Your claim can be filed electronically c[illegible]

ID: 27062405 PIN: yzXNC9Q9

Claim #220 Date Filed: 7/15/2026

United States Bankruptcy Court for the District of Delaware

Indicate Debtor against which you assert a claim by checking the appropriate box below. **(Check only one Debtor per claim form.)**

- [X] Apple Tree Life Sciences, Inc. (Case No. 25-12177)
- [ ] ATP Life Science Ventures, L.P. (Case No. 25-12178)
- [ ] ATP III GP, Ltd. (Case No. 25-12179)
- [ ] Apertor Pharmaceuticals, Inc. (Case No. 25-12201)
- [ ] Initial Therapeutics, Inc. (Case No. 25-12202)
- [ ] Marlinspike Therapeutics, Inc. (Case No. 25-12203)
- [ ] Red Queen Therapeutics, Inc. (Case No. 25-12204)
- [ ] Evercrisp Biosciences, Inc. (Case No. 26-10000)
- [ ] Nine Square Therapeutics, Inc (Case No. 26-10001)
- [ ] Nereid Therapeutics Incorporated (Case No. 26-10048)

The Debtor has listed your claim on Schedule F (E/F Part 2) as a General Unsecured claim in the amount of $1,188.63. 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.

Modified Official Form 410

Proof of Claim

04/25

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: 16581474

1. Who is the current creditor?

Daniel Finkelman

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?

- [X] 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?

Daniel Finkelman
12 Fairbanks Road
Lexington, MA 02421

Address

Contact phone 781-367-5419

Contact email danielpfinkelman@gmail.com

Uniform claim identifier (if you use one):

Where should payments to the creditor be sent? (if different)

Name

Number Street

City State ZIP Code

Country

Contact phone

Contact email

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4. Does this claim amend one already filed?

- [X] 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?

- [X] No
- [ ] Yes. Who made the earlier filing? _____

25121772606051255130000009

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?**
   - [x] 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?**
   $ unspecified. **Does this amount include interest or other charges?**
   - [x] 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.
   employment agreement with Apple Tree Life Sciences, Inc.

9. **Is all or part of the claim secured?**
   - [x] 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.)

   Amount necessary to cure any default as of the date of the petition: $_____

   Annual Interest Rate (when case was filed)_____%
   - [ ] Fixed
   - [ ] Variable

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10. **Is this claim based on a lease?**
    - [x] 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?**
    - [x] No
    - [ ] Yes. Identify the property: _____



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 $3,800* 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 $17,150*) 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 4/01/28 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)(3) 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 07 02 2026
MM / DD / YYYY

Signature

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

Name: Daniel P. Finkelman
First name Middle name Last name

Title: General Counsel

Company: Apple Tree Life Sciences, Inc.
Identify the corporate servicer as the company if the authorized agent is a servicer.

Address: 230 Park Avenue, Suite 2800
Number Street

New York NY 10169 USA
City State ZIP Code Country

Contact phone: 781-367-5419 Email: danielpfinkelman@gmail.com



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Amendment to Employment Agreement

This Amendment (the "Amendment") dated and effective as of April 29, 2019, amends the Employment Agreement between Apple Tree Life Sciences, Inc. and Daniel P. Finkelman dated as of June 1, 2017 (the "Employment Agreement").

For good and valuable consideration, including the mutual covenants herein, the receipt and sufficiency of which are hereby acknowledged, the parties hereto do hereby agree as follows:

1. The Employment Agreement is hereby amended to reflect to reflect the agreements of the parties set forth in their email correspondence attached hereto as Exhibit A.

2. In all other respects, the Employment Agreement shall continue in full force and effect and be unaffected by this Amendment.

3. This Amendment may be executed in two or more counterparts, which shall constitute a single agreement.

APPLE TREE LIFE SCIENCES, INC.

By: _____

Seth L. Harrison, President and CEO

DANIEL P. FINKELMAN

_____

EXHIBIT A

Subject: Re: My position with Apple Tree
Date: Monday, May 6, 2019 at 3:54:10 PM Eastern Daylight Time
From: Daniel Finkelman
To: Seth L. Harrison

Seth:
Start date can be whenever you want; just let me know. For documentation, I could prepare a very simple amendment to my original employment agreement saying that it is amended per our attached email correspondence. I certainly don't need anything formal, in light of our long relationship, the fact that I am not asking for severance under any circumstances, and the second you find you no longer need me at ATP, I'll be gone. But I am greatly looking forward to continuing our relationship.
All the best,
Dan

A T P

Daniel P. Finkelman
General Counsel

230 Park Avenue, Suite 2800
New York, NY 10169
212.468.5848 - office
781.367.5419 - mobile
www.appletreepartners.com

From: "Dr. Seth L Harrison" <slh1@appletreepartners.com>
Date: Monday, May 6, 2019 at 3:38 PM
To: Daniel Finkelman <dan@appletreepartners.com>
Subject: Re: My position with Apple Tree

