- (2) Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- (3) Tell us the dollar amount of the suspected error.

We will investigate your complaint and will correct any error promptly. If we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

ETS is a subsidiary of Morgan Stanley. If you have a complaint, please call 800-387-2331, or write to: E\*TRADE Securities LLC, P.O. Box 484, Jersey City, NJ 07303-0484.

**Definitions:**  
**Activity/Trade Date.** Trade date or transaction date of other entries.  
**Total Portfolio Percent.** Percentage of your holding by issue of security.  
**DIV/CPN% Yield.** Annual dividend or bond % yield.  
**Open Orders.** Buy or sell orders for securities that have not yet been executed or canceled.  
**Symbol/CUSIP.** The symbol or identification number for each security.  
 \*\*\* Denotes a security where either the country of issue or country of incorporation of the issuer is outside the US.

**Pending and Unsettled Transactions.** Based on the timing of statement generation, the value of certain unsettled trades and/or pending transactions (e.g., transactions that take place or settle after the last business day of the month) may not be reflected on your statement. Please e-mail us through [etrade.com](http://etrade.com) or call 800-387-2331 with any questions.

Account Number: XXXXXX2616

Statement Period : December 1, 2022 - December 31, 2022

Account Type: INDIVIDUAL

**Customer Update:**

**Tax questions? No problem.**  
Get helpful tips, tools, and key dates in the Tax Center. Visit [etrade.com/tax](http://etrade.com/tax) today.

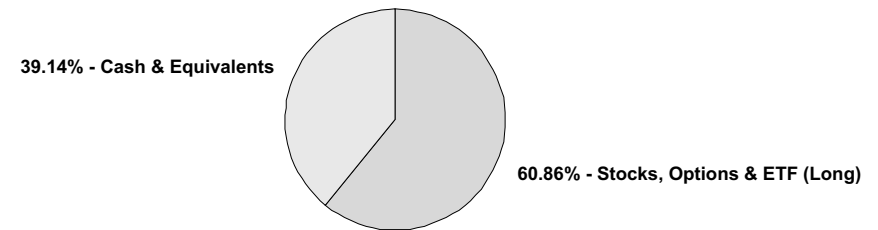
**ACCOUNT OVERVIEW**

Last Statement Date: November 30, 2022

Beginning Account Value (On 11/30/22): \$ 19,078.01  
Ending Account Value (On 12/31/22): \$ 19,162.65  
Net Change: \$ 84.64

For current rates, please visit [etrade.com/rates](http://etrade.com/rates)

**ASSET ALLOCATION (AS OF 12/31/22)**



**ACCOUNT VALUE SUMMARY**

	AS OF 12/31/22	AS OF 11/30/22	% CHANGE
Cash & Equivalents	\$ 7,499.42	\$ 7,426.36	0.98%
<b>Total Cash/Margin Debt</b>	<b>\$ 7,499.42</b>	<b>\$ 7,426.36</b>	<b>0.98%</b>
Stocks, Options & ETF (Long)	\$ 11,663.23	\$ 11,651.65	0.10%
<b>Total Value of Securities</b>	<b>\$ 11,663.23</b>	<b>\$ 11,651.65</b>	<b>0.10%</b>
<b>Net Account Value</b>	<b>\$ 19,162.65</b>	<b>\$ 19,078.01</b>	<b>0.44%</b>

Securities products and services are offered by E\*TRADE Securities LLC, Member FINRA/SIPC. Sweep deposits may be swept to Morgan Stanley Bank, N.A., and/or Morgan Stanley Private Bank, National Association, Members FDIC, and depending on the sweep program may also be swept to third party banks. Subject to other funds a customer might maintain at the recipient bank, sweep funds will receive a maximum of \$250,000 in FDIC insurance coverage at each federally insured depository institution to which funds are swept. Securities products and cash balances other than sweep deposits are not FDIC insured, not guaranteed deposits or obligations of Morgan Stanley Bank, Morgan Stanley Private Bank, or any third party bank to which they might be swept, and are subject to investment risk, including possible loss of the principal invested.

