Your claim can be filed electronically on KCC's website at https://epoc.kccllc.net/achaogen.
ID: 24576877 PIN: jBN8fDLS

Fill in this information to identify the case:

Debtor Achaogen, Inc.

United States Bankruptcy Court for the District of Delaware

Case number 19-10844

The Debtor has listed your claim on Schedule E/F Part 2 as a General Unsecured claim in the amount of $4,140.33. If you agree with this characterization and amount, you do not need to complete and return this form. If you disagree, please complete and return this form accordingly.

Official Form 410
Proof of Claim

04/19

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Other than a claim under 11 U.S.C. § 503(b)(9), this form should not be used to make a claim for an administrative expense arising after the commencement of the case.

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.

Part 1: Identify the Claim

NameID: 13767903

1. **Who is the current creditor?**
   E-Trade Financial Corporate Services
   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?**
   Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)

   RECEIVED
   JUL 22 2019
   KURTZMAN CARSON CONSULTANTS

   Where should notices to the creditor be sent?
   ATTN: President
   E*TRADE Financial Corporate Services, Inc.
   3 Edison Drive
   Alpharetta, GA 30005
   (678) 319-7783
   salesinfo@etrade.com

   Where should payments to the creditor be sent? (if different)
   Name
   E*TRADE Financial
   PO Box 3512
   Arlington, VA 22203
   United States
   (678) 319-7783
   salesinfo@etrade.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?

DocuSign Envelope ID: 6A5F0274-8499-405D-AA96-BD671D33887C

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: 8670

7. **How much is the claim?** $ 3,840.33 **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.
   Services Performed

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 amount should match the amount in line 7.)

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   JUL 22 2019
   KURTZMAN CARSON CONSULTANTS

   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: _____

1910844190620013533000166

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

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

☒ No

☐ Yes. *Check all that apply:*

	Amount entitled to priority
☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B).	$
☐ Up to $3,025* 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 $13,650*) 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 4/01/22 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 7/17/2019
MM / DD / YYYY

DocuSigned by:
Bevely Lowe
Signature
E152DBEC92E142C...

RECEIVED
JUL 22 2019
KURTZMAN CARSON CONSULTANTS

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

Name: First name / Middle name / Last name

Title: Vice President, Corporate Services

Company: E*TRADE Financial Corporate Services, Inc.

Address: 3 Edison Drive
Alpharetta, GA 30005
Phone: 678-319-7783 salesinfo@etrade.com

City / State / ZIP Code / Country

Contact phone / Email



DocuSign Envelope ID: 6A5F0274-8499-405D-AA96-BD671D33887C

E*TRADE
CORPORATE SERVICES

INVOICE

INVOICE DATE	:	05-APR-2019
INVOICE NO	:	47656
CUSTOMER NO	:	78670
PAGE NO	:	Page 1 of 1

BILL TO :
ACHAOGEN, INC.
One Tower Place, Suite 300
SOUTH SAN FRANCISCO, CA 94080
US
Attn: Accounting Department

SHIP TO :
ACHAOGEN, INC.
One Tower Place, Suite 300
SOUTH SAN FRANCISCO, CA 94080
US

Customer Name : ACHAOGEN, INC.

ETRADE Sales Rep :

F.O.B	PURCHASE ORDER	SHIP VIA	TERMS	ORDER NUMBER
			30 NET	OSS181442019427

ITEM NO.	ITEM DESCRIPTION	QTY ORDERED	QTY SHIPPED	UNIT PRICE	EXTENDED PRICE
SPH-RSS	SPECIAL HANDLING FEE - RSS *	1	1	1,115.67	1,115.67
SPH-RSS	SPECIAL HANDLING FEE - RSS *	1	1	366.41	366.41
SPH-RSS	SPECIAL HANDLING FEE - RSS *	1	1	300.00	300.00
SPH-RSS	SPECIAL HANDLING FEE - RSS *	1	1	458.25	458.25

		TAX	SHIPPING	TOTAL
	TAX ID # 77-0054242	**0.00**	**0.00**	**2,240.33**

Invoice Comments :
Invoice Billing Period: MARCH 2019
ORDER DATE 3/8/2019 - 74,378 SHARES; ORDER DATE 3/13/2019 - 24,427 SHARES; ORDER DATE 3/18/2019 - 11,637 SHARES; ORDER DATE 3/24/2019 - 30,550 SHARES

For questions regarding this invoice email salesinfo@etrade.com or contact your Relationship Manager.
* Billed on behalf of E*TRADE Clearing LLC and/or E*TRADE Securities LLC

