Fill in this info	Fill in this information to identify the case:					
Debtor	Rhodium Enterprises, Inc.					
United States Ba	nkruptcy Court for the: Southern	District of Texas (State)				
Case number	24-90454					

### 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.

P	art 1: Identify the Clair	m	
1.	Who is the current creditor?	Grant Fairbairn Revocable Trust  Name of the current creditor (the person or entity to be paid for this cla  Other names the creditor used with the debtor	aim)
2.	Has this claim been acquired from someone else?	✓ No  ✓ Yes. From whom?	
3.	Where should notices and payments to the creditor be sent?  Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent?  Grant Fairbairn Revocable Trust Brenda L. Funk Munsch Hardt Kopf and Harr, P.C. 700 Milam St., Suite 800 Houston, TX 77002, USA  Contact phone 713-222-5832 Contact email bfunk@munsch.com  Uniform claim identifier for electronic payments in chapter 13 (if you us	Where should payments to the creditor be sent? (if different) Grant Fairbairn Revocable Trust Grant Fairbairn 10 Orinda View Rd. Orinda, CA 94563, USA  Contact phone Contact email grant@transcendpartnersllc.com
4.	Does this claim amend one already filed?	<ul><li>✓ No</li><li>✓ Yes. Claim number on court claims registry (if known)</li></ul>	) Filed on
5.	Do you know if anyone else has filed a proof of claim for this claim?	No Yes. Who made the earlier filing?	

Official Form 410 Proof of Claim

Part 2:	Give Information	About the	Claim as	of the Date	the Case	Was Filed
rait Z.	Give illiorillation	ADOUL LITE	Ciaiiii as	oi tile Date	ule Case	vva5 i

6.		☑ No
	you use to identify the debtor?	Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor:
7.	How much is the claim?	\$ 1,008,183.92 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.  See attached Exhibit A.
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:
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:

Proof of Claim

Official Form 410

12. Is all or part of the claim			
entitled to priority under 11 U.S.C. § 507(a)?	_	ck all that apply:	Amount entitled to priority
A claim may be partly priority and partly	Dome	estic support obligations (including alimony and child support) under S.C. § 507(a)(1)(A) or (a)(1)(B).	•
nonpriority. For example, in some categories, the law limits the amount	☐ Up to	\$3,350* of deposits toward purchase, lease, or rental of property rvices for personal, family, or household use. 11 U.S.C. § 507(a)(7).	\$
entitled to priority.	days	es, salaries, or commissions (up to \$15,150*) earned within 180 before the bankruptcy petition is filed or the debtor's business ends, never is earlier. 11 U.S.C. § 507(a)(4).	\$
	☐ Taxes	s or penalties owed to governmental units. 11 U.S.C. § 507(a)(8).	\$
	Contr	ributions to an employee benefit plan. 11 U.S.C. § 507(a)(5).	\$
	Other	r. 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)?	Yes. Indic	ate the amount of your claim arising from the value of any goods rec re the date of commencement of the above case, in which the goods ry course of such Debtor's business. Attach documentation supportir	have been sold to the Debtor in
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.	I am the trus I am a guara I understand that the amount of the I have examined to I declare under per Executed on date  /s//s/ Grant Signature	ditor's attorney or authorized agent.  tee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.  Intor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.  In an authorized signature on this <i>Proof of Claim</i> serves as an acknowled claim, the creditor gave the debtor credit for any payments received to the information in this <i>Proof of Claim</i> and have reasonable belief that the enalty of perjury that the foregoing is true and correct.  11/22/2024  MM / DD / YYYYY  Trairbairn  f the person who is completing and signing this claim:  /s/ Grant Fairbairn	ward the debt. e information is true and correct.



