

**Fill in this information to identify the case:**

Debtor name Aradigm Corporation  
 United States Bankruptcy Court for the: Northern District of CA  
 (State)  
 Case number (if known): 19-40363

☐ Check if this is an amended filing

**Official Form 207**

**Statement of Financial Affairs for Non-Individuals Filing for Bankruptcy** 04/19

The debtor must answer every question. If more space is needed, attach a separate sheet to this form. On the top of any additional pages, write the debtor's name and case number (if known).

**Part 1: Income**

**1. Gross revenue from business**

☐ None

Identify the beginning and ending dates of the debtor's fiscal year, which may be a calendar year

Sources of revenue  
Check all that apply

Gross revenue  
(before deductions and exclusions)

From the beginning of the fiscal year to filing date:

From 1/1/19 to Filing date  
MM / DD / YYYY

☒ Operating a business  
☐ Other

\$ 382,007.00

For prior year:

From 1/1/19 to 12/31/18  
MM / DD / YYYY MM / DD / YYYY

☒ Operating a business  
☐ Other

\$ 1,608,724.00

For the year before that:

From 1/1/17 to 12/31/17  
MM / DD / YYYY MM / DD / YYYY

☒ Operating a business  
☐ Other

\$ 13,994,596.00

**2. Non-business revenue**

Include revenue regardless of whether that revenue is taxable. *Non-business income* may include interest, dividends, money collected from lawsuits, and royalties. List each source and the gross revenue for each separately. Do not include revenue listed in line 1.

☐ None

Description of sources of revenue

Gross revenue from each source  
(before deductions and exclusions)

From the beginning of the fiscal year to filing date:

From 1/1/19 to Filing date  
MM / DD / YYYY

\$ None

For prior year:

From 1/1/18 to 12/31/18  
MM / DD / YYYY MM / DD / YYYY

See attached

\$

For the year before that:

From 1/1/17 to 12/31/17  
MM / DD / YYYY MM / DD / YYYY

See attached

\$

**Part 2: List Certain Transfers Made Before Filing for Bankruptcy****3. Certain payments or transfers to creditors within 90 days before filing this case**

List payments or transfers—including expense reimbursements—to any creditor, other than regular employee compensation, within 90 days before filing this case unless the aggregate value of all property transferred to that creditor is less than \$6,825. (This amount may be adjusted on 4/01/22 and every 3 years after that with respect to cases filed on or after the date of adjustment.)

☐ None

Creditor's name and address	Dates	Total amount or value	Reasons for payment or transfer Check all that apply
3.1. <u>See attached</u> Creditor's name _____ Street _____ City _____ State _____ ZIP Code _____	_____	\$ _____	<input type="checkbox"/> Secured debt <input type="checkbox"/> Unsecured loan repayments <input type="checkbox"/> Suppliers or vendors <input type="checkbox"/> Services <input type="checkbox"/> Other _____
3.2. _____ Creditor's name _____ Street _____ City _____ State _____ ZIP Code _____	_____	\$ _____	<input type="checkbox"/> Secured debt <input type="checkbox"/> Unsecured loan repayments <input type="checkbox"/> Suppliers or vendors <input type="checkbox"/> Services <input type="checkbox"/> Other _____

**4. Payments or other transfers of property made within 1 year before filing this case that benefited any insider**

List payments or transfers, including expense reimbursements, made within 1 year before filing this case on debts owed to an insider or guaranteed or cosigned by an insider unless the aggregate value of all property transferred to or for the benefit of the insider is less than \$6,825. (This amount may be adjusted on 4/01/22 and every 3 years after that with respect to cases filed on or after the date of adjustment.) Do not include any payments listed in line 3. *Insiders* include officers, directors, and anyone in control of a corporate debtor and their relatives; general partners of a partnership debtor and their relatives; affiliates of the debtor and insiders of such affiliates; and any managing agent of the debtor. 11 U.S.C. § 101(31).

☐ None

Insider's name and address	Dates	Total amount or value	Reasons for payment or transfer
4.1. <u>See attached</u> Insider's name _____ Street _____ City _____ State _____ ZIP Code _____  Relationship to debtor _____	_____	\$ _____	_____ _____ _____
4.2. _____ Insider's name _____ Street _____ City _____ State _____ ZIP Code _____  Relationship to debtor _____	_____	\$ _____	_____ _____ _____

**5. Repossessions, foreclosures, and returns**

List all property of the debtor that was obtained by a creditor within 1 year before filing this case, including property repossessed by a creditor, sold at a foreclosure sale, transferred by a deed in lieu of foreclosure, or returned to the seller. Do not include property listed in line 6.