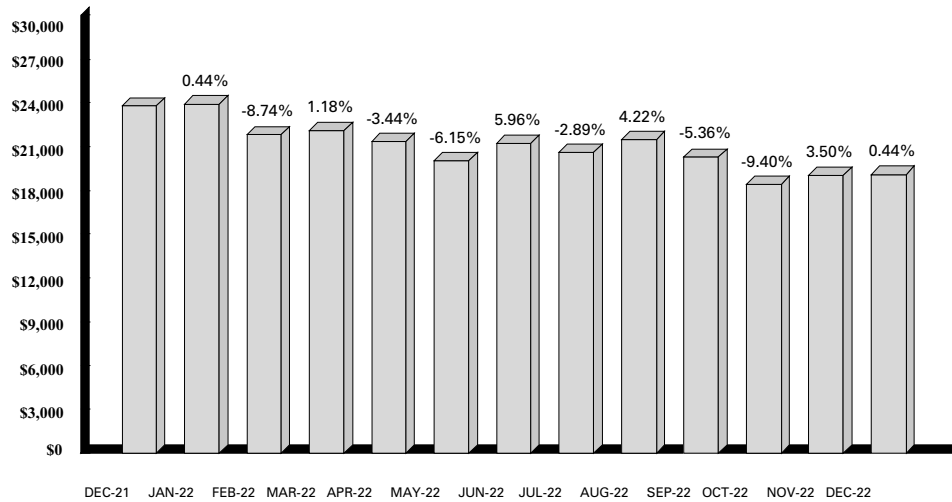


Account Number: XX2616

Statement Period : December 1, 2022 - December 31, 2022

Account Type: INDIVIDUAL

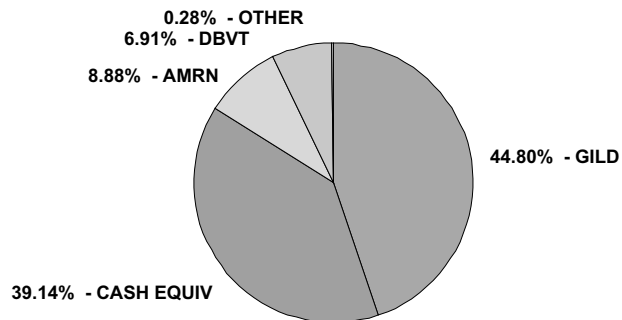
**NET ACCOUNT VALUE BY MONTH END**




**ACCOUNT TRANSACTION SUMMARY**

DESCRIPTION	THIS PERIOD	YEAR TO DATE
<u>Interest Received</u>		
Taxable	\$ 0.06	\$ 0.74
<u>Dividends Received</u>		
Taxable	\$ 73.00	\$ 292.00

**TOP 10 ACCOUNT HOLDINGS (AS OF 12/31/22)**



Account Number:  2616

Statement Period : December 1, 2022 - December 31, 2022

Account Type: INDIVIDUAL

**ACCOUNT HOLDINGS**

**CASH & CASH EQUIVALENTS (39.14% of Holdings)**

DESCRIPTION	PORTFOLIO %	AMOUNT
<b>Extended Insurance Sweep Deposit Account</b>		
Opening Balance		7,426.36
Closing Balance	39.14	7,499.42
Average Balance		7,426.39
<b>Extended Insurance Sweep Deposit Account Balance by Bank as of December 31, 2022</b>		
MORGAN STANLEY BANK NA		7,499.42
<p>Under the Extended Insurance Sweep Deposit Account (ESDA) Program, cash balances from your brokerage account into the ESDA Program may shift from one program bank to another on a daily basis and a different combination or subset of the Program Banks may be used from day to day with dynamic deposit limits. Your ESDA Program cash balances will be FDIC-insured up to an aggregate of \$500,000 for individual accounts and \$1,000,000 for joint accounts. Uninvested cash balances in the ESDA program are not covered by SIPC. The balance in your bank deposit sweep account may be withdrawn on your order and proceeds returned to your securities account or remitted to you. To see a list of Program Banks please visit <a href="http://www.etrade.com/esdaagreement">www.etrade.com/esdaagreement</a> or call us at 1-800-387-2331.</p>		
<b>TOTAL CASH &amp; CASH EQUIVALENTS</b>	<b>39.14%</b>	<b>\$7,499.42</b>

