

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>Dharmesh Modiya</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>	<p>Where should notices to the creditor be sent?</p> <p><u>Dharmesh Modiya</u> <u>Unit :1808, 470 Sentinel Road</u> <u>Toronto, Ontario M3J1V6, Canada</u></p>	<p>Where should payments to the creditor be sent? (if different)</p>
	<p>Contact phone <u>647-649-9855</u></p> <p>Contact email <u>mordharm22@gmail.com</u></p>	<p>Contact phone _____</p> <p>Contact email _____</p>
	<p>Uniform claim identifier for electronic payments in chapter 13 (if you use one): _____</p>	
<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? \$ 1276.30. 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.
Stock Purchase

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:

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

- Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B). Amount entitled to priority
\$ _____
- 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). \$ _____
- 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). \$ _____
- Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8). \$ _____
- Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5). \$ _____
- 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 02/26/2023
MM / DD / YYYY

/s/DHARMESH MODIYA
Signature

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

Name DHARMESH MODIYA
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: Dharmesh Modiya Unit :1808, 470 Sentinel Road Toronto, Ontario, M3J1V6 Canada Phone: 647-649-9855 Phone 2: Fax: Email: mordharm22@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: Stock Purchase	Last 4 Digits: No	Uniform Claim Identifier:
Total Amount of Claim: 1276.30	Includes Interest or Charges: No	
Has Priority Claim: No	Priority Under:	
Has Secured Claim: No	Nature of Secured Amount:	
Amount of 503(b)(9): No	Value of Property:	
Based on Lease: No	Annual Interest Rate:	
Subject to Right of Setoff: No	Arrearage Amount:	
	Basis for Perfection:	
	Amount Unsecured:	
Submitted By: DHARMESH MODIYA on 26-Feb-2023 9:14:11 a.m. Eastern Time		
Title:		
Company:		

ORDER EXECUTION ONLY ACCOUNT

All figures in \$USD unless otherwise specified

 Wealthsimple Investments Inc.

201 - 80 Spadina Avenue
Toronto, ON, M5V 2J4
Phone: (416) 595-7200 Fax: (647) 245-1002

Account No.	Owner	Statement Period
HQ4FSK1K9USD	Dharmesh Modiya	2023-01-01 - 2023-01-31

Dharmesh Modiya
1808-470 Sentinel Road
Toronto ON M3J1V6
CA

Tax-Free Savings Account				
	Market Value(\$)	% of Market Value	Book Value(\$)	% of Total Book Value
Cash	\$0.26	0.06	\$0.26	0.02
Canadian Equities and Alternatives	\$0.00	0.00	\$0.00	0.00
US Equities and Alternatives	\$374.40	99.93	\$1,276.30	99.97
Total Portfolio	\$374.66	100.00	\$1,276.56	100.00

Portfolio Cash

Last Statement Cash Balance	\$1.44	Cash Paid In	Deposits	\$0.00	Contributions:	
Total Cash Paid In	\$1,275.12		Proceeds from sales	\$1,275.12	Contributions (year to date):	\$0.00
Total Cash Paid Out	\$1,276.30		Dividends	\$0.00	First 60 Days	\$0.00
Closing Cash Balance	\$0.26		Interest	\$0.00	Rest of Year	\$0.00
			Other	\$0.00		
		Cash Paid Out	Fees	\$0.00		
			Taxes	\$0.00		
			Cost of Investments	\$1,276.30		
			Withdrawals	\$0.00		
			Other	\$0.00		

Portfolio Equities

	Symbol	Total Quantity	Segregated Quantity	Market Price (\$)	Market Value (\$)	Book Cost* (\$)
Canadian Equities and Alternatives	<i>(The conversion rate used to convert your month-end Market Value to CAD is: \$1USD = \$0.749063 CAD)</i>					
US Equities and Alternatives						
Tricida Inc.	TCDAQ	9360.0000	9360.0000	\$0.04 USD	\$374.40	\$1,276.30
Total					\$374.40	\$1,276.30

***Book Cost** - the total amount paid to purchase a security, including any transaction charges related to the purchase, adjusted for corporate reorganizations. The transaction charge schedule can be found [here](#). The book cost has been calculated to the best of our ability based on the information available to us, unless provided by you or your agent. As such, this information should not be used for the purpose of tax reporting as certain events are dependent on individual circumstances and the book value may not reflect all required adjustments. Please contact us to update the statement records if necessary.

Activity - Current period

Date	Transaction	Description	Charged (\$)	Credit (\$)	Balance (\$)
2023-01-17	SELL	BBBY - Bed, Bath & Beyond Inc.: Sold 276.0000 shares (executed at 2023-01-12)	\$0.00	\$1,275.12	\$1,276.56
2023-01-19	BUY	TCDAQ - Tricida Inc.: Bought 1360.0000 shares (executed at 2023-01-17)	\$185.10	\$0.00	\$1,091.46
2023-01-19	BUY	TCDAQ - Tricida Inc.: Bought 8000.0000 shares (executed at 2023-01-17)	\$1,091.20	\$0.00	\$0.26

LEVERAGE DISCLOSURE

Using borrowed money to finance the purchase of securities involves greater risk than using cash resources only. If you borrow money to purchase securities, your responsibility to repay the loan and pay interest as required by its terms remains the same even if the value of the securities purchased declines.