☒ None

	Creditor's name and address	Description of the property	Date	Value of property
5.1.	<div>Creditor's name</div> <div>Street</div> <div>City State ZIP Code</div>			\$
5.2.	<div>Creditor's name</div> <div>Street</div> <div>City State ZIP Code</div>			\$

**6. Setoffs**

List any creditor, including a bank or financial institution, that within 90 days before filing this case set off or otherwise took anything from an account of the debtor without permission or refused to make a payment at the debtor's direction from an account of the debtor because the debtor owed a debt.

☒ None

Creditor's name and address	Description of the action creditor took	Date action was taken	Amount
<div>Creditor's name</div> <div>Street</div> <div>City State ZIP Code</div>			\$
Last 4 digits of account number: XXXX—			

**Part 3: Legal Actions or Assignments****7. Legal actions, administrative proceedings, court actions, executions, attachments, or governmental audits**

List the legal actions, proceedings, investigations, arbitrations, mediations, and audits by federal or state agencies in which the debtor was involved in any capacity—within 1 year before filing this case.

☐ None

	Case title	Nature of case	Court or agency's name and address	Status of case
7.1.	<div>Kheder v. Aradigm Corp.</div> <div>Case number</div> <div>3:18-cv-00261</div>	<div>Securities</div>	<div>USDC, ND CA</div> <div>Name</div> <div>280 S. 1st Street</div> <div>Street</div> <div>San Jose CA 95113</div> <div>City State ZIP Code</div>	<div><input type="checkbox"/> Pending</div> <div><input type="checkbox"/> On appeal</div> <div><input checked="" type="checkbox"/> Concluded</div>
7.2.	<div></div> <div>Case number</div>		<div>Court or agency's name and address</div> <div>Name</div> <div>Street</div> <div>City State ZIP Code</div>	<div><input type="checkbox"/> Pending</div> <div><input type="checkbox"/> On appeal</div> <div><input type="checkbox"/> Concluded</div>

**8. Assignments and receivership**

List any property in the hands of an assignee for the benefit of creditors during the 120 days before filing this case and any property in the hands of a receiver, custodian, or other court-appointed officer within 1 year before filing this case.

☒ None

Custodian's name and address

Description of the property

Value

Custodian's name

\$ \_\_\_\_\_

Street

Case title

Court name and address

City State ZIP Code

Case number

Name

Street

Date of order or assignment

City State ZIP Code

**Part 4: Certain Gifts and Charitable Contributions****9. List all gifts or charitable contributions the debtor gave to a recipient within 2 years before filing this case unless the aggregate value of the gifts to that recipient is less than \$1,000**☒ None

Recipient's name and address

Description of the gifts or contributions

Dates given

Value

9.1. \_\_\_\_\_  
Recipient's name  
\_\_\_\_\_  
Street  
\_\_\_\_\_  
City State ZIP Code

Recipient's relationship to debtor

9.2. \_\_\_\_\_  
Recipient's name  
\_\_\_\_\_  
Street  
\_\_\_\_\_  
City State ZIP Code

Recipient's relationship to debtor

**Part 5: Certain Losses****10. All losses from fire, theft, or other casualty within 1 year before filing this case.**☒ None

Description of the property lost and how the loss occurred

Amount of payments received for the loss

Date of loss

Value of property lost

If you have received payments to cover the loss, for example, from insurance, government compensation, or tort liability, list the total received.  
List unpaid claims on Official Form 106A/B (Schedule A/B: Assets - Real and Personal Property).

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ \$ \_\_\_\_\_

**Part 6: Certain Payments or Transfers****11. Payments related to bankruptcy**

List any payments of money or other transfers of property made by the debtor or person acting on behalf of the debtor within 1 year before the filing of this case to another person or entity, including attorneys, that the debtor consulted about debt consolidation or restructuring, seeking bankruptcy relief, or filing a bankruptcy case.

☐ None

	Who was paid or who received the transfer?	If not money, describe any property transferred	Dates	Total amount or value
11.1.	<u>See attached</u>			\$ _____
	<b>Address</b>			
	_____ Street			
	_____ City State ZIP Code			
	<b>Email or website address</b>			
	_____			
	<b>Who made the payment, if not debtor?</b>			
	_____			

	Who was paid or who received the transfer?	If not money, describe any property transferred	Dates	Total amount or value
11.2.	_____			\$ _____
	<b>Address</b>			
	_____ Street			
	_____ City State ZIP Code			
	<b>Email or website address</b>			
	_____			
	<b>Who made the payment, if not debtor?</b>			
	_____			

**12. Self-settled trusts of which the debtor is a beneficiary**

List any payments or transfers of property made by the debtor or a person acting on behalf of the debtor within 10 years before the filing of this case to a self-settled trust or similar device.