**STOCKS, OPTIONS & EXCHANGE-TRADED FUNDS (60.86% of Holdings)**

DESCRIPTION	SYMBOL/ CUSIP	ACCT TYPE	QUANTITY	PRICE	TOTAL MKT VALUE	PORTFOLIO (%)	EST. ANNUAL INCOME	EST. ANNUAL YIELD (%)
***AMARIN CORPORATION PLC SPONSORED ADR	AMRN	Margin	1,406	1.2100	1,701.26	8.88		
***DBV TECHNOLOGIES S A AMERICAN DEPOSITARY SHARES	DBVT	Margin	865	1.5300	1,323.45	6.91		
GILEAD SCIENCES INC	GILD	Margin	100	85.8500	8,585.00	44.80	292.00	3.40%
TRICIDA INC COMMON STOCK	TCDA	Margin	350	0.1529	53.52	0.28		
<b>TOTAL STOCKS, OPTIONS &amp; ETF</b>					<b>\$11,663.23</b>	<b>60.86%</b>	<b>\$292.00</b>	<b>2.50%</b>
<b>TOTAL PRICED PORTFOLIO HOLDINGS (ON 12/31/22)</b>					<b>\$19,162.65</b>			
<b>TOTAL ESTIMATED ACCOUNT HOLDINGS ANNUAL INCOME</b>							<b>\$292.00</b>	

Account Number: XXXXXXXXXX2616

Statement Period : December 1, 2022 - December 31, 2022

Account Type: INDIVIDUAL

**TRANSACTION HISTORY**

**DIVIDENDS & INTEREST ACTIVITY**

DATE	TRANSACTION TYPE	DESCRIPTION	SYMBOL/ CUSIP	AMOUNT DEBITED	AMOUNT CREDITED
12/27/22	Interest	EXTENDED INSURANCE SWEEP DEPOSIT ACCOUNT INTEREST			0.06
12/29/22	Dividend	GILEAD SCIENCES INC CASH DIV ON 100 SHS REC 12/15/22 PAY 12/29/22	GILD		73.00
<b>TOTAL DIVIDENDS &amp; INTEREST ACTIVITY</b>					<b>\$73.06</b>
<b>NET DIVIDENDS &amp; INTEREST ACTIVITY</b>					<b>\$73.06</b>

**WITHDRAWALS & DEPOSITS**

DATE	TRANSACTION TYPE	DESCRIPTION	WITHDRAWALS	DEPOSITS
12/29/22	Adjustment	TRNSFR FROM MARGIN TO CASH		73.00
12/29/22	Adjustment	TRNSFR FROM MARGIN TO CASH	73.00	
<b>NET WITHDRAWALS &amp; DEPOSITS</b>				<b>\$0.00</b>

**EXTENDED INSURANCE SWEEP DEPOSIT ACCOUNT (ESDA) ACTIVITY ( 0.0100% APY/0.0100%APY Earned as of 12/31/22)**

Under the Extended Insurance Sweep Deposit Account (ESDA) Program, cash balances from your brokerage account into the ESDA Program may shift from one program bank to another on a daily basis and a different combination or subset of the Program Banks may be used from day to day with dynamic deposit limits. Your ESDA Program cash balances will be FDIC-insured up to an aggregate of \$500,000 for individual accounts and \$1,000,000 for joint accounts. Uninvested cash balances in the ESDA program are not covered by SIPC. The balance in your bank deposit sweep account may be withdrawn on your order and proceeds returned to your securities account or remitted to you. To see a list of Program Banks please visit [www.etrade.com/esdaagreement](http://www.etrade.com/esdaagreement) or call us at 1-800-387-2331.

DATE	TRANSACTION TYPE	DESCRIPTION	TRANSACTION AMOUNT
12/01/22		<b>OPENING BALANCE</b>	<b>\$7,426.36</b>
12/27/22	Deposit	EXTND INS SWEEP ACCT(FDIC-INS)	0.06
12/29/22	Deposit	EXTND INS SWEEP ACCT(FDIC-INS)	73.00
12/31/22		<b>CLOSING BALANCE</b>	<b>\$7,499.42</b>



**Ameritrade**

PO BOX 2577  
OMAHA NE 68103-2577

ELIZABETH HOLMES  
2443 FILLMORE ST # 370  
SAN FRANCISCO, CA 94115-1800

## Terms and Conditions

TD Ameritrade provides monthly statements for accounts with activity and quarterly statements for inactive accounts with assets.<sup>1</sup>

**Portfolio Summary:** Tracks the current value of your portfolio as of the report date and compares it to the prior month<sup>2</sup>. The asset allocation indicates your portfolio diversification by investment type.