Official Form 410 Proof of Claim

# Verita (KCC) ePOC Electronic Claim Filing Summary

For phone assistance: Domestic (888) 733-1541 | International 001-310-823-9000

i di pridric addictarioc. Domicat	ic (000) 733-1341   international 001-310-023-3000
Debtor:	
24-90454 - Rhodium Enterprises, Inc.	
District:	
Southern District of Texas, Houston Division	
Creditor:	Has Supporting Documentation:
Grant Fairbairn Revocable Trust	Yes, supporting documentation successfully uploaded
Brenda L. Funk	Related Document Statement:
Munsch Hardt Kopf and Harr, P.C.	Totalou Dodanioni Otatonioni
700 Milam St., Suite 800	Has Related Claim:
700 Milam St., Suite 600	No
Houston, TX, 77002	Related Claim Filed By:
USA	•
Phone:	Filing Party:
713-222-5832	Authorized agent
Phone 2:	
Fax:	
Email:	
bfunk@munsch.com	
Disbursement/Notice Parties:	
Grant Fairbairn Revocable Trust	
Grant Fairbairn	
10 Orinda View Rd.	
Orinda, CA, 94563	
USA	
Phone:	
Phone 2:	
Fax:	
E-mail:	
grant@transcendpartnersllc.com	
DISBURSEMENT ADDRESS	
Other Names Used with Debtor:	Amends Claim:
	No
	Acquired Claim:
	No
Basis of Claim:	Last 4 Digits: Uniform Claim Identifier:
See attached Exhibit A.	No State Committee Committ
Total Amount of Claim:	Includes Interest or Charges:
1,008,183.92	No
Has Priority Claim:	Priority Under:
No	
Has Secured Claim:	Nature of Secured Amount:
No	Value of Property:
Amount of 503(b)(9):	, ,
No	Annual Interest Rate:
Based on Lease:	Arrearage Amount:
No	Basis for Perfection:
Subject to Right of Setoff:	Amount Unsecured:
1	

Submitted By:

/s/ Grant Fairbairn on 22-Nov-2024 4:59:21 p.m. Eastern Time

Title:

Trustee

Company:

Grant Fairbairn Revocable Trust

**Optional Signature Address:** 

10 Orinda View Rd.

Orinda, CA, 94563

USA

Telephone Number:

Email:

grant@transcendpartnersllc.com

Fill in this information to identify the case:	Fill in this information to identify the case:					
Debtor 1 Rhodium Enterprises, Inc.						
Debtor 2 (Spouse, if filing)						
United States Bankruptcy Court for the: Southern District of Texas						
Case number 24-90454						

#### 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 of 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.

F	Part 1: Identify the Cl	aim					
1.	Who is the current creditor?		itor (the person or e	ntity to be paid for this clai	im)		
2.	Has this claim been acquired from someone else?	☑ No ☐ Yes. From whom	?				
3.	Where should notices and payments to the	Where should notice	es to the creditor	be sent?	Where should payn different)	nents to the credi	itor be sent? (if
	creditor be sent?	Brenda L. Funk / Munsch Hardt Kopf & Harr, PC			Grant Fairbairn I	Revocable Tru	st
	Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Name			Name		
		700 Milam St., Suite 800			10 Orinda View Rd.		
	( , (0)	Number Street			Number Street		
		Houston	TX	77002	Orinda	CA	94563
		City	State	ZIP Code	City	State	ZIP Code
		Contact phone 713-22	22-5832		Contact phone		
		Contact email bfunk	@munsch.cor	<u>n</u>	Contact email gra	nt@transcendp	partnersllc.com
		Uniform claim identifier fo		nts in chapter 13 (if you us	•		
4.	Does this claim amend one already filed?	☑ No ☐ Yes. Claim numb	er on court claims	s registry (if known)		Filed on	/ DD / YYYY
5.	Do you know if anyone else has filed a proof of claim for this claim?	☑ No ☐ Yes. Who made t	he earlier filing?				

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?	\$ not less than \$1,008,183.92  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).
3.	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.  See attached Exhibit A.
9.	Is all or part of the claim secured?	No Yes. The claim is secured by a lien on property.  Nature of property:  Real estate. If the claim is secured by the debtor's principal 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 amounts 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	<b>☑</b> No					
entitled to priority under 11 U.S.C. § 507(a)?	☐ Yes. Chec	k one:				Amount entitled to priorit
A claim may be partly priority and partly	Domes 11 U.S	stic support obligations (includin c.C. § 507(a)(1)(A) or (a)(1)(B).	g alimony and child sup	oort) unde	r	\$
nonpriority. For example, in some categories, the law limits the amount entitled to priority.		\$3,350* of deposits toward purcleal, family, or household use. 11		property o	r services for	\$
	bankru	s, salaries, or commissions (up to ptcy petition is filed or the debto c.C. § 507(a)(4).	o \$15,150*) earned with or's business ends, whic	in 180 day hever is ea	s before the arlier.	\$
	☐ Taxes	or penalties owed to governmen	ntal units. 11 U.S.C. § 50	07(a)(8).		\$
	☐ Contrib	outions to an employee benefit p	olan. 11 U.S.C. § 507(a)	(5).		\$
	Other.	Specify subsection of 11 U.S.C	. § 507(a)() that applie	es.		\$
	* Amounts	are subject to adjustment on 4/01/2	5 and every 3 years after th	at for cases	s begun on or aff	er the date of adjustment.
Part 3: Sign Below						
The never completing	Check the appr	ranviata have				
The person completing this proof of claim must		•				
sign and date it. FRBP 9011(b).	☐ I am the cr					
If you file this claim	_ · · · · · · · · · · · · · · · · · · ·					
electronically, FRBP	☐ 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.					
5005(a)(2) authorizes courts to establish local rules	i am a guarantor, surety, endorser, or other codebior. Dankrupicy Rule 3005.					
specifying what a signature						
is.		at an authorized signature on th claim, the creditor gave the debt				
A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5	I have examine and correct.	d the information in this <i>Proof o</i>	f Claim and have a reas	onable be	lief that the inf	ormation is true
years, or both. 18 U.S.C. §§ 152, 157, and	I declare under	penalty of perjury that the foreg	joing is true and correct.			
3571.	Executed on da	ate 11/22/2024				
	Signed I	by:				
	Grain	t Fairbairn				
		A46A24439			_	
	-	of the person who is comple	ting and signing this o	laim:		
		Grant Fairbairn				
	Name	First name	Middle name		Last name	
	Title	Trustee				
		Grant Fairbairn Revoc	able Trust			
	Company	Identify the corporate servicer a		ized agent i	s a servicer.	
	Address	10 Orinda View Rd.				
	, (44, 000	Number Street				
		Orinda		CA	94563	
		City		State	ZIP Code	
	Contact phone			Email Ora	ant@transce	endpartnersllc.com