Dan this works from our perspective. What would start date be? How would you document? Seth

A T P

Seth L. Harrison, MD
Managing Partner

230 Park Avenue, Suite 2800
New York, NY 10169
212.468.5802
www.appletreepartners.com

On May 6, 2019, at 11:25, Daniel Finkelman <dan@appletreepartners.com> wrote:

> Seth:
> I really wasn't thinking about carry. That's not because I don't think it's valuable; I certainly do. But if the next fund is two years away, and then vesting, in light of my age I'm not sure it's terribly realistic to be focusing on carry.
> I hadn't thought about the bonus either. Currently, my target is 20%. That would be fine.
> Best regards,
> Dan

A T P

Daniel P. Finkelman
General Counsel

230 Park Avenue, Suite 2800
New York, NY 10169
212.468.5848 - office
781.367.5419 - mobile
www.appletreepartners.com

From: "Dr. Seth L Harrison" <slh1@appletreepartners.com>
Date: Sunday, May 5, 2019 at 9:58 PM
To: Daniel Finkelman <dan@appletreepartners.com>
Subject: Re: My position with Apple Tree

Can you tell me how you are thinking about bonus or carry participation?

A T P

Seth L. Harrison, MD
Managing Partner

230 Park Avenue, Suite 2800
New York, NY 10169
212.468.5802
www.appletreepartners.com

From: Daniel Finkelman <dan@appletreepartners.com>
Date: Sunday, May 5, 2019 at 21:45
To: Seth Harrison <slh1@appletreepartners.com>
Subject: My position with Apple Tree

Hi Seth:
As you know, I would very much like to continue to work with you and Apple Tree, and on an enhanced basis. I have great faith that ATP IV will be a huge success and lead to more terrific investments in the future.
I have considered our discussions and am currently thinking about something along the following lines:

- Base salary of $600K for close to a full-time position.
- The ability to continue to work with Solid on a very limited, part-time basis, with the understanding that ATP is my first priority at all times. Since Solid's GC came aboard on January 28, my role has been greatly reduced. I no longer attend Board or committee meetings and don't have responsibility for the 10-Ks, 10-Qs, 8-Ks, proxy statements or other significant public company work. As a result, I don't believe there has been a single occasion over the past three months when my Solid involvement has conflicted in any way with my duties to ATP. However, Ilan still relies on me for judgment calls, and I don't want to be seen as deserting him, particularly while the clinical trial has not been going well. I do care greatly about Ilan, Annie, their son Eytan and the mission and have been working with Ilan for seven years now. I would also commit to you that if, for any reason, Solid should interfere with

my ATP work, I would resign from Solid, as long as I could give Ilan a reasonable notice period.

Please let me know your thoughts.

Best regards,

Dan

A T P

Daniel P. Finkelman
General Counsel

230 Park Avenue, Suite 2800
New York, NY 10169
212.468.5848 - office
781.367.5410 - mobile
www.atpteepartners.com

The information transmitted is intended only for the person or entity to which it is addressed and may contain confidential and/or privileged material. Any review, retransmission, dissemination or other use of, or taking of any action in reliance upon, this information by persons or entities other than the intended recipient is prohibited. If you received this in error, please contact the sender and delete the material from any computer. Thank you

EMPLOYMENT AGREEMENT

EMPLOYMENT AGREEMENT dated as of June 1, 2017, between Apple Tree Life Sciences, Inc. (the "Employer" or "Company"), and Daniel P. Finkelman (the "Employee").

1. **EMPLOYMENT**. The Employer hereby employs the Employee, and the Employee hereby accepts employment, upon the terms and subject to the conditions hereinafter set forth.

2. **JOB TITLES AND DUTIES**.

(a) **Title**. The Employee shall be employed as General Counsel and Secretary of the Employer and shall report to the Chief Executive Officer of the Employer (the "CEO"). The Employee shall carry out such duties, consistent with his status, as may be assigned to him from time to time by the CEO.

(b) **Duties**. The Employee shall devote approximately two days per week to the performance of his duties. The Employee shall be based in the Employer's office in or nearby Cambridge, Massachusetts (if and when opened) and remotely before then. The Employee shall travel to the Employer's New York City office and elsewhere as required from time to time in the performance of his duties.

3. **TERM**. The Employee's employment commenced on the date first above written (the "Commencement Date") and shall continue until it is terminated in accordance with the provisions of Section 6.

4. **COMPENSATION AND BENEFITS**. Until the termination of the Employee's employment hereunder, in consideration for the services of the Employee hereunder, the Employer shall compensate the Employee as follows:

(a) **Base Salary**. The Employer shall pay the Employee, in accordance with the Employer's standard payroll practices as in effect from time to time, a base salary (the "Base Salary"). The Base Salary will be paid at an annual rate of $200,000.