Multiple allocations under 5% will be grouped into the category of "Other" in the pie chart. Margin Equity = Total Account Equity / (Total Long Marginable Value + Total Short Value)

**Activity Summary:** The opening and closing cash balances are reconciled here for quick reference. All account activity is summarized for the current period and year-to-date.

**Income & Expense Summary (non-IRAs only):** This section details the income and expense totals from the Activity Summary and classifies the tax treatment.

**Retirement Account Summary (IRAs only):** Review the IRS regulated transactions for the current and prior years. IRS Form 5498 fair market value is based on the current account value including Alternative Investments as of December 31 of the previous year and will be furnished to the IRS.

**Performance Summary:** Monitor annual portfolio performance and the unrealized gains and losses for your future investment strategy.

**Account Positions:** View your investments at the current market value and compare the original cost to see unrealized gains and losses in your portfolio. Original cost is assigned using the first-in, first-out (FIFO) method, which assumes the first shares you sell are those you purchased first. The estimated investment income<sup>2</sup> and average cost per share are displayed for your reference (the oldest purchase date is shown for an indication of your holding period). This statement represents a statement of account assets and account activity of your account only. There is no guarantee that you will receive this amount or any dividend.

**Account Activity:** All account activity is listed in date order, and reflected in the closing cash balance.

**Trades Pending Settlement:** Confirm executed trades with a settlement date after month end. These transactions will be reflected in the Account Activity section next month.

**Online Cash Services Transaction Detail:** Cash management transactions that cleared during this period, including check, debit card and ATM activity, are listed in date order.

**Online Cash Services Summary:** Credit and debit transaction totals for the current period are summarized. Individual transactions are not listed.

TD Ameritrade does not provide legal or tax advice. Please consult your legal advisor or tax accountant when necessary.

**Accuracy of Reports:** Please review this statement carefully. If you disagree with any transaction, or if there are any errors or omissions, please contact TD Ameritrade, Inc. and TD Ameritrade Clearing at 800-669-3900 within ten (10) days of your receipt of this statement. To further protect your rights, including rights under the Securities Investor Protection Act (SIPA), any oral statements that you have made should be confirmed to TD Ameritrade and TD Ameritrade Clearing, Inc. in writing. The statement will otherwise be considered conclusive.

**Account Protection:** TD Ameritrade FDIC Insured Deposit Account ("IDA") deposits are held at one or more banks ("Program Banks"). Three of the Program Banks are Charles Schwab Bank, SSB; Charles Schwab Premier Bank, SSB; and Charles Schwab Trust Bank, each an affiliate of TD Ameritrade. IDA deposits are insured by the FDIC (not covered by SIPC) up to \$250,000. Limits are per account ownership per institution. To learn more about FDIC coverage go to [www.fdic.gov](http://www.fdic.gov). Securities, including mutual funds, held in your Brokerage Account are not deposits or obligations of, or guaranteed by, any bank, are not FDIC-insured, and involve investment risks, including possible loss of principal. TD Ameritrade is a member of SIPC, which protects securities customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure is available on request at [www.sipc.org](http://www.sipc.org).

Additionally, TD Ameritrade provides each client \$149.5 million worth of protection for securities and \$2 million of protection for cash through supplemental coverage provided by London insurers. In the event of brokerage insolvency, a client may receive amounts due from the trustee in bankruptcy and then SIPC. Supplemental coverage is paid out after the trustee and SIPC payouts and under such coverage each client is limited to a combined return of \$152 million from a trustee, SIPC and London insurers. The TD Ameritrade supplemental coverage has an aggregate limit of \$500 million over all customers. This policy provides coverage following brokerage insolvency and does not protect against loss in market value of the securities.

An investment in a money market fund is not insured or guaranteed by the FDIC or any other government agency. Although certain money market funds may seek to preserve their value of your investment at \$1 per share, it is possible to lose money by investing in such a fund. Mutual fund purchases may be subject to eligibility and other restrictions, as well as charges and expenses. Certain money market funds may impose liquidity fees and redemption gates in certain circumstances.