#### EXHIBIT A TO PROOF OF CLAIM

This **Exhibit A** supplements the information in the accompanying Proof of Claim (the "<u>Claim</u>") filed by Grant Fairbairn Revocable Trust (the "Creditor"), against one or more of the Debtors ("<u>Debtors</u>"), and is incorporated as part of the Claim for all purposes. This Claim is filed without prejudice to any claims against non-Debtor parties, and any such claim is expressly reserved.

#### **DESCRIPTION OF CERTAIN TRANSACTIONS AND CLAIMS**

- 1. Creditor invested \$1,000,000 in one or more of the Debtors (the "Investment").
- 2. As of the Petition Date, Creditor has a secured claim in the amount of \$700,000 in principal and \$8,183.92 in interest against Rhodium Encore LLC (the "Secured Claim"). The Secured Claim is evidenced by a promissory note, security agreement and UCC-1 Financing Statements filed in Texas and Delaware. Creditor has additional claims for post-petition interest, fees and costs.
- 3. Certain of the Debtors participated in the "Rollup" transaction as described in the *Declaration of David M. Dunn in Support of Chapter 11 Petitions and First Day Relief* (dkt. 35). As a result of the Rollup, Creditor's equity investment of \$300,000 in Rhodium Encore was converted to shares in Rhodium Enterprises, Inc. ("Enterprises"). Creditor asserts damages in connection with the Rollup including, but not limited to, an incorrect allocation of equity ownership in Enterprises and inflated control premium.
- 4. Before the Petition Date, Debtors made transfers to other Debtors on an "intercompany" basis (the "<u>Intercompany Transactions</u>") for which adequate value was not received and which were made to the detriment of Creditor. Creditor asserts damages in connection with the Intercompany Transactions.
- 5. Before the Petition Date, the Debtors caused one or more amendments to the Operating Agreement for Rhodium Technologies (the "Amendments"); which Amendments were for the benefit of Imperium and other insiders, and which Amendments were not disclosed to Creditor. Creditor asserts damages in connection with the Amendments.
- 6. Before the Petition Date, certain Debtors entered into debt or equity transactions (the "<u>Dilutive Transactions</u>") without regard to the anti-dilution provisions of certain agreements with Creditor. Creditor asserts damages in connection with the Dilutive Transactions.
- 7. In addition to the bases for recovery set forth above, the Creditor asserts this Claim against the Debtors for all other damages and other remedies to which the Creditor may be entitled at law (contract, tort or otherwise) or in equity based on any and all actions, claims, causes of action, rights, damages, defenses, powers and privileges of any kind or character whatsoever, known, unknown, contingent or noncontingent, matured or unmatured, suspected or unsuspected, liquidated or unliquidated, disputed or undisputed, secured or unsecured, whether arising before, on, or after the Petition Date, in contract or in tort, in law or in equity or pursuant to any other theory of law.
- 8. The Creditor hereby asserts a total claim in the amount of not less than \$1,008,183.92 plus all other damages to which the Creditor is entitled.

