

Fill in this information to identify the case:

Debtor Gritstone bio, Inc.

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

Case number 24-12305

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?	<u>Hueyyu Chen</u> 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?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent?	Where should notices to the creditor be sent? Hueyyu Chen Hueyyu Chen 11101 Bryans View Ct Henrico, Virginia 23233, United States Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should payments to the creditor be sent? (if different) Contact phone <u>8042702284</u> Contact email <u>wchenh@yahoo.com</u>
	Contact phone _____ Contact email _____ Uniform claim identifier for electronic payments in chapter 13 (if you use one): _____	
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> 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?	<input checked="" type="checkbox"/> No <input type="checkbox"/> 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?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: __ __ __ __
7. How much is the claim? \$ <u>2229.5</u>	Does this amount include interest or other charges? <input checked="" type="checkbox"/> No <input type="checkbox"/> 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?	<p>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.</p> <p><u>Purchase of Gristone bio Inc. 300 sh stock</u></p>
9. Is all or part of the claim secured?	<div><input checked="" type="checkbox"/> No</div> <div><input type="checkbox"/> Yes. The claim is secured by a lien on property. Nature or property: <div><input type="checkbox"/> Real estate: If the claim is secured by the debtor's principle residence, file a <i>Mortgage Proof of Claim Attachment</i> (Official Form 410-A) with this <i>Proof of Claim</i>. <input type="checkbox"/> Motor vehicle <input type="checkbox"/> Other. Describe: _____</div> Basis for perfection: _____ <small>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.)</small> 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) _____ % <div><input type="checkbox"/> Fixed <input type="checkbox"/> Variable</div></div>
10. Is this claim based on a lease?	<div><input checked="" type="checkbox"/> No</div> <div><input type="checkbox"/> Yes. Amount necessary to cure any default as of the date of the petition. \$ _____</div>
11. Is this claim subject to a right of setoff?	<div><input checked="" type="checkbox"/> No</div> <div><input type="checkbox"/> Yes. Identify the property: _____</div>



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:

☐ 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 entitled to administrative priority 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 02/06/2025
MM / DD / YYYY

/s/Hueyyu Chen
Signature

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

Name Hueyyu Chen
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 _____



Verita (KCC) ePOC Electronic Claim Filing Summary

For phone assistance: Domestic (877) 709-4754 | International (424) 236-7233

Debtor: 24-12305 - Gristone bio, Inc. District: District of Delaware		
Creditor: Hueyyu Chen Hueyyu Chen 11101 Bryans View Ct Henrico, Virginia, 23233 United States Phone: 8042702284 Phone 2: Fax: Email: wchenh@yahoo.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: Purchase of Gristone bio Inc. 300 sh stock	Last 4 Digits: No	Uniform Claim Identifier:
Total Amount of Claim: 2229.5	Includes Interest or Charges: No	
Has Priority Claim: No	Priority Under:	
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: Hueyyu Chen on 06-Feb-2025 1:14:28 a.m. Eastern Time Title: Company:		

STATEMENT FOR:
HUEYYU CHEN

Beginning Total Value (as of 10/1/24)	\$5,571.68
Ending Total Value (as of 10/31/24)	\$5,859.56
<i>Includes Accrued Interest</i>	

Access Your Account Online At
www.etrade.com or call 800-387-2331

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#BWNJGMM
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HUEYYU CHEN
11101 BRYANS VIEW CT
HENRICO VA 23233

INVESTMENTS AND INSURANCE PRODUCTS: NOT FDIC INSURED • NOT A BANK DEPOSIT •
NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY • NOT BANK GUARANTEED •
MAY LOSE VALUE • UNLESS SPECIFICALLY NOTED, ALL VALUES ARE DISPLAYED IN USD

Standard Disclosures

The following Disclosures are applicable to the enclosed statement(s). Expanded Disclosures are attached to your most recent June and December statement (or your first Statement if you have not received a statement for those months). The Expanded Disclosures are also available online or by contacting us by using the contact information on the statement cover page.