Dividends are declared daily and paid/reinvested monthly. The prospectus contains this and other important information. Read the prospectus carefully before investing. Non-deposit investments held by your broker-dealer are NOT FDIC INSURED / NOT BANK GUARANTEED / MAY LOSE VALUE.

<sup>1</sup>Due to rounding adjustments, the statement details may not equal the statement totals.

<sup>2</sup>Estimated Annual Income and Estimated Annual Yield values are based upon the number of shares owned or current value balance as of the statement date and the most recent dividend rate or cash yield provided.

The balance in your bank deposit account or shares of your money market mutual fund can be liquidated on your order, and the proceeds returned to your securities account or remitted to you.

**Tax Reporting:** The portfolio report is not a tax document. You will receive Form 1099 for annual tax reporting in compliance with IRS requirements (includes taxable interest, dividends, capital gains, taxes withheld, and sales proceeds). Some payments are subject to reclassification which will be reflected on subsequent tax reports.

**Cost Basis:** Cost-Basis, tax lot and performance reporting and Gainskeeper are offered and conducted by CCH INCORPORATED. TD Ameritrade is not responsible for the reliability or suitability of the information. TD Ameritrade and its information providers do not guarantee the accuracy of the information and data provided. CCH INCORPORATED is a separate company and is not affiliated with TD Ameritrade.

**Margin and Options Account Agreements:** Be aware of the following: 1) Commissions and other charges related to the execution of option transactions have been included in confirmations of such transactions previously furnished to you and will be made available promptly upon request. 2) Promptly advise TD Ameritrade in writing of any change in your investment objectives or financial situation as they pertain to your margin or options account agreements. Commission/Fee represents base commission and any options contract, exercise, and assignment fees.

**Current Market Prices:** The market values of securities have been obtained, if available, from quotation services and other independent sources. Values are based on the closing price, the mean between the bid and asking prices, or other methods. If no market value is available from a quotation service or other independent source, the security is subject to being reflected as Not Available ("NA"). The valuations on your portfolio report are provided as general information and we do not guarantee the accuracy of any securities prices. Mortgage backed positions are valued using the remaining balance and the current market price. Portfolio report valuations may not represent sales proceeds. The secondary market for Certificates of Deposits ("CDs") is generally illiquid and the actual value may be different from the purchase price. A significant loss of principal may result from the sale of a CD prior to maturity. Bonds and/or Fixed Income Securities trade differently than equity securities and do not trade on a liquid exchange. Rather, they trade in the OTC (over the counter) market and sufficient liquidity may not exist for you to sell your position prior to maturity. The sale of bonds prior to maturity may result in a loss of principal.

**Bonds Quantity:** The figure on the statement represents the number of bonds. For example, \$3,000 of a \$1,000 face value bond would display as "3" in the quantity.

**Alternative Investments ("AI"),** also called Non Standard Assets ("NSA"), are typically investments in direct participation program securities (partnerships, limited liability companies, or real estate investment trusts), commodity pools, private equity, private debt or hedge funds. AI are typically illiquid investments and do not trade on a national securities exchange. The values shown for these investments are estimated values derived from various methods, including, but not limited to, unconfirmed management estimates, independent appraisals, the program's net assets, and/or third party tender offers that have been provided by the management, administrator, and/or sponsor of each program, or by a third-party vendor without independent verification by TD Ameritrade. Values may not reflect the original purchase price, actual market value or be realized upon liquidation. If an estimated value cannot be established through these methods, the valuation may be reflected as Not Available ("NA"). For additional detail regarding valuation for Alternative Investments, please contact Client Services. These investments are not covered under the SIPC. All transaction fees are applicable to purchases, capital call processing, and redemptions.

Δ Distributions on Direct Participation Programs and/or REITs are reported and a net investment per share estimated value is also reported. Pricing and distribution information has been provided by the sponsor, issuer or other external party responsible for reporting of the DPP or REIT and the classification of distributions as income or return of capital, in whole or in part, is subject to final accounting by such party(ies) and will be reported to you on a Form 1099 or K-1, as applicable.

