

7/19/2019

Corporate Action Event Library - Client View

Fill in this information to identify the case:

Debtor Achaogen, Inc.

United States Bankruptcy Court for the District of Delaware

Case number 19-10844

**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

1. Who is the current creditor?
 Name of the current creditor (the person or entity to be paid for this claim) ANAND KUMAR ROTTE
 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 2002(g)

<p>Where should notices to the creditor be sent?</p> <p>Name <u>ANAND KUMAR ROTTE</u></p> <p>Number <u>48</u> Street <u>WASHINGTON ST, APT#77</u></p> <p>City <u>SANTA CLARA</u> State <u>CA</u> ZIP Code <u>95050</u></p> <p>Country <u>USA</u></p> <p>Contact phone <u>408 857 3816</u></p> <p>Contact email <u>anand.rotte@gmail.com</u></p>	<p>Where should payments to the creditor be sent? (if different)</p> <p>Name <u>SAME</u></p> <p>Number _____ Street _____</p> <p>City _____ State _____ ZIP Code _____</p> <p>Country _____</p> <p>Contact phone _____</p> <p>Contact email _____</p>
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Uniform claim identifier for electronic payments in chapter 13 (if you use one): _____

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4. Does this claim amend one already filed?	<input checked="" type="checkbox"/>	No <i>No</i>	<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? _____	

Official Form 410

Proof of Claim
page 1

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? No
 Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: _____

7. How much is the claim? \$ 739.77 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.
STOCKS

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.)
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? No
 Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

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11. Is this claim subject to a right of setoff?

No

Yes. Identify the property: _____

Official Form 410

Proof of Claim
page 2

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:

<input type="checkbox"/> Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B).	\$ _____
<input type="checkbox"/> 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).	\$ _____
<input type="checkbox"/> 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).	\$ _____
<input type="checkbox"/> Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8).	\$ _____
<input type="checkbox"/> Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5).	\$ _____
<input type="checkbox"/> 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 07/22/2019
MM / DD / YYYY

Anand R
Signature

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

Name ANAND KUMAR ROTTE
First name Middle name Last name

Title SCIENTIST

Company _____

Identify the corporate servicer as the company if the authorized agent is a servicer.

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7/19/2019

Corporate Action Event Library - Client View

Address	48 WASHINGTON STREET, APT # 77			
	Number	Street		
	SANTA CLARA	CA	95050	USA
	City	State	ZIP Code	Country
Contact phone	408 857 3816		Email	anand.sotte@gmail

Official Form 410

Proof of Claim
page 3



Transaction Confirmation
Confirm Date: February 8, 2019

Brokerage Account Number
 *****2274 ROTH IRA

ANAND KUMAR ROTTE

FMTC CUSTODIAN - ROTH IRA
 FBO ANAND KUMAR ROTTE
 48 WASHINGTON STREET
 77
 SANTA CLARA CA 95050-6151

9900128705

Online Fidelity.com
 FAST(sm)-Automated Telephone 800-544-5555
 Customer Service 800-544-6666

REFERENCE NO.	TYPE	REG.REP.	TRADE DATE	SETTLEMENT DATE	CUSIP NO.	ORDER NO.		
19039-ODS9SF	1*	WK#	02-08-19	02-12-19	004449104	19039-PFF5B		
You Bought			DESCRIPTION and DISCLOSURES					
at			ACHAOGEN INC COM			Principal Amount 496.80		
Symbol:			WE HAVE ACTED AS AGENT.			Commission / Fees 4.95		
AKAO						Settlement Amount 501.75		

REFERENCE NO.	TYPE	REG.REP.	TRADE DATE	SETTLEMENT DATE	CUSIP NO.	ORDER NO.		
[REDACTED]	1*	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]		
You Bought			DESCRIPTION and DISCLOSURES					
at			[REDACTED]			Principal Amount [REDACTED]		
Symbol:			WE HAVE ACTED AS AGENT.			Commission / Fees [REDACTED]		
[REDACTED]						Settlement Amount [REDACTED]		

9900128705

ALL ORDERS ARE UNSOLICITED UNLESS SPECIFIED ABOVE

FMTC CUSTODIAN - ROTH IRA
 FBO ANAND KUMAR ROTTE
 48 WASHINGTON STREET
 77
 SANTA CLARA CA 95050-6151

If you are eligible to make a deposit, please use this form for investments in your brokerage account *****2274 only.