Questions?

Questions regarding your account may be directed to us by using the contact information on the statement cover page.

Errors and Inquiries

Be sure to review your statement promptly, and immediately address any concerns regarding entries that you do not understand or believe were made in error by contacting us by using the contact information on your statement cover page. Oral communications regarding any inaccuracy or discrepancy in this statement should be re-confirmed in writing to further protect your rights, including rights under the Securities Investor Protection Act (SIPA). Your statement will be deemed correct unless we receive a written inquiry of a suspected error. See your account documentation for special rules regarding your rights and responsibilities with respect to erroneous electronic fund transfers, including a description of the transfers covered. For concerns or complaints, contact us.

Senior Investor Helpline

Senior Investor clients or those acting on their behalf have a convenient way to communicate with our Firm by calling us at (800) 280-4534 Monday-Friday 9am-7pm Eastern Time.

Availability of Free Credit Balances and Financial Statements

Under the customer protection rules of the SEC [17 CFR §240.15c3-3], we may use funds comprising free credit balances carried for customer accounts here, provided that these funds are payable to customers on demand (i.e., are free of a lien or right of set-off in our favor or on behalf of some third party to whom you have given control). A financial statement of this organization is available for your personal inspection at its offices, or a copy will be mailed to you upon your written request.

Listed Options

Information with respect to commissions and other charges related to the execution of options transactions has been included in confirmations of such transactions previously furnished to you and such information will be made available to you promptly at your request. Promptly advise us of any material change in your investment objectives or financial situation.

Important Information if You are a Margin Customer(not available for certain retirement accounts)

If you have margin privileges, you may borrow money from us in

exchange for pledging assets in your accounts as collateral for any outstanding margin loan. The amount you may borrow is based on the value of the eligible securities in your margin accounts. If a security has eligible shares, the number of shares pledged as collateral will be indicated below the position.

Margin Interest Charges

We calculate interest charges on margin loans as follows: (1) multiply the applicable margin interest rate by the daily close of business net settled debit balance, and (2) divide by 360 (days). Margin interest accrues daily throughout the month and is added to your debit balance at month-end. The month-end interest charge is the sum of the daily accrued interest calculations for the month. We add the accrued interest to your debit balance and start a new calculation each time the applicable interest rate changes and at the close of every statement month. For interest rate information, log into your account online and select your account with a Margin agreement to view more information.

Information Regarding Special Memorandum Account

If you have a Margin Account, this is a combined statement of your Margin Account and Special Memorandum Account maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the Special Memorandum Account as required by Regulation T is available for your inspection at your request.

Important Information About Auction Rate Securities

For certain Auction Rate Securities there is no or limited liquidity. Therefore, the price(s) for these Auction Rate Securities are indicated by N/A (not available). There can be no assurance that a successful auction will occur or that a secondary market exists or will develop for a particular security.

Structured Investments Risks and Considerations

Structured Investments (Structured Products) are complex products and may be subject to special risks. Investors should consider the concentration risk of owning the related security and their total exposure to any underlying asset. Structured Investments, which may appear in various statement product categories and are identified on the Position Description Details line as "Asset Class: Struct Inv," may not perform in a manner consistent with the statement product category where they appear and therefore may not satisfy portfolio asset allocation needs for that category. For information on the risks and conflicts of interest related to Structured Investments generally, log in to Morgan Stanley Online and go to www.morganstanley.com/structuredproductsrisksandconflicts.

Security Measures

This statement features several embedded security elements to safeguard its authenticity. One is a unique blue security rectangle,

printed in heat-sensitive ink on the back of every page. When exposed to warmth, the color will disappear, and then reappear.

SIPC Protection

We are a member of Securities Investor Protection Corporation (SIPC), which protects securities of its customers up to \$500,000 (including \$250,000 for claims for cash). An explanatory brochure is available upon request or at www.sipc.org. Losses due to market fluctuation are not protected by SIPC and assets not held with us may not be covered by SIPC protection. To obtain information about SIPC, including an explanatory SIPC brochure, contact SIPC at 1-202-371-8300 or visit www.sipc.org.