**Auction Rate Securities ("ARS") Pricing:** The market values for ARS securities have been obtained, if available, from quotation services or other independent sources. The accuracy of the pricing is not guaranteed. If a market value is not available, TD Ameritrade will price the ARS position, taking into consideration both the liquidity and underlying credit quality. The ARS may lack liquidity and, as a result, there can be no assurance that such securities can be sold under current market conditions.

All transactions are subject to (i) the constitution, rules, regulations, customs and usages of the exchange or market, and its clearinghouse, if any, on which such transactions are executed, (ii) federal and state laws, and the rules and regulations promulgated thereunder; and (iii) the rules and regulations of FINRA and the Federal Reserve System.

For an investor brochure that includes information describing FINRA's Public Disclosure Program, please contact FINRA at 800-289-9999 or [www.finra.org](http://www.finra.org).

The interest rate shown for TD Ameritrade Cash is taken from the applicable interest rate tier for the Market Value balance in the TD Ameritrade Cash, as of the statement closing date. Simple interest is accrued daily based on the interest rate tier applicable to each day's balance.

**MSRB RULE G-10:** TD Ameritrade, Inc. is registered with the Municipal Securities Rulemaking Board and the U.S. Securities and Exchange Commission. The website address for the Municipal Securities Rulemaking Board is <http://www.msrb.org>. An investor brochure is available on the website of the Municipal Securities Rulemaking Board which describes the protections that may be provided by the Municipal Securities Rulemaking Board rules and how to file a complaint with an appropriate regulatory authority.

**Financial Statement Notification:** The statement of financial condition for TD Ameritrade Clearing, Inc. is available twice a year and may be obtained at no cost, via the internet at <http://www.tdameritrade.com/financialstatement.html>.

**Option Assignment:** All short equity option positions and some index option positions are allocated for assignment. Exercise assignment notices for equity or index options are randomly allocated among all clients' short positions.

**Free Credit Balances (Rule 15c3-2 & 3):** Under the client protection rules, we may use free credit balances in your account in the ordinary course of our business which are payable to you on demand.

**Margin Accounts (Regulation T):** If you have a margin account, this report is a combination of your margin account and a special memorandum account. Trading on margin poses additional risks and is not suitable for all investors. A complete list of the risks associated with margin trading is available in the margin risk disclosure document. You may obtain a copy of this document by contacting us at the number listed on page one of your statement.

**Payment for Order Flow Disclosure (Rules 606 and 607):** Rule 607 of Regulation NMS requires broker-dealers to disclose, upon opening a new customer account and on an annual basis thereafter: (i) its policies regarding receipt of payment for order flow, including a statement as to whether any payment for order flow is received for routing customer orders and a detailed description of the nature of the compensation received; and (ii) its policies for determining where to route customer orders that are the subject of payment for order flow absent specific instructions.

The firm receives compensation for directing listed and OTC securities, and options order flow to selected market centers (e.g., broker dealers, exchanges and alternative trading systems for execution). Compensation generally is in the form of a per share or per contract cash payment. The potential for receipt of order flow payment is not a factor in the routing determination. TD Ameritrade also may receive compensation related to the foreign currency exchange component of transactions in foreign securities from market centers executing such trades. In accordance with SEC Rule 606, TD Ameritrade posts quarterly reports that detail the material market centers to which TD Ameritrade routes orders in NMS Securities and TD Ameritrade's material relationships with those market centers. This report is made available at [www.tdameritrade.com/historical-606-disclosure.page](http://www.tdameritrade.com/historical-606-disclosure.page) or in written form upon request. As required under SEC Rule 606(b)(1), on request, TD Ameritrade will provide the identity of the market center to which your orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the executions, if any, that resulted from such orders. This applies to both held and not held order flow.

TD Ameritrade regularly assesses the execution quality provided by the market centers to which we route order flow in seeking best execution for our clients. For non-directed client orders, it is our policy to route orders to market centers based on a number of factors that are more fully discussed in the Supplemental Materials of FINRA Rule 5310, including where applicable, but not necessarily limited to, speed of execution, price improvement opportunities, differences in price disimprovement, likelihood of executions, the marketability of the order, size guarantees, service levels and support, the reliability of order handling systems, customer needs and expectations, transaction costs and whether the firm will receive remuneration for routing order flow to such market centers. Price improvement occurs when an order is executed at a price that is more favorable than the displayed national best bid or offer.