Payment by Check:	Payment by ACH:		Payment by Wire:	
E*TRADE FINANCIAL CORPORATE SERVICES	Bank Name	: Bank of America	Bank Name	: Bank of America
Attn: Accounts Receivable	ABA number	: 011000138	ABA number	: 026009593
PO Box 3512	ACCT name	: E*TRADE FINANCIAL	ACCT name	: E*TRADE FINANCIAL
Arlington, VA 22203	ACCT number	: 8984-4289	ACCT number	: 8984-4289

DocuSign Envelope ID: 6A5F0274-8499-405D-AA96-BD671D33887C

E*TRADE®
CORPORATE SERVICES

INVOICE

INVOICE DATE	:	29-APR-2019
INVOICE NO	:	1000018829
CUSTOMER NO	:	78670
PAGE NO	:	Page 1 of 1

BILL TO :
ACHAOGEN, INC.
One Tower Place, Suite 300
SOUTH SAN FRANCISCO, CA 94080
US
Attn: Accounting Department

SHIP TO :
ACHAOGEN, INC.
One Tower Place, Suite 300
SOUTH SAN FRANCISCO, CA 94080
US

Customer Name : ACHAOGEN, INC.

ETRADE Sales Rep :

F.O.B	PURCHASE ORDER	SHIP VIA	TERMS	ORDER NUMBER
			30 NET	OSS181442019429

ITEM NO.	ITEM DESCRIPTION	QTY ORDERED	QTY SHIPPED	UNIT PRICE	EXTENDED PRICE
DWAC-AST	DWAC FEES - AST	13	13	100.00	1,300.00

			TAX	SHIPPING	TOTAL
	TAX ID # 77-0054242		**0.00**	**0.00**	**1,300.00**

Invoice Comments :
Invoice Billing Period: JANUARY 2019 THRU MARCH 2019
For your convenience, DWAC fees will be aggregated and billed to you on an annual/semiannual/quarterly basis.

For questions regarding this invoice email salesinfo@etrade.com or contact your Relationship Manager.

Payment by Check:	Payment by ACH:		Payment by Wire:	
E*TRADE FINANCIAL CORPORATE SERVICES	Bank Name	: Bank of America	Bank Name	: Bank of America
Attn: Accounts Receivable	ABA number	: 011000138	ABA number	: 026009593
PO Box 3512	ACCT name	: E*TRADE FINANCIAL	ACCT name	: E*TRADE FINANCIAL
Arlington, VA 22203	ACCT number	: 8984-4289	ACCT number	: 8984-4289

DocuSign Envelope ID: 6A5F0274-8499-405D-AA96-BD671D33887C

E*TRADE®
CORPORATE SERVICES

INVOICE

INVOICE DATE	:	08-MAY-2019
INVOICE NO	:	47701
CUSTOMER NO	:	78670
PAGE NO	:	Page 1 of 1

BILL TO :
ACHAOGEN, INC.
One Tower Place, Suite 300
SOUTH SAN FRANCISCO, CA 94080
US
Attn: Accounting Department

SHIP TO :
ACHAOGEN, INC.
One Tower Place, Suite 300
SOUTH SAN FRANCISCO, CA 94080
US

Customer Name : ACHAOGEN, INC.

ETRADE Sales Rep :

F.O.B	PURCHASE ORDER	SHIP VIA	TERMS	ORDER NUMBER
			30 NET	OSS181442019527

ITEM NO.	ITEM DESCRIPTION	QTY ORDERED	QTY SHIPPED	UNIT PRICE	EXTENDED PRICE
SPH-RSS	SPECIAL HANDLING FEE - RSS *	1	1	3,021.32	3,021.32
SPH-RSS	SPECIAL HANDLING FEE - RSS *	1	1	300.00	300.00

		TAX	SHIPPING	TOTAL
	TAX ID # 77-0054242	**0.00**	**0.00**	**3,321.32**

Invoice Comments :
Invoice Billing Period: APRIL 2019
ORDER DATE 4/10/2019- 201,421 SHARES; ORDER DATE 4/22/2019- 12,638 SHARES

For questions regarding this invoice email salesinfo@etrade.com or contact your Relationship Manager.
* Billed on behalf of E*TRADE Clearing LLC and/or E*TRADE Securities LLC

Payment by Check:	Payment by ACH:		Payment by Wire:	
E*TRADE FINANCIAL CORPORATE SERVICES	Bank Name	: Bank of America	Bank Name	: Bank of America
Attn: Accounts Receivable	ABA number	: 011000138	ABA number	: 026009593
PO Box 3512	ACCT name	: E*TRADE FINANCIAL	ACCT name	: E*TRADE FINANCIAL
Arlington, VA 22203	ACCT number	: 8984-4289	ACCT number	: 8984-4289