#### **RESERVATION OF RIGHTS**

- 1 Creditor reserves, without limitation and to the fullest extent allowed by applicable law, the right to amend, modify, renew, extend, restate and/or supplement, for any reason, its Claim (including, without limitation, this exhibit to the Claim).
- The amount of the Claim asserted hereby is solely with respect to amounts owing as of the filing of this Claim as indicated herein and by the subsequent exhibits, and Creditor hereby reserves all rights to assert additional claims for any additional pre or post-petition amounts to which Creditor may be entitled, specifically as it relates to attorneys' fees, costs, expenses, and interest assessable pursuant to prevailing law, as set forth above, as well as reconciliation amounts that may be determined as due and owing subsequent to this filing.
- Furthermore, the filing of this Claim (including, without limitation, this exhibit to the Claim) is not and shall not be deemed or construed as:
  - (a) A waiver or release of Creditor's rights against any person, entity, or property of the Debtors or the Debtors' estate;
  - (b) A consent by Creditor to the jurisdiction of the United States Bankruptcy Court for the Southern District of Texas, Houston Division (the "Bankruptcy Court"), or any other court with respect to proceedings, if any, commenced against or otherwise involving the Debtors or Creditor;
  - (c) A waiver or release of Creditor's right to trial by jury in any proceedings as to any and all matters so triable herein, whether or not the same be designated legal or private rights or in any case, controversy, or proceeding related hereto, notwithstanding the designation or not of such matters as "core proceedings" pursuant to 28 U.S.C. § 157(b)(2), and whether such jury trial right is pursuant to statute or the United States Constitution;
  - (d) A consent by Creditor to a jury trial in the Bankruptcy Court or any other court in any proceeding as to any and all matters so triable herein or in any case, controversy, or proceeding related hereto, pursuant to 28 U.S.C. § 157 or otherwise;
  - (e) A waiver or release of Creditor's right to have any and all final orders in any and all noncore matters or proceedings entered only after de novo review by a United States District Court;
  - (f) A waiver of Creditor's rights to move to withdraw the reference with respect to the subject matter of its Claim (including, without limitation, this exhibit) and/or the Claim, any objection thereto or other proceedings that may be commenced in this case against or otherwise involving the Debtors or Creditor; or
  - (g) An election of remedies.

Signer	Debt Amount		payment Date	using 0.20% actual paid	using proper AFR 0.52%	Difference owed
Will Ho	\$700,000	GR Fairbairn Family Trust	2/22/2022	(1,465.21)	-3809.546	(2,344.34)
	, ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		2/1/2023	(1,315.62)	-3420.612	(2,104.99)
			2/29/2024	(1,507.40)	-3919.24	(2,411.84)
			subtotal	(4,288.23)	-11149.398	(6,861.17)
Will Ho	\$700,000	GRF Tiger Trust	2/22/2022	(1,465.21)		(2,344.34)
			2/1/2023	(1,315.62)	-3420.612	(2,104.99)
			2/29/2024	(1,507.40)	-3919.24	(2,411.84)
			subtotal	(4,288.23)	-11149.398	(6,861.17)
Will Ho	\$700,000	NC Fairbairn Family	0/00/0000	(4.405.04)	2000 540	(0.044.04)
VVIII FIO	\$700,000	Trust	2/22/2022	(1,465.21)	-3809.546 -3420.612	(2,344.34)
			2/1/2023	(1,315.62) (1,507.40)	-3420.612	(2,104.99) (2,411.84)
			subtotal	(4,288.23)	-11149.398	(6,861.17)
			Cubician	(1,200.20)	11110.000	(0,001111)
Will Ho	\$700.000	NCF Eagle Trust	2/22/2022	(1,465.21)	-3809.546	(2,344.34)
	Ţ. 00,000		2/1/2023	(1,315.62)	-3420.612	(2,104.99)
			2/29/2024	(1,507.40)	-3919.24	(2,411.84)
			subtotal	(4,288.23)	-11149.398	(6,861.17)
Grant Fairbairn	\$700,000	Grant Fairbairn Revocable Trust	2/22/2022	(1,469.04)	-3819.504	(2,350.46)
	, , , , ,		2/3/2023	(1,315.62)	-3420.612	(2,104.99)
			2/29/2024	(1,507.40)	-3919.24	(2,411.84)
			subtotal	(4,292.06)	-11159.356	(6,867.30)
Nina Fairbairn	\$700.000	Nina Claire Fairbairn Revocable Trust	2/22/2022	(1,469.04)	-3819.504	(2,350.46)
	. ,		2/3/2023	(1,315.62)	-3420.612	(2,104.99)
			2/29/2024	(1,507.40)	-3919.24	(2,411.84)
			subtotal	(4,292.06)	-11159.356	(6,867.30)
Nina Fairbairn	1,750,000	Transcend Partners Legend Fund LLC	2/22/2022	(3,672.60)	-9548.76	(5,876.16)
			2/1/2023	(3,289.04)	-8551.504	(5,262.46)
			2/29/2024	(3,768.49)	-9798.074	(6,029.58)
			subtotal	(10,730.13)	-27898.338	(17,168.21)
M.I. 1 - 7 - 1	44 550 555		0/00/10 7 7	(2.2.2	0005: 5::	/2
Malcolm Fairbair	11,550,000	Valley High LP	2/22/2022	(24,239.18)	-63021.868 -56439.942	(38,782.69)
			2/1/2023	(24,872.05)		(34,732.27)
			subtotal	(70,818.90)	-184129.14	(113,310.24)
			Jaziotai	(10,010.30)	101120.17	(110,010.24)
Total Owed from a	II Entities for in	accurate AFR Payr	nent totals	(171,657.71)		
in addition, the foll	owing table wa	as sent by Rhodium	CFO Kevin H	lays showing payr	nent dates, we d	id not receive mor Missing
Transcend Legend		X	Х	X	X	
Grant Revocable 1	rust	X	2/3/2023	X	X	\$1,316.62
Nina Living Trust		X	2/3/2023	X	X 8/2/2024	\$1,315.62 \$5,343.01
GR Fairbairn		X	X	X		\$5,343.01
GRF Tiger		X	X	X	X	
NCF Eagle		X	X	X	X	
Valley High NC Fairbairn Fami	lv	X	X	X	X	
IVO I AIIDAIIII FAIIII	ıy	^	^	^	^	