**Trade Confirmations (Rule 10b-10):** All confirmations are transmitted on the transaction date. If you participate in the Dividend Reinvestment Plan (DRIP) details regarding the reinvestment of dividends will be included on your monthly statements. TD Ameritrade will act as agent in having your DRIP purchases executed.

**Futures/Options Disclosures for EU Clients:** In accordance with the Packaged Retail and Insurance-based Investment Products Regulation - EU No 1286, retail investors based in the European Economic Area (EEA) can access Key Information Documents (KIDs) through the following landing page: <https://tdameritrade.com/priips-regulation.page>

**Taxes:** Transactions in foreign securities (including foreign company ADRs that trade in the U.S.) may include taxes and fees charged by the foreign markets or governments, which may be reflected in the price of the security or charged as an independent line item.

**Privacy Policy Notification:** A copy of the TD Ameritrade privacy policy is available at [www.tdameritrade.com](http://www.tdameritrade.com)

**Callable Securities:** The allocation of partial redemptions or calls is done using a pro-rata lottery system. A description of the procedures for callable securities is available on the website or hard copies are available upon request.

In case of errors or questions about your Electronic Fund Transfers, please contact us at 1-800-669-3900, or in writing to P.O. Box 2209, Omaha, NE 68103, or by email at [clientservices@tdameritrade.com](mailto:clientservices@tdameritrade.com). The information contained in your account statement shall be binding upon you if you do not object within sixty (60) days for any transfer of funds subject to Regulation E, such as ATM and point-of-sale transfers, debit transactions, direct deposits, and withdrawals. We must hear from you no later than 60 days after we sent you the FIRST statement on which the error or problem appeared.

- (1) Tell us your name and account number.
  - (2) Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
  - (3) Tell us the dollar amount of the suspected error.
- We will investigate your complaint and will correct any error promptly. If we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

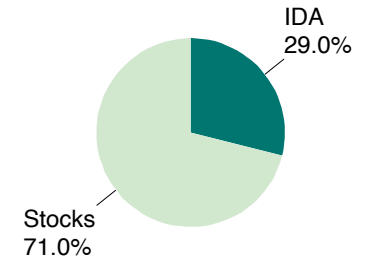


Statement Reporting Period:  
11/01/21 - 11/30/21

800-669-3900  
TD AMERITRADE  
DIVISION OF TD AMERITRADE INC  
PO BOX 2209  
OMAHA, NE 68103-2209  
TD Ameritrade Clearing, Inc., Member SIPC

Statement for Account # 776  
ELIZABETH HOLMES  
2443 FILLMORE ST # 370  
SAN FRANCISCO, CA 94115-1800

Portfolio Summary							
Investment	Current Value	Prior Value	Period Change	% Change	Estimated Income	Estimated Yield	Portfolio Allocation
Cash	\$ -	\$ -	\$ -	-	\$ -	-	
Insr Dep Acct (IDA)	7,027.93	7,027.87	0.06	-	-	0.01%	
Money Market	-	-	-	-	-	-	
Short Balance	-	-	-	-	-	-	
Stocks	17,206.10	17,415.07	(208.97)	(1.2)%	283.99	1.7%	
Short Stocks	-	-	-	-	-	-	
Fixed Income	-	-	-	-	-	-	
Options	-	-	-	-	-	-	
Short Options	-	-	-	-	-	-	
Mutual Funds	-	-	-	-	-	-	
Other	-	-	-	-	-	-	
<b>Total</b>	<b>\$24,234.03</b>	<b>\$24,442.94</b>	<b>(\$208.91)</b>	<b>(0.9)%</b>	<b>\$283.99</b>	<b>1.2%</b>	
<b>Margin Equity</b>	<b>100.0%</b>						