Transaction Dates and Conditions

Upon written request, we will furnish the date and time of a transaction and the name of the other party to a transaction. We and/or our affiliates may accept benefits that constitute payment for order flow. Details regarding these benefits and the source and amount of any other remuneration received or to be received by us in connection with any transaction will be furnished upon written request.

Equity Research Ratings Definitions and Global Investment Manager Analysis Status

Some equity securities may have research ratings from Morgan Stanley & Co. LLC or Morningstar, Inc. Research ratings are the research providers' opinions and not representations or guarantees of performance. For more information about each research provider's rating system, see the Research Ratings on your most recent June or December statement (or your first statement if you have not received a statement for those months), go online or refer to the research provider's research report. Research reports contain more complete information concerning the analyst's views and you should read the entire research report and not infer its contents from the rating alone. If your account contains an advisory component or is an advisory account, a GIMA status will apply.

Credit Ratings from Moody's Investors Service and Standard & Poor's

The credit rating from Moody's Investors Service and Standard & Poor's may be shown for certain securities. All credit ratings represent the opinions of the provider and are not representations or guarantees of performance. Please contact us if you need further information or assistance in interpreting these credit ratings.

Revised 11/2022

Account Summary

Self-Directed Retirement Account
488-369748-208
Roth IRA

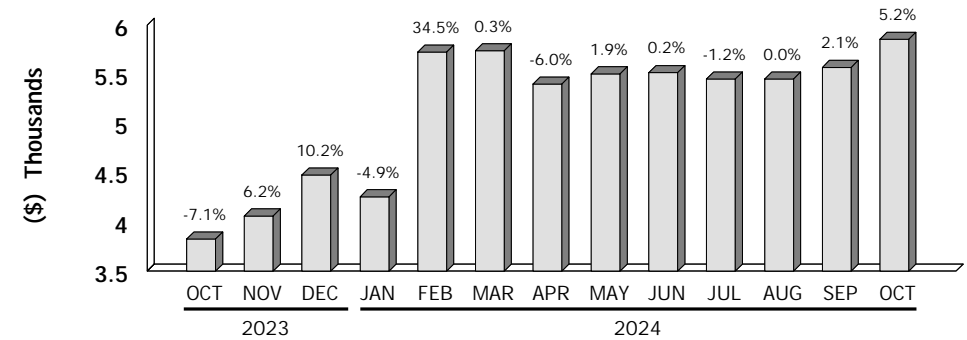
HUEYU CHEN

CHANGE IN VALUE OF YOUR ACCOUNT (includes accrued interest)

	This Period (10/1/24-10/31/24)	This Year (1/1/24-10/31/24)
TOTAL BEGINNING VALUE	\$5,571.68	\$4,477.98
Credits	—	1,504.00
Debits	—	—
Security Transfers	—	—
Net Credits/Debits/Transfers	—	\$1,504.00
Change in Value	287.88	(122.42)
TOTAL ENDING VALUE	\$5,859.56	\$5,859.56

MARKET VALUE OVER TIME

The below chart displays the most recent thirteen months of Market Value.

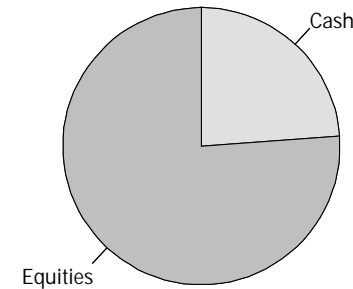


The percentages above represent the change in dollar value from the prior period. They do not represent account investment performance, as they do not consider the impact of contributions and withdrawals, nor other factors that may have affected performance calculations. No percentage will be displayed when the previous month reflected no value.