(b) **Incentive Bonus**. The Employee shall be eligible to receive an annual bonus of up to 20% of the Base Salary. The amount of any such bonus shall be in the sole discretion of the CEO. If a bonus is awarded for any year, it shall be paid no later than March 31 of the following year. The Employee must be employed by the Company on the date of payment in order to receive any bonus that has been awarded to him. Any bonus for the year ending December 31, 2017 shall be pro-rated based on the number of days in such year that the Employee was employed by the Company.

(c) **Vacation**. The Employee shall be entitled to eight days' vacation each calendar year, which shall accrue ratably over the course of the year. Accrued vacation not taken in any calendar year will not be carried forward or used in any subsequent calendar year.

(d) **Section 409A**. Notwithstanding anything in this Agreement to the contrary, the parties understand and acknowledge that the Employer may make such changes to compensation as it deems necessary to comply with Section 409A of the Internal Revenue Code and to prevent

the Employee from incurring any additional excise tax or other exposure under such Section 409A.

5. **EXPENSES**. The Employer shall reimburse the Employee for all reasonable expenses of types authorized by the Employer and incurred by the Employee in the performance of his duties hereunder, including without limitation travel to and from the Employer's New York City office. The Employee shall comply with such budget limitations and approval and reporting requirements with respect to expenses as the Employer may establish from time to time.

6. **TERMINATION**. The Employee's employment hereunder shall terminate:

(a) **Death**. Upon the death of the Employee during the term of his employment hereunder.

(b) **With or Without Cause**. The parties agree that either the Employer or the Employee may terminate this Agreement at any time, with or without cause, upon written notice.

(c) **Rights and Remedies on Termination**. Upon termination of employment for any reason, the Employer shall be obligated to pay the Employee only: (i) the Base Salary payable to Employee under Section 4 through the last day of his actual employment, (ii) any bonus for the immediately preceding fiscal year that is due and owed to the Employee that remains unpaid, (iii) any expense reimbursements under Section 5 for expenses reasonably incurred in the performance of the Employee's duties prior to termination, and (iv) the value of any accrued but unused vacation accrued to the date of termination of employment.

7. **GENERAL**.

(a) **Captions**. The captions of sections or subsections of this Agreement are for reference only and shall not affect the interpretation or construction of this Agreement.

(b) **Notices**. All notices and other communications hereunder shall be in writing, and shall be deemed to have been duly given if delivered personally, mailed or sent by electronic mail or recognized delivery service, to the relevant address set forth below, or to such other address as the recipient of such notice or communication shall have specified to the other party hereto by notice given in accordance with this Section 7(b):

If to the Employer, to:

Apple Tree Life Sciences, Inc.
c/o Dr. Seth L. Harrison
230 Park Avenue
28th Floor
New York, NY 10169
Slh1@appletreepartners.com

If to the Employee, to:

Daniel P. Finkelman
12 Fairbanks Road
Lexington, MA 02421
danielpfinkelman@gmail.com

(c) **Confidentiality, Developments and Non-Competition Agreement**. Employee shall, promptly after the Commencement Date, execute and deliver the Company's standard form of Confidentiality, Developments and Non-Competition Agreement.

(d) **Severability**. If any provision of this Agreement is or becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions hereof shall not in any way be affected or impaired.

(e) **Waivers**. No delay or omission by either party hereto in exercising any right, power or privilege hereunder shall impair such right, power or privilege, nor shall any single or partial exercise of any such right, power or privilege preclude any further exercise thereof or the exercise of any other right, power or privilege.

(f) **Counterparts**. This Agreement may be executed in multiple counterparts, each of which shall be deemed an original, but all of which together shall constitute one and the same instrument.

(g) **Assigns**. This Agreement shall be binding upon and inure to the benefit of the successors and assigns of the Employer. Employee shall not have the right to assign Employee's duties under this Agreement.

(h) **Entire Agreement**. This Agreement contains the entire understanding of the parties, supersedes all prior agreements and understandings relating to the subject matter hereof, and may not be amended except by a written instrument hereafter signed by each of the parties hereto.

(i) **Governing Law**. This Agreement and the performance hereof shall be construed and governed in accordance with the laws of the State of New York, without regard to the conflict of laws provisions thereof, and the parties hereto submit to the non-exclusive jurisdiction of the state and federal courts having subject matter jurisdiction within New York.

(j) **Contract Construction**. Where the context of this Agreement so requires, use of masculine gender pronouns shall be deemed to mean or include the feminine or neuter gender, and vice versa, and use of the word "person" shall be deemed to mean or include individual

persons, entities, trusts and governmental bodies and agencies, and vice versa. Definitions in this Agreement apply equally to both the singular and the plural forms of the defined terms. It is the intent of the parties that this Agreement shall not be construed for or against any party by reason of the authorship or alleged authorship of any provisions hereof or by reason of the status of the respective parties.

IN WITNESS WHEREOF, and intending to be legally bound hereby, the parties hereto have caused this Agreement to be duly executed as of the date and year first above written.

APPLE TREE LIFE SCIENCES, INC.

By: _____
Seth L. Harrison
President and Chief Executive Officer

EMPLOYEE:

Signature: _____

Name: Daniel P. Finkelman