Cash Activity Summary			Income & Expense Summary			Performance Summary	
	Current	YTD	Reportable	Non Reportable	YTD		
<b>Opening Balance</b>	\$ 0.00	(\$3,783.66)	<b>Income</b>			<b>Cost Basis As Of - 11/30/21 **</b>	<b>\$28,233.14</b>
Securities Purchased	-	-	Dividends	\$ -	\$ -	Unrealized Gains	-
Securities Sold	-	10,686.43	Interest	-	-	Unrealized Losses	(11,027.04)
Funds Deposited	-	-	Other	-	-	Funds Deposited/(Disbursed) <sup>YTD</sup>	-
Funds Disbursed	-	-	<b>Expense</b>			Income/(Expense) <sup>YTD</sup>	124.61
Income	-	213.00	Interest	-	-	Securities Received/(Delivered) <sup>YTD</sup>	0.00
Expense	-	(88.39)	Fees	-	-		
Other	-	(7,027.38)	Other	-	-		
<b>Closing Balance</b>	<b>\$ 0.00</b>	<b>\$0.00</b>	<b>Net</b>	<b>\$0.00</b>	<b>\$0.00</b>		

\*\*To view realized gains and losses for your account, login at [www.tdameritrade.com](http://www.tdameritrade.com) and visit My Account > Cost Basis.

Statement for Account #  8776

11/01/21 - 11/30/21

**Income Summary Detail\***

Description	Current	Year to Date
Ordinary Dividends	\$ 0.00	\$ (17.30)
Margin Interest Charged	0.00	(33.09)
Qualified Dividends	0.00	213.00
IDA Interest	0.06	0.55

\*This section displays current and year to date totals for this account. The year to date totals will accurately reflect your cumulative amount for the year. Year-end tax reporting income amounts may differ from what is reflected on monthly statements versus your tax documents. Please reference your official tax document(s) for tax reporting.

**Account Positions**

Investment Description	Symbol/ CUSIP	Quantity	Current Price	Market Value	Purchase Date	Cost Basis	Average Cost	Unrealized Gain(Loss)	Estimated Income	Yield
<b>Stocks - Margin</b>										
AMARIN CORP ADR SPONSORED	AMRN	1,406	\$ 3.60	\$ 5,061.60	08/03/20	\$ 9,612.92	\$ 6.84	\$ (4,551.32)	\$ -	-
DBV TECHNOLOGIES ADR SPONSORED	DBVT	865	3.00	2,595.00	03/05/20	6,024.67	6.96	(3,429.67)	-	-
GILEAD SCIENCES INC COM	GILD	100	68.93	6,893.00	05/29/20	7,462.75	74.63	(569.75)	283.99	4.1%
TRICIDA INC COM	TCDA	350	7.59	2,656.50	08/04/20	5,132.80	14.67	(2,476.30)	-	-
<b>Total Stocks</b>				<b>\$17,206.10</b>		<b>\$28,233.14</b>		<b>\$(11,027.04)</b>	<b>\$283.99</b>	<b>1.7%</b>
<b>Total Margin Account</b>				<b>\$17,206.10</b>		<b>\$28,233.14</b>		<b>\$(11,027.04)</b>	<b>\$283.99</b>	<b>1.7%</b>

**Insured Deposit Account Interest Credited**

Begin Date	Balance	Number of Days	Interest Rate	Interest Accrued	MTD Accrued	MTD PAID
11/01/21	\$ 7,027.87	30	0.0100	\$ 0.06	\$ 0.06	\$ 0.06
<b>Total Interest Income</b>						<b>\$0.06</b>

Statement for Account #  776

11/01/21 - 11/30/21

**Insured Deposit Account Activity**

Date Cleared	Check Number	Date Written	Transaction	Description	Tracking Code	Expense Code	Amount	Balance
<b>Opening Balance</b>								<b>\$7,027.87</b>
11/30/21	-	11/30/21	Received	Interest: Insured Deposit Account Bank NA	-	-	\$ 0.06	7,027.93
<b>Closing Balance</b>								<b>\$7,027.93</b>
<b>TD Bank NA</b>							<b>\$7,027.93</b>	

FDIC Insured Deposit Account (IDA) balances reflected in your brokerage account are FDIC-insured up to applicable limits and held by one or more banks ("Program Banks"). Three of the Program Banks are Charles Schwab Bank, SSB; Charles Schwab Premier Bank, SSB; and Charles Schwab Trust Bank, each an affiliate of TD Ameritrade.

**Important Information**

**BREAKPOINTS**

Certain purchases of Class A Mutual Funds may be eligible for breakpoints on, and waivers of, the sales charge. To learn more about breakpoint discounts, go to <http://www.finra.org/industry/issues/breakpoints>. For more information on waiver eligibility, please refer to the fund prospectus.