ASSET ALLOCATION (includes accrued interest)

	Market Value	Percentage
Cash	\$1,394.16	23.79
Equities	4,465.40	76.21
TOTAL VALUE	\$5,859.56	100.00%

FDIC rules apply and Bank Deposits are eligible for FDIC insurance but are not covered by SIPC. Cash and securities (including MMFs) are eligible for SIPC coverage. See Expanded Disclosures. Values may include assets externally held, as a courtesy, and may not be covered by SIPC. Foreign Exchange (FX) is neither FDIC nor SIPC insured. For additional information, refer to the corresponding section of this statement.



This asset allocation represents holdings on a trade date basis, and projected settled Cash/BDP and MMF balances. These classifications do not constitute a recommendation and may differ from the classification of instruments for regulatory or tax purposes.

Account Summary

Self-Directed Retirement Account HUEYYU CHEN
488-369748-208
Roth IRA

BALANCE SHEET (^ includes accrued interest)

	Last Period (as of 9/30/24)	This Period (as of 10/31/24)
Cash, BDP, MMFs	\$308.14	\$1,394.16
Stocks	5,263.54	4,465.40
Total Assets	\$5,571.68	\$5,859.56
TOTAL VALUE	\$5,571.68	\$5,859.56

INCOME AND DISTRIBUTION SUMMARY

	This Period (10/1/24-10/31/24)	This Year (1/1/24-10/31/24)
Dividends	\$1.51	\$47.05
Interest	0.01	0.05
TOTAL INCOME AND DISTRIBUTIONS	\$1.52	\$47.10

CASH FLOW

	This Period (10/1/24-10/31/24)	This Year (1/1/24-10/31/24)
OPENING CASH, BDP, MMFs	\$308.14	\$40.98
Purchases	(1,907.47)	(6,410.44)
Dividend Reinvestments	(1.51)	(47.05)
Sales and Redemptions	2,993.48	6,259.57
Income and Distributions	1.52	47.10
Total Investment Related Activity	\$1,086.02	\$(150.82)
Electronic Transfers-Credits	—	1,504.00
Total Cash Related Activity	—	\$1,504.00
CLOSING CASH, BDP, MMFs	\$1,394.16	\$1,394.16

GAIN/(LOSS) SUMMARY

	Realized This Period (10/1/24-10/31/24)	Realized This Year (1/1/24-10/31/24)	Unrealized Inception to Date (as of 10/31/24)
TOTAL GAIN/(LOSS)	\$404.06	\$(1,164.06)	\$(2,140.13)

The Gain/(Loss) Summary, which may be subsequently adjusted, is provided for informational purposes and should not be used for tax preparation. For additional detail, please visit www.etrade.com.

Account Summary

Self-Directed Retirement Account
488-369748-208
Roth IRA

HUEYYU CHEN

RETIREMENT RECAP

2023 Fair Market Value (includes accrued interest): \$4,477.98

	2023	2024 (year-to-date)	Historical
Contributions			
Individual	\$1,250.00	\$250.00	\$3,000.00

HISTORICAL CONTRIBUTIONS & DISTRIBUTIONS

	Contributions	Distributions
2019 and Prior	\$0.00	\$0.00
2020	0.00	0.00
2021	0.00	0.00
2022	1,500.00	0.00
2023	1,250.00	0.00
2024	250.00	0.00

LIFETIME	\$3,000.00	\$0.00
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The contribution and distribution information on this page is based on information you provided and not intended for tax purposes. Contributions are recorded for the year in which they are received, unless made on or before the applicable deadline and designated for the prior year at the time the contribution is made. Historical information may not include all transactions and/or may group transactions into general categories.

Refer to the Additional Retirement Account Information in the Expanded Disclosures.

The historical information reflected here does not include transactions occurring prior to 1/1/22.

BENEFICIARIES (Visit www.etrade.com to view and update your beneficiaries.)

Primary Beneficiary

Amy G Chen
Xiangning Chen

DANIEL G CHEN

Kelvin G Chen

The beneficiary information above is for informational purposes only. The official record is the last dated beneficiary designation received by us in acceptable form, either in writing or submitted electronically, during your lifetime. If there is a discrepancy, the beneficiaries listed on your last dated beneficiary designation received in acceptable form will govern.