AMOUNT OF INVESTMENT	\$
----------------------	----

FIDELITY INVESTMENTS
 PO BOX 770001
 CINCINNATI OH 45277-0003

If there are sufficient funds in your brokerage core account (or margin account), Fidelity will use those funds to cover the trade(s) on this confirm. If you wish to deposit additional money, use this deposit slip and make checks payable to: NATIONAL FINANCIAL SERVICES LLC. Deposits will be made to the account listed above. Please mail checks to the Fidelity address on this form. Refer to the last page for instructions on depositing certificates.

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099 0229452274 00 000

In accordance with your instructions we are pleased to confirm the transaction or order for your account and risk subject to terms listed below.

Please inform our office promptly if there is an error in this confirmation. Your failure to do so may result in the inability to amend a transaction. Please address all communications to the firm and not to individuals and include your brokerage account number on all checks and communications.

It is understood and agreed that all transactions made for you are subject to the rules and customs of the exchange or market (and its clearing house, if any) where executed by us or by our agents, of the Financial Industry Regulatory Authority, Inc., as the case may be and to the Securities Exchange Act. It is further understood and agreed that on margin business all securities or other things bought or held by us, are pledged as collateral security for any and all claims and demands we then, or thereafter may have against the party giving such orders whether arising thereunder or not. It is further understood and agreed that we have the right to close transactions without further notice, at public or private sale, without liability for subsequent difference in value, when such a sale or purchase is deemed necessary by us for our protection, with the right upon our part of becoming the purchaser thereof free from all trust; that securities held by us in margin accounts (and in cash accounts until paid for in full) are or may be hypothecated for the sum, due thereon, or for a greater sum, under circumstances which will permit the commingling thereof with securities carried for the account of other customers; and that we have the right to loan such securities held by us.

When-Issued, When-Distributed or TBA Transactions: The information contained herein is an estimate based upon information available at the time of your order. The final figures will be forwarded to you when obtainable upon issue, delivery or pool allocation. Such transactions shall be settled at such time, place and in such manner and by delivery of such securities and/or other property as determined by the exchange or association to whose requirements the transaction is subject, or shall be canceled if such exchange or association shall so determine. National Financial Services LLC, ("NFS"), may demand deposits to secure this transaction and reserves the right to close this transaction upon the failure of the customer to tender such deposit.

Open Orders. An open order will remain in effect until executed or canceled. Customers may attempt to cancel open orders at any time prior to execution. NFS will cancel open orders after 180 calendar days (or in accordance with standards set by your Employer) and we reserve the right, but are not obligated to, cancel open orders when the limit price becomes unrealistic in relation to the market price. Limits on open orders to BUY and STOP ORDERS TO SELL, subject to the rules of the exchange or association where the securities are traded, may be automatically adjusted on the date the security trades "ex-dividend", "ex-rights", "ex-distribution", or "ex-interest". Unexecuted portions of an open order which are executed on subsequent days are treated as separate orders for commission purposes, in accordance with industry practices.

Orders marked "solicited" are not the result of "investment advice" from Fidelity, as that term is defined under ERISA and underlying U.S. Department of Labor Regulations, except to the extent that Fidelity utilizes an unaffiliated third party in obtaining such advice.

Payment for Order Flow Disclosure [Exchange Act Rule 10b-10(a)(2)(i)(C)]. Fidelity Brokerage Services LLC ("FBS") and/or NFS receives remuneration, compensation, or consideration for directing orders in equity securities to particular broker/dealers or market centers for execution. The source and nature of any compensation received in connection with your particular transaction will be disclosed upon written request to FBS. Please review FBS's annual disclosure on payment for order flow policies and order routing policies.

The private placement memorandum, term sheet, prospectus or other disclosure documents ("Offering Materials") you previously received include important information concerning your alternative investment transaction (e.g., hedge funds, private equity funds, REITS). Please refer to these materials for an explanation of the subscription (i.e., purchase) and redemption process as well as information regarding compensation that FBS or NFS may receive from you and/or the alternative investment in connection with your transaction. The settlement date for these transactions is often extended a number of days beyond the subscription (i.e., trade) or redemption date. As part of the subscription process, your subscription funds could be held in escrow until such time as your subscription is accepted by the alternative investment. Gross proceeds are reflected on the statement and may not be realized at the time of the redemption if the fund is subject to a holdback. See the Offering Materials for more details. Any such assets retained by the fund are held as a general obligation of the fund and are not protected by SIPC.