#### **Search Results**

STEVEN PATTERSON HOLLAND & KNIGHT LLP One Arts Plaza 1722 Routh St, Suite 1500 Dallas, TX 75201 Date: 11/02/2023 Order #: 95823694 Customer #: 518904

Reference 1: 226189.00001

Searched: 5 Years

Reference 2: --

Target Name: RHODIUM ENCORE LLC

Jurisdiction: Secretary of State, Delaware

Search Type: Federal Tax Lien Searched Through: 10/26/2023

Results: No Records Found /See Attached Certified Search Searched: 10 Years

Search Type: UCC Lien Searched Through: 10/26/2023

Results: Original Financing Statement(s): 1

See Attached Certified Search with 14 Copies Attached

TERRI FAULKS
UCC Team 6
4400 Easton Commons Way
Suite 125
Columbus, OH 43219
(800) 713-0705 EXT:3302
terri,faulks@wolterskluwer.com

This report contains information compiled from sources which CT Corporation considers reliable but does not control. The information provided is not a certified record of the applicable jurisdiction unless otherwise indicated. CT Corporation does not (i) warrant or guarantee the accuracy, completion or timeliness of the information provided or (ii) accept any liability for delays, errors or omissions in the information provided. CT Corporation is not an insurer with regard to this information or these services. Under no circumstances shall CT Corporation be liable for any loss of underlying collateral or loss (or decreased priority) of security interest in connection with this information or these services. Any categorization of search results is provided for convenience only and is not to be construed as a legal opinion concerning the status of filings .