Account Detail

Self-Directed Retirement Account
488-369748-208
Roth IRA

HUEYYU CHEN

Brokerage Account

Investment Objectives (in order of priority): Capital Appreciation

Inform us if your investment objectives, as defined in the Expanded Disclosures, change.

HOLDINGS

This section reflects positions purchased/sold on a trade date basis. "Market Value" and "Unrealized Gain/(Loss)" may not reflect the value that could be obtained in the market. Your actual investment return may differ from the unrealized gain/(loss) displayed. Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date. Estimated Annual Income a) is calculated on a pre-tax basis, b) does not include any reduction for applicable non-US withholding taxes, c) may include return of principal or capital gains which could overstate such estimates, and d) for holdings that have a defined maturity date within the next 12 months, is reflected only through maturity date. Actual income or yield may be lower or higher than the estimates. Current Yield is an estimate for informational purposes only. It reflects the income generated by an investment, and is calculated by dividing the total estimated annual income by the current market value of the entire position. It does not reflect changes in its price. Structured Investments, identified on the Position Description Details line as "Asset Class: Struct Inv," may appear in various statement product categories. When displayed, the accrued interest, annual income and current yield for those with a contingent income feature (e.g., Range Accrual Notes or Contingent Income Notes) are estimates and assume specified accrual conditions are met during the relevant period and payment in full of all contingent interest. For Floating Rate Securities, the accrued interest, annual income and current yield are estimates based on the current floating coupon rate and may not reflect historic rates within the accrual period.

For additional information related to Unrealized and Realized Gain/(Loss) and tax lot details, including cost basis, please visit www.etrade.com. The information presented on the statement should not be used for tax purposes.

CASH, BANK DEPOSIT PROGRAM AND MONEY MARKET FUNDS

Cash, Bank Deposit Program, and Money Market Funds are generally displayed on a settlement date basis. You have the right to instruct us to liquidate your bank deposit balance(s) or shares of any money market fund balance(s) at any time and have the proceeds of such liquidation remitted to you. Estimated Annual Income, Accrued Interest, and APY% will only be displayed for fully settled positions. Under the Bank Deposit Program, free credit balances held in an account(s) at Morgan Stanley Smith Barney LLC are automatically deposited into an interest-bearing deposit account(s), at Morgan Stanley Bank, N.A. and/or Morgan Stanley Private Bank, National Association, each a national bank, FDIC member and an affiliate of Morgan Stanley. Under certain circumstances, deposits may be held at other FDIC insured Program Banks. For more information regarding the Bank Deposit Program and the Program Banks, go to www.etrade.com/bdpcdisclosure. Cash and interest from required Pattern Day Trader minimum equity amounts are retained in Cash Balance Program.

Description		Market Value	7-Day Current Yield %	Est Ann Income	APY %
MORGAN STANLEY PRIVATE BANK NA		\$1,394.16	—	\$0.14	0.010
<hr/>					
	Percentage of Holdings	Market Value		Est Ann Income	
CASH, BDP, AND MMFs	23.79%	\$1,394.16		\$0.14	

Account Detail

Self-Directed Retirement Account
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Roth IRA

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STOCKS

COMMON STOCKS

Morgan Stanley & Co. LLC (Morgan Stanley) and Morningstar, Inc.'s equity research ratings are shown for certain securities. These ratings represent the opinions of the research provider and are not representations or guarantees of performance. The applicable research report contains more information regarding the analyst's opinions, analysis, and rating, and you should read the entire research report and not infer its contents. For ease of comparison, Morgan Stanley and Morningstar, Inc.'s equity research ratings have been normalized to a 1 (Buy), 2 (Hold), and 3 (Sell). Refer to your June or December statement for a summary guide describing the ratings. We do not take responsibility for, nor guarantee the accuracy, completeness, or timeliness of research prepared for Morningstar, Inc.