In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") such as alternative investments or private placements or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay FBS and/or NFS commissions, sales loads and 12b-1 fees described in the Offering Materials as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by FBS or NFS will be furnished to you upon written request.

Currency exchanges may be effected by Fidelity FOREX, Inc. on a principal basis. Fidelity FOREX, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price. Fidelity FOREX may in turn share a portion of any foreign exchange commission or markup with NFS and/or FBS. The currency exchange rate applicable to any foreign security trade is available upon request.

For trades of positions set up for average cost, the cost basis per share is calculated as the average price of all shares in the position and shares are depleted on a first-in-first-out basis.

When there are multiple lots for the particular date indicated via versus purchase, the system depletes the lots starting with the highest quantity lot and moves through the lots in descending order of quantity until the order is filled. If an order cannot be matched versus purchase, or if the order quantity exceeds the matched lots, lots are depleted using the account-level default disposal method. If more than one lot has the same date and quantity, selection among such lots is random.

The local broker in a foreign securities transaction may be Fidelity Clearing Canada ULC, an affiliate of NFS and FBS.

Other remuneration may have been received and information will be furnished on request.

At the time you purchase shares of a no-load fund, those shares will be assigned either a transaction fee (TF) or no transaction fee (NTF) status. When you subsequently sell those shares, any applicable fees will be assessed based on the status assigned to the shares at the time of purchase.

Certificates of deposit and certain securities, including bonds, preferred stocks, and common stocks, may be subject to call or redemption (prior to maturity, if applicable). Call features may exist in addition to those which may appear on the front of the confirmation. Early call or redemption could affect Yield. Complete information will be provided upon written request.

This statement is computed for payment by bank draft on settlement date. If payment is made at a later date, additional interest to date of payment will be charged.

Name of the other party, time of execution and remuneration furnished on request. Fidelity Brokerage Services LLC, Member NYSE/SIPC. Account carried with National Financial Services LLC.

* T - TYPE OF ACCOUNT

0 - Deliver / Receive vs. Payment	6 - Special Account
1 - Cash Account	8 - When Issued / TBA
2 - Margin Account	9 - Income Account
3 - Short Account	

If an odd-lot differential is indicated on the face of this confirmation, an amount of 12½ cents per share was added to the price of purchase or deducted from the price of sale.

- D1. Additional call features exist that may affect yield; complete information will be provided upon request.
- D2. No periodic interest payments - callable below maturity value without notice by mail to holder unless registered.
- D3. For bonds callable and issued in bearer form, it may be difficult for you to determine whether the securities have been called.
- D4. Asset-backed Securities. An asset-backed security represents an interest in or is secured by a pool of financial assets that may be subject to continuous prepayment. The actual yield may vary based on prepayment rates of the underlying receivable or other financial assets. Information concerning factors that affect yield will be furnished upon written request.

Ratings information, when provided, has been obtained from select ratings services which NFS believes to be reliable, however, NFS cannot guarantee its timeliness, accuracy or completeness. Ratings are opinions and not recommendations or investment advice. Ratings or the absence of ratings should not alone be relied upon when assessing the credit quality of a security or making an investment decision. Ratings are subject to change or withdrawal by the ratings services at any time. Ratings information may not be provided for all debt securities. When indicated, NR denotes that the security is not rated by the listed rating organization. The security may be rated by other rating services. Please contact your broker dealer if you need more information about a security.

447970.25.0

INSTRUCTIONS FOR DEPOSITING CERTIFICATES

Endorsement Instructions

- 1) The signature on the back of the certificate must correspond exactly to the name as written upon the face of the certificate.
- 2) Write "National Financial Services LLC" on the line between "appoint" and "attorney."
- 3) Write your brokerage account number on the top right corner of the front of the certificate.
- 4) Failure to properly prepare the Certificate may result in delays completing your transaction.