Page 1

#### CERTIFICATE

SEARCHED NOVEMBER 2, 2023 AT 1:41 P.M. FOR DEBTOR, RHODIUM ENCORE LLC

1 OF 1 FINANCING STATEMENT 20237184814

EXPIRATION DATE: 10/20/2028

DEBTOR: RHODIUM ENCORE LLC

4412 SUMMERCREST COURT ADDED 10-20-23

FORT WORTH, TX US 76109

SECURED: VALLEY HIGH LP, A NEVADA LIMITED PARTNERSHIP

10 ORINDA VIEW RD ADDED 10-20-23

ORINDA, CA US 94563

SECURED: SCHWARZ, PAUL

1576 KITTYHAWK LN ADDED 10-20-23

GLENVIEW, IL US 60026

SECURED: 345 PARTNERS SPV2 LLC, A CALIFORNIA LIMITED LIABILITY

COMPANY

17148 MILL RISE WAY ADDED 10-20-23

LOS GATOS, CA US 95030

SECURED: KINTZ FAMILY TRUST, A TRUST FORMED UNDER THE LAWS OF

CALIFORNIA



**!** 

Authentication: 204507013

# Delaware

Page 2

The First State

6010 AGEE ST ADDED 10-20-23

SAN DIEGO, CA US 92122

SECURED: ABORN, JONATHAN

2150 BROADWAY APT 10B ADDED 10-20-23

NEW YORK, NY US 10023

SECURED: STRIS, PETER

13115 ESPINHEIRA DRIVE ADDED 10-20-23

CERRITOS, CA US 90703

SECURED: WILKINS-DUIGNAN 2009 REVOCABLE TRUST, A TRUST FORMED

UNDER THE LAWS OF CALIFORNIA

PO BOX 7278 ADDED 10-20-23

BERKELEY, CA US 94707

SECURED: JERALD AND MELODY HOWE WEINTRAUB REVOCABLE LIVING TRUST

DTD 02/05/98, AS AMENDED

3527 MT. DIABLO BOULEVARD #322 ADDED 10-20-23

LAFAYETTE, CA US 94549

SECURED: FULLERTON, RICHARD

3047 FILLMORE STREET ADDED 10-20-23

SAN FRANCISCO, CA US 94123

Authentication: 204507013

Page 3

SECURED: O'CONNELL, VICTOR

18812 PINEWOOD CIRCLE ADDED 10-20-23

CERRITOS, CA US 90703

SECURED: PATHAK, RACHANA

16416 KNOLL STONE CIRCLE ADDED 10-20-23

CERRITOS, CA US 90703

SECURED: GR FAIRBAIRN FAMILY TRUST, A TRUST FORMED UNDER THE

LAWS OF NEVADA

11 W. 30TH STREET, APT 7R ADDED 10-20-23

NEW YORK, NY US 10001

SECURED: GRANT FAIRBAIRN REVOCABLE TRUST, A TRUST FORMED UNDER

THE LAWS OF CALIFORNIA

10 ORINDA VIEW RD ADDED 10-20-23

ORINDA, CA US 94563

SECURED: GRF TIGER TRUST, A TRUST FORMED UNDER THE LAWS OF

NEVADA

11 W. 30TH STREET, APT 7R ADDED 10-20-23

NEW YORK, NY US 10001

SECURED: NC FAIRBAIRN FAMILY TRUST, A TRUST FORMED UNDER THE

LAWS OF NEVADA



Authentication: 204507013

# <u>Delaware</u>

Page 4

The First State

11 W. 30TH STREET, APT 7R ADDED 10-20-23

NEW YORK, NY US 10001

SECURED: NCF EAGLE TRUST, A TRUST FORMED UNDER THE LAWS OF

NEVADA

11 W. 30TH STREET, APT 7R ADDED 10-20-23

NEW YORK, NY US 10001

SECURED: NINA CLAIRE FAIRBAIRN REVOCABLE TRUST, A TRUST FORMED

UNDER THE LAWS OF CALIFORNIA

10 ORINDA VIEW RD ADDED 10-20-23

ORINDA, CA US 94563

SECURED: TRANSCEND PARTNERS LEGEND FUND LLC, A DELAWARE LIMITED

LIABILITY COMPANY

10 ORINDA VIEW RD ADDED 10-20-23

ORINDA, CA US 94563

SECURED: CULLINAN, BRIAN

56495 MOUNTAIN VIEW DRIVE ADDED 10-20-23

LA QUINTA, CA US 92253

SECURED: RUBIN, JACOB

180 CORTE MADERA RD ADDED 10-20-23

PORTOLA VALLEY, CA US 94028

Authentication: 204507013



Page 5

#### FILING HISTORY

20237184814 FILED 10-20-23 AT 3:27 P.M. FINANCING STATEMENT

#### END OF FILING HISTORY

THE UNDERSIGNED FILING OFFICER HEREBY CERTIFIES THAT THE ABOVE LISTING IS A RECORD OF ALL PRESENTLY EFFECTIVE FINANCING STATEMENTS, FEDERAL TAX LIENS AND UTILITY SECURITY INSTRUMENTS FILED IN THIS OFFICE WHICH NAME THE ABOVE DEBTOR, RHODIUM ENCORE LLC AS OF OCTOBER 26, 2023 AT 11:59 P.M.



Authentication: 204507013

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R REODIUM ENCORE LLC  15. INDIVIDUAL'S SURNAME	***************************************	FIRST PERSONAL NAME:		STEWNA	DNAL NAME(S)/INITIAL(S)	SUFFIX		
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Docusign Envelope ID: F3C96759-40F3-4A63-B58E-D31A674CF9AB

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24. MISCELLANEOUS:

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EXHIBIT A ATTACHED	HERETO,	ANU AUL	PKKNIEEDS	THEREOF.		

### **EXHIBIT A**

"Debtor" shall mean Rhodium Encore LLC

The Collateral shall consist of:

- (A) "Inventory" which means and includes all of Debtor's now owned or hereafter acquired goods, merchandise and other personal property, wherever located, to be furnished under any contract of service or held for sale or lease, all raw materials, work in process, finished goods and materials and supplies of any kind, nature or description which are or might be used or consumed in Debtor's business or used in selling or furnishing such goods, merchandise and other personal property, and all documents of title or other documents representing them;
- (B) "Equipment" which means and includes all of Debtor's now owned or hereafter acquired equipment, machinery, and goods (excluding Inventory), whether or not constituting fixtures, including, without limitation: all office equipment, tools, dies, parts, data processing equipment, furniture and trade fixtures, and vehicles, and all replacements and substitutions therefore and all accessions thereto:
- (C) "General Intangibles" which means and includes all of Debtor's now owned or hereafter acquired general intangibles as said term is defined in the Uniform Commercial Code including, without limitation, trademarks, tradenames, tradestyles, trade secrets, equipment formulation, manufacturing procedures, quality control procedures, product specifications, patents, patent applications, copyrights, registrations, contract rights, choses in action, causes of action, corporate or other business records, inventions, designs, goodwill, claims under guarantees, licenses, franchises, tax refunds, tax refund claims, computer program flow diagrams, source codes, object codes and all other intangible property of every kind and nature;
- (D) "Receivables" which means and includes all of Debtor's now owned or hereafter acquired accounts and contract rights, instruments, insurance proceeds, documents, chattel paper, letters of credit and Debtor's rights to receive payment thereunder, any and all rights to the payment or receipt of money or other forms of consideration of any kind at any time now or hereafter owing or to be owing to Debtor, all proceeds thereof and all files in which Debtor has any interest whatsoever containing information identifying or pertaining to any of Debtor's Receivables, together with all of Debtor's rights to any merchandise which is represented thereby, and all Debtor's right, title, security and guaranties with respect to each Receivable, including, without limitation, all rights of stoppage in transit, replevin and reclamation and all rights as an unpaid vendor;
- (E) All books, records, ledger cards, files, correspondence, computer programs, tapes, disks and related data processing software (owned by Debtor or in which it has an interest) which at any time evidence or contain information relating to (A), (B), (C) and (D) above or are otherwise necessary or helpful in the collection thereof or realization thereupon;
- (F) All of Debtor's right, title and interest in and to all goods and other property, whether or not delivered;

- (G) Documents of title, policies and certificates of insurance, securities, chattel paper, instruments and other documents or instruments evidencing or pertaining to (A), (B), (C), (D), (E) and (F) above or otherwise;
- (H) Intentionally Omitted.
- (I) (i) all cash held as cash collateral to the extent not otherwise constituting collateral, all other cash or property at any time on deposit with or held by secured party for the account of Debtor (whether for safekeeping, custody, pledge, transmission or otherwise), (ii) all present or future deposit accounts (whether time or demand or interest or non-interest bearing) of Debtor with secured party or any other person including those to which any such cash may at any time and from time to time be credited, (iii) all investments and reinvestment (however evidenced) of amounts from time to time credited to such accounts, and (iv) all interest, dividends, distributions and other proceeds payable on or with respect to (x) such investments and reinvestment and (y) such accounts; and
- (J) All products and proceeds of (A), (B), (C), (D), (E), (F), (G), (H) and (I) above (including, but not limited to, all claims to items referred to in (A), (B), (C), (D), (E), (F), (G), (H) and (I) above) and all claims of Debtor against third parties for (i) loss of, damage to, or destruction of, (ii) payments due or to become due under leases, rentals and hires of any or all of (A), (B), (C), (D), (E), (F), (G), (H) and (I) above and (iii) proceeds payable under, or unearned premiums with respect to policies of insurance in whatever form.

JCC FINANCING STA	TEMENT	C	07/22	043187/ 72024 08:1	00 нн D
A. NAME & PHONE OF CONTACT Name: Wolters Kluwer Lien; So B. E-MAIL CONTACT AT SUBMITT uccfilingretum@wolterskium C. SEND ACKNOWLEDGMENT TO	Autions Phone::800-331-328 TER (optional) wer.com O::(Name and Address) 51890	2 Fax: 818-662-4141	138520	99210002	
File with: Secretary of States BELOW FOR SEC	URED PARTY CONTACT IN	FORMATION :			3 OFFICE USE ONLY
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R	195: INDIVIDUAL'S SURNAME	FIRST	FERSONAL NAME	Abi	(8) JAITINK(8) SMAH JAHOITIK	SUFFIX
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	204. ORGANIZATION'S NAME		<del></del>			-
R	205. INDIVIDUAL'8 SURNAME	FIRST	PERSONAL NAME	ADO	DITIONAL HAME(S)/INITIAL(S)	SUFFIX
	205. INDIVIDUAL'8 SURNAME . MALING ADDRESS:	FRST	PERSONAL NAME	ADC		SUFFIX
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t	AME OF FIRST DEBTOR: Same as line 1s or 1b on Fine ecuse Individual Debtor name did not fit, check here,	ancing Statement; If line 15 was left bit ]	enk ,			
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	COL ORGANIZATION'S NAME			-	and they present the constant as	en maj.
1	206. INDIVIDUAL'S SURNAME	FIRST PERSONA	NAME	A00	TIONAL NAME(SYNITIAL(S)	SUFFUX
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<ol> <li>NAME OF FIRST DEBTOR: Same as line to or to on Fi because Individual Debtor name did not fit, check here.</li> </ol>		ifi blank			
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OR 199: INDIVIDUAL'S SURVAME	F#ST PER	SONAL NAME	Abomo	nal name(s)initial(s)	SUFFEX
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R 206. INDIVIDUAL'S SURNAME	FIRST PERS	CNM VAKE	Lacomo	NAL NAME(SYNOTIALIS)	SUFFLE
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ı	IBE. ORGANIZATION'S NAME	!		ł			
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R	86. INDIVIDUAL'S SURNAME			: 			
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	NAME OF FIRST DEBTOR: Same as line 1s or 1b on Financing Statem because individual Debtor name did not 6t, check here	ent; if line 1b was left t	denk			
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## EXHIBIT A