Security Description		Quantity	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
APPLE INC (AAPL)	Purchases	1.999	\$225.910	\$240.00	\$451.60	\$211.60		
Reinvestments		0.043		6.58	9.71	3.13		
	Total	2.042		246.58	461.31	214.73	2.04	0.44
Rating: Morgan Stanley: 1; Morningstar: 3; Next Dividend Payable 11/2024; Asset Class: Equities								
BLOOMIN'BRANDS INC COM (BLMN)	Purchases	30.001	16.590	764.77	497.71	(267.06)		
Reinvestments		1.907		44.22	31.64	(12.58)		
	Total	31.908		808.99	529.35	(279.64)	30.63	5.79
Rating: Morgan Stanley: 2; Next Dividend Payable 12/2024; Asset Class: Equities								
CHARLES SCHWAB NEW (SCHW)	Purchases	10.001	70.830	526.30	708.37	182.07		
Reinvestments		0.249		15.15	17.63	2.48		
	Total	10.250		541.45	726.01	184.55	10.25	1.41
Rating: Morgan Stanley: 2; Morningstar: 2; Next Dividend Payable 11/2024; Asset Class: Equities								
COSTCO WHOLESALE CORP NEW (COST)		1.000	874.180	875.00	874.18	(0.82)	4.64	0.53
Rating: Morgan Stanley: 1; Morningstar: 3; Next Dividend Payable 11/15/24; Asset Class: Equities								
GE VERNOVA INC (GEV)		1.000	301.660	134.00	301.66	167.66	—	—
Rating: Morgan Stanley: 1; Morningstar: 3; Asset Class: Equities								
GRITSTONE BIO INC (GRTSQ)		300.000	0.025	1,793.00	7.53	(1,785.47)	—	—
Asset Class: Equities								
JPMORGAN CHASE & CO (JPM)	Purchases	1.000	221.920	173.88	221.92	48.04		
Reinvestments		0.040		6.65	8.88	2.23		
	Total	1.040		180.53	230.80	50.27	5.20	2.25
Rating: Morgan Stanley: 2; Morningstar: 3; Next Dividend Payable 01/2025; Asset Class: Equities								
NORWEGIAN CRUISE LINE HLDG LTD (NCLH)		5.000	25.340	145.00	126.70	(18.30)	—	—
Rating: Morgan Stanley: 3; Morningstar: 2; Asset Class: Equities								
NUCOR CORPORATION (NUE)		3.000	141.840	444.00	425.52	(18.48)	6.48	1.52
Rating: Morgan Stanley: 1; Next Dividend Payable 11/08/24; Asset Class: Equities								
PLUG POWER INC (PLUG)		25.000	1.960	675.00	49.00	(626.00)	—	—
Rating: Morgan Stanley: 3; Morningstar: 2; Asset Class: Equities								

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488-369748-208
Roth IRA

HUEYU CHEN

Security Description	Quantity	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
TAIWAN SMCNDCTR MFG CO LTD ADR (TSM) <i>Rating: Morningstar: 2; Next Dividend Payable 01/2025; Asset Class: Equities</i>	3.000	190.540	584.97	571.62	(13.35)	5.51	0.96
TAKE TWO INTERACTIVE SOFTWARE (TTWO) <i>Rating: Morgan Stanley: 1, Morningstar: 2; Asset Class: Equities</i>	1.000	161.720	177.00	161.72	(15.28)	—	—

	Percentage of Holdings	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
STOCKS	76.21%	\$6,605.52	\$4,465.40	\$(2,140.13)	\$64.75	1.45%

	Percentage of Holdings	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
TOTAL VALUE	100.00%	\$6,605.52	\$5,859.56	\$(2,140.13)	\$64.89	1.11%

Unrealized Gain/(Loss) totals only reflect positions that have both cost basis and market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' or 'Pending Corporate Actions' are not included.