STATEMENT NOTES

Client accounts for Wealthsimple Trade and Wealthsimple Invest held at Wealthsimple Investments Inc. are protected by CIPF within specified limits in the event Wealthsimple Investments Inc. becomes insolvent. A brochure describing the nature and limits of coverage is available upon request. www.cipf.ca.

Free credit balances in non-registered accounts represent funds payable on demand which, although properly recorded in our books, are not segregated and may be used in the conduct of our business. Cash balances in registered accounts are held in trust by The Canada Trust Company. Occasional failed deliveries from executing brokers can cause shares to be desegregated based on approved segregation logic.

A statement of financial condition and a current list of directors and officers for Wealthsimple Investments Inc. will be furnished upon request. Clients in British Columbia are entitled to certain additional information about Wealthsimple Investments Inc., including information about commissions and fees that we charge, and about any administrative proceedings that may relate to the firm or its staff.

All sales of securities are disclosed to the Canada Revenue Agency on a yearly basis. These transactions must be reported on your annual income tax return. Keep this statement for income tax purposes, as no other will be provided in respect to these transactions. Employees of Wealthsimple Investments Inc. are not authorized to provide tax or legal advice. Please consult your accountant or lawyer on such matters. The information provided in this statement is compiled from our records and other sources believed to be reliable. However, we give no warranty as to the accuracy or completeness of the data nor is such warranty implied. Use of any of the information contained on this statement is entirely at the discretion of the recipient and no liability may be attached to the broker/dealer indicated on the face of this statement or such usage.

For regulatory purposes, Self Regulatory Organizations including Market Regulation Services Inc., the Investment Industry Regulatory Organization of Canada, the Mutual Fund Dealers Association of Canada, Bourse de Montreal Inc., and, the Canadian Investor Protection Fund (collectively "SROs") require access to personal information of current and former clients, employees, agents, directors, officers, partners and others that has been collected or used by Regulated Persons. SROs collect, use or disclose such personal information obtained from Regulated Persons for regulatory purposes, including:

Surveillance of trading-related activity, sales, financial compliance, trade desk review and other regulatory audits, investigation of potential regulatory and statutory violations, regulatory databases, enforcement or disciplinary proceedings, reporting to securities regulators, and, information-sharing with securities regulatory authorities, regulated marketplaces, other self-regulatory organizations and law enforcement agencies in any jurisdiction in connection with any of the foregoing.

This statement reflects all obligations of the firm to you. Please examine this statement of account promptly. Any errors or omissions must be reported in writing within 45 days as of the date of this statement to: Wealthsimple Investments Inc. Compliance Department, 201 - 80 Spadina Avenue, Toronto, Ontario, M5V 2J4 or you will be precluded from asserting that errors or omissions have occurred.

ENDNOTES

1. The market value for this security cannot be determined as there is no active market.
2. The market value for this security has been estimated as there is no active market.
3. Some or all of the book cost of this security has been determined using a fair market value calculation.

Information about Statement Codes

AFFILIATE - Affiliate bonus	GRANT - Grant payment	SELL - Sell of assets in an account
BUY - Purchase of assets	GRTRP - Grant repayment	SELLOCLOSE - Sell of option contracts
BUYTOOPEN - Purchase of option contracts	GST - Goods and services tax	STKDIS - Stock distribution
CLB - Canada Learning Bond grant	HBP - Redemption for home buyers' plan	STKREORG - Stock re-organization
CONT - Contribution	INT - Interest received	TAX - Tax withheld
CORRECTION - Applied correction	JRL - Journal	TRFIN - Transfer into the account
CREDIT - Credit issued	LLP - Redemption for lifelong learner plan	TRFINTF - Tax-free transfer into the account
CRYPTORWD - Crypto staking reward	LOAN - Stocks on loan	TRFOUT - Transfer out of the account
DCTFEE - Debit card transaction fee	NCDIS - Non-cash distribution	TRFOUTTF - Tax-free transfer out of the account
DEP - Non-contribution deposit	NRT - Non resident tax withheld	WD - Non-contribution withdrawal
DIV - Dividends received	NSF - Reversal of deposit due to non-sufficient funds	WHTFED - Federal withholding tax
DSCFEE - Deferred sales charge	PST - Provincial sales tax	WHTPROQC - Quebec withholding tax
EXERCISE - Option exercise	QST - Quebec sales tax	YTD - Year to Date
EXPIRY - Option expiry	RECALL - Termination of stock on loan	
FCPT - Foreign content penalty tax	REFER - Referral bonus	
FEE - Fee	ROC - Return of capital	
GIFTCARD - Giftcard redeemed		

Wealthsimple Investments Inc. (formerly Canadian ShareOwner Investments Inc.) is a wholly owned subsidiary of Wealthsimple Financial Corp. Wealthsimple Trade is a division of and is licensed for use by Wealthsimple Investments Inc.

Wealthsimple ETFs, Power Corporation of Canada (POW), Great West Life (GWL) and IGM Financial Inc. (IGM) are related/connected issuers of Wealthsimple Investments Inc.