"Debtor" shall mean Rhodium Encore LLC

The Collateral shall consist of:

- (A) "Inventory" which means and includes all of Debtor's now owned or hereafter acquired goods, merchandise and other personal property, wherever located, to be furnished under any contract of service or held for sale or lease, all raw materials, work in process, finished goods and materials and supplies of any kind, nature or description which are or might be used or consumed in Debtor's business or used in selling or furnishing such goods, merchandise and other personal property, and all documents of title or other documents representing them;
- (B) "Equipment" which means and includes:all of Debtor's now owned or hereafter acquired equipment, machinery, and goods (excluding Inventory), whether or not constituting fixtures, including, without limitation: all office equipment, tools, dies, parts, data processing equipment, furniture and trade fixtures, and vehicles, and all replacements and substitutions therefore and all accessions thereto;
- (C) "General Intangibles" which means and includes all of Debtor's now owned or hereafter acquired general intangibles as said term is defined in the Uniform Commercial Code including, without limitation, trademarks, tradenames, tradestyles, trade secrets, equipment formulation, manufacturing procedures, quality control procedures, product specifications, patents, patent applications, copyrights, registrations, contract rights, choses in action, causes of action, corporate or other business records, inventions, designs, goodwill, claims under guarantees, licenses; franchises, tax refunds, tax refund claims, computer program flow diagrams, source codes, object codes and all other intangible property of every kind and nature;
- (D) "Receivables" which means and includes all of Debtor's now owned or hereafter acquired accounts and contract rights, instruments, insurance proceeds, documents, chattel paper, letters of credit and Debtor's rights to receive payment thereunder, any and all rights to the payment or receipt of money or other forms of consideration of any kind at any time now or hereafter owing or to be owing to Debtor, all proceeds thereof and all files in which Debtor has any interest whatsoever containing information identifying or pertaining to any of Debtor's Receivables, together with all of Debtor's rights to any merchandise which is represented thereby, and all Debtor's right, title, security and guaranties with respect to each Receivable, including, without limitation, all rights of stoppage in transit, replevin and reclamation and all rights as an unpaid vendor;
- (E) All books, records, ledger cards, files, correspondence, computer programs, tapes, disks and related data processing software (owned by Debtor or in which it has an interest) which at any time evidence or contain information relating to (A), (B), (C) and (D) above or are otherwise necessary or helpful in the collection thereof or realization thereupon;
- (F) All of Debtor's right, title and interest in and to all goods and other property, whether or not delivered;

- (G) Documents of title, policies and certificates of insurance, securities, chattel paper, instruments and other documents or instruments evidencing or pertaining to (A), (B), (C), (D), (E) and (F) above or otherwise;
- (H) Intentionally Omitted.
- (I) (i) all cash held as cash collateral to the extent not otherwise constituting collateral, all other cash or property at any time on deposit with or held by secured party for the account of Debtor (whether for safekeeping, custody, pledge, transmission or otherwise), (ii) all present or future deposit accounts (whether time or demand or interest or non-interest bearing) of Debtor with secured party or any other person including those to which any such cash may at any time and from time to time be-credited, (iii) all investments and reinvestment (however evidenced) of amounts from time to time credited to such accounts, and (iv) all interest, dividends, distributions and other proceeds payable on or with respect to (x) such investments and reinvestment and (y) such accounts; and
- (J) All products and proceeds of (A), (B), (C), (D), (E), (F), (G), (H) and (I) above (including, but not limited to, all claims to items referred to in (A), (B), (C), (D), (E), (F), (G), (H) and (I) above) and all claims of Debtor against third parties for (i) loss of, damage to, or destruction of, (ii) payments due or to become due under leases, rentals and hires of any or all of (A), (B), (C), (D), (E), (F), (G), (H) and (I) above and (iii) proceeds payable under, or uncarned premiums with respect to policies of insurance in whatever form.