ALLOCATION OF ASSETS

	Cash	Equities	Fixed Income & Preferred Securities	Alternatives	Structured Investments	Other
Cash, BDP, MMFs	\$1,394.16	—	—	—	—	—
Stocks	—	\$4,465.40	—	—	—	—
TOTAL ALLOCATION OF ASSETS	\$1,394.16	\$4,465.40	—	—	—	—

ACTIVITY

CASH FLOW ACTIVITY BY DATE

Activity Date	Settlement Date	Activity Type	Description	Comments	Quantity	Price	Credits/(Debits)
10/3		Qualified Dividend	NVIDIA CORPORATION				\$0.22
10/3		Dividend Reinvestment	NVIDIA CORPORATION	ACTED AS AGENT DIVIDEND REINVESTMENT	0.002	118.0821	(0.22)
10/11	10/15	Sold	NVIDIA CORPORATION	ACTED AS AGENT UNSOLICITED TRADE	22.000	135.0000	2,969.91

Account Detail

Self-Directed Retirement Account
488-369748-208
Roth IRA

HUEYU CHEN

CASH FLOW ACTIVITY BY DATE (CONTINUED)

Activity Date	Settlement Date	Activity Type	Description	Comments	Quantity	Price	Credits/(Debits)
10/22	10/23	Bought	NUCOR CORPORATION	ACTED AS AGENT UNSOLICITED TRADE	3.000	148.0000	(444.00)
10/22	10/22	Bought	GRITSTONE BIO INC	ACTED AS AGENT UNSOLICITED TRADE a/o 10/21/24	100.000	0.0350	(3.50)
10/25	10/28	Sold	DOMINION ENERGY INC	ACTED AS PRINCIPAL UNSOLICITED TRADE	0.380	59.5650	22.63
10/28	10/29	Bought	TAIWAN SMCNDCTR MFG CO LTD ADR	ACTED AS AGENT UNSOLICITED TRADE	3.000	194.9900	(584.97)
10/29	10/30	Bought	COSTCO WHOLESALE CORP NEW	ACTED AS AGENT UNSOLICITED TRADE	1.000	875.0000	(875.00)
10/30	10/31	Sold	WALGREENS BOOTS ALLIANCE INC	ACTED AS PRINCIPAL UNSOLICITED TRADE	0.056	9.2750	0.52
10/30	10/31	Sold	NVIDIA CORPORATION	ACTED AS PRINCIPAL UNSOLICITED TRADE	0.003	139.9750	0.42
10/31		Interest Income	MORGAN STANLEY PRIVATE BANK NA	(Period 10/01-10/31)			0.01
10/31		Qualified Dividend	JPMORGAN CHASE & CO				1.29
10/31		Dividend Reinvestment	JPMORGAN CHASE & CO	ACTED AS AGENT DIVIDEND REINVESTMENT	0.006	225.0604	(1.29)
NET CREDITS/(DEBITS)							\$1,086.02

Purchase and Sale transactions above may have received an average price execution. Details regarding the actual prices are available upon request.

MONEY MARKET FUND (MMF) AND BANK DEPOSIT PROGRAM ACTIVITY

Activity Date	Activity Type	Description	Credits/(Debits)
10/15	Automatic Investment	BANK DEPOSIT PROGRAM	\$2,969.91
10/22	Automatic Redemption	BANK DEPOSIT PROGRAM	(3.50)
10/23	Automatic Redemption	BANK DEPOSIT PROGRAM	(444.00)
10/28	Automatic Investment	BANK DEPOSIT PROGRAM	22.63
10/29	Automatic Redemption	BANK DEPOSIT PROGRAM	(584.97)
10/30	Automatic Redemption	BANK DEPOSIT PROGRAM	(875.00)
10/31	Automatic Investment	BANK DEPOSIT PROGRAM	0.94
10/31	Automatic Investment	BANK DEPOSIT PROGRAM	0.01
NET ACTIVITY FOR PERIOD			\$1,086.02

MESSAGES

Senior Investor Helpline

For any inquiries or potential concerns, senior investors or someone acting on their behalf may contact our Firm by calling (800) 280-4534.

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