MAIL CERTIFICATES TO THIS ADDRESS:

NATIONAL FINANCIAL SERVICES LLC
ATTN: Banking Services
Mail Zone KC1N
100 Crosby Parkway
Covington, KY 41015

9900201384



Transaction Confirmation
Confirm Date: February 19, 2019

Brokerage Account Number
*****2274 ROTH IRA

ANAND KUMAR ROTTE

9900201384
FMTC CUSTODIAN - ROTH IRA
FBO ANAND KUMAR ROTTE
48 WASHINGTON STREET
77
SANTA CLARA CA 95050-6151

Online Fidelity.com
FAST(sm)-Automated Telephone 800-544-5555
Customer Service 800-544-6666

REFERENCE NO.	TYPE	REG.REP.	TRADE DATE	SETTLEMENT DATE	CUSIP NO.	ORDER NO.		
19050-0DJZJ	1*	WY#	02-19-19	02-21-19	004449104	19050-LRHGX		

You Bought		DESCRIPTION and DISCLOSURES	Principal Amount	242.97
	270	ACHAOGEN INC COM	Commission / Fees	4.95
at	.8999	WE HAVE ACTED AS AGENT.	Settlement Amount	247.92
Symbol:				
AKAO				

9900201384

ALL ORDERS ARE UNSOLICITED UNLESS SPECIFIED ABOVE

FMTC CUSTODIAN - ROTH IRA
FBO ANAND KUMAR ROTTE
48 WASHINGTON STREET
77
SANTA CLARA CA 95050-6151

If you are eligible to make a deposit, please use this form for investments in your brokerage account *****2274 only.

AMOUNT OF INVESTMENT	\$
----------------------	----

FIDELITY INVESTMENTS
PO BOX 770001
CINCINNATI OH 45277-0003

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099 0229452274 00 000

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It is understood and agreed that all transactions made for you are subject to the rules and customs of the exchange or market (and its clearing house, if any) where executed by us or by our agents, of the Financial Industry Regulatory Authority, Inc., as the case may be and to the Securities Exchange Act. It is further understood and agreed that on margin business all securities or other things bought or held by us, are pledged as collateral security for any and all claims and demands we then, or thereafter may have against the party giving such orders whether arising thereunder or not. It is further understood and agreed that we have the right to close transactions without further notice, at public or private sale, without liability for subsequent difference in value, when such a sale or purchase is deemed necessary by us for our protection, with the right upon our part of becoming the purchaser thereof free from all trust; that securities held by us in margin accounts (and in cash accounts until paid for in full) are or may be hypothecated for the sum, due thereon, or for a greater sum, under circumstances which will permit the commingling thereof with securities carried for the account of other customers; and that we have the right to loan such securities held by us.

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447970.25.0

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Certificates of deposit and certain securities, including bonds, preferred stocks, and common stocks, may be subject to call or redemption (prior to maturity, if applicable). Call features may exist in addition to those which may appear on the front of the confirmation. Early call or redemption could affect Yield. Complete information will be provided upon written request.

This statement is computed for payment by bank draft on settlement date. If payment is made at a later date, additional interest to date of payment will be charged.

Name of the other party, time of execution and remuneration furnished on request. Fidelity Brokerage Services LLC, Member NYSE/SIPC. Account carried with National Financial Services LLC.

* T - TYPE OF ACCOUNT

- 0 - Deliver / Receive vs. Payment
- 1 - Cash Account
- 2 - Margin Account
- 3 - Short Account

- 6 - Special Account
- 8 - When Issued / TBA
- 9 - Income Account

If an odd-lot differential is indicated on the face of this confirmation, an amount of 12½ cent [redacted] was added [redacted] of purchase or deducted from [redacted]

- D1. Additional call features exist that may affect yield; complete [redacted] request.
- D2. No periodic interest [redacted] value without notice by mail to holder unless registered.
- D3. For bonds callable and issued in bearer form, [redacted] difficult for you to determine whether the securities have been called.
- D4. Asset-backed Securities. An asset-backed security represents an interest in [redacted] secured by a pool of financial assets that may be subject to continuous prepayment. The actual yield may vary based on prepayment rates of the underlying receivable or other financial assets. Information concerning factors that affect yield will be furnished upon written request.

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INSTRUCTIONS FOR DEPOSITING CERTIFICATES

Endorsement Instructions

- 1) The signature on the back of the certificate must correspond exactly to the name as written upon the face of the certificate.
- 2) Write "National Financial Services LLC" on the line between "appoint" and "attorney."
- 3) Write your brokerage account number on the top right corner of the front of the certificate.
- 4) Failure to properly prepare the Certificate may result in delays completing your transaction.

MAIL CERTIFICATES TO THIS ADDRESS:

NATIONAL FINANCIAL SERVICES LLC
ATTN: Banking Services
Mail Zone KC1N
100 Crosby Parkway
Covington, KY 41015

9900128705