Do not include transfers already listed on this statement.

☒ None

Name of trust or device	Describe any property transferred	Dates transfers were made	Total amount or value
_____ Trustee	_____		\$ _____
_____	_____		

**13. Transfers not already listed on this statement**

List any transfers of money or other property—by sale, trade, or any other means—made by the debtor or a person acting on behalf of the debtor within 2 years before the filing of this case to another person, other than property transferred in the ordinary course of business or financial affairs. Include both outright transfers and transfers made as security. Do not include gifts or transfers previously listed on this statement.

☒ None

	Who received transfer?	Description of property transferred or payments received or debts paid in exchange	Date transfer was made	Total amount or value
13.1.	_____	_____	_____	\$ _____
	<b>Address</b>			
	Street _____			
	_____			
	City _____	State _____	ZIP Code _____	
	<b>Relationship to debtor</b>			
	_____			
	<b>Who received transfer?</b>			
13.2.	_____	_____	_____	\$ _____
	<b>Address</b>			
	Street _____			
	_____			
	City _____	State _____	ZIP Code _____	
	<b>Relationship to debtor</b>			
	_____			

**Part 7: Previous Locations****14. Previous addresses**

List all previous addresses used by the debtor within 3 years before filing this case and the dates the addresses were used.

☒ Does not apply

	Address	Dates of occupancy
14.1.	Street _____	From _____ To _____
	_____	
	City _____ State _____ ZIP Code _____	
14.2.	Street _____	From _____ To _____
	_____	
	City _____ State _____ ZIP Code _____	

**Part 8: Health Care Bankruptcies****15. Health Care bankruptcies**

Is the debtor primarily engaged in offering services and facilities for:

- diagnosing or treating injury, deformity, or disease, or
- providing any surgical, psychiatric, drug treatment, or obstetric care?

- ☒ No. Go to Part 9.  
☐ Yes. Fill in the information below.

Facility name and address	Nature of the business operation, including type of services the debtor provides	If debtor provides meals and housing, number of patients in debtor's care
15.1. _____ Facility name _____ Street _____ City State ZIP Code	_____ _____ Location where patient records are maintained (if different from facility address). If electronic, identify any service provider. _____ _____	_____ _____ How are records kept? Check all that apply: <input type="checkbox"/> Electronically <input type="checkbox"/> Paper
15.2. _____ Facility name _____ Street _____ City State ZIP Code	_____ _____ Location where patient records are maintained (if different from facility address). If electronic, identify any service provider. _____ _____	_____ _____ How are records kept? Check all that apply: <input type="checkbox"/> Electronically <input type="checkbox"/> Paper

**Part 9: Personally Identifiable Information****16. Does the debtor collect and retain personally identifiable information of customers?**

- ☒ No.  
☐ Yes. State the nature of the information collected and retained. \_\_\_\_\_  
Does the debtor have a privacy policy about that information?  
☐ No  
☐ Yes

**17. Within 6 years before filing this case, have any employees of the debtor been participants in any ERISA, 401(k), 403(b), or other pension or profit-sharing plan made available by the debtor as an employee benefit?**

- ☐ No. Go to Part 10.  
Yes. Does the debtor serve as plan administrator?

- ☐ No. Go to Part 10.  
☒ Yes. Fill in below:

Name of plan

Aradigm Corporation 401(k) Plan

Employer identification number of the plan

EIN: 94 - 3133088

Has the plan been terminated?

- ☒ No  
☐ Yes

**Part 10: Certain Financial Accounts, Safe Deposit Boxes, and Storage Units****18. Closed financial accounts**

Within 1 year before filing this case, were any financial accounts or instruments held in the debtor's name, or for the debtor's benefit, closed, sold, moved, or transferred?

Include checking, savings, money market, or other financial accounts; certificates of deposit; and shares in banks, credit unions, brokerage houses, cooperatives, associations, and other financial institutions.

☐ None

	Financial institution name and address	Last 4 digits of account number	Type of account	Date account was closed, sold, moved, or transferred	Last balance before closing or transfer
18.1.	<u>See attached</u> Name _____ Street _____ City _____ State _____ ZIP Code _____	XXXX- _____	<input type="checkbox"/> Checking <input type="checkbox"/> Savings <input type="checkbox"/> Money market <input type="checkbox"/> Brokerage <input type="checkbox"/> Other _____	_____	\$ _____
18.2.	_____ Name _____ Street _____ City _____ State _____ ZIP Code _____	XXXX- _____	<input type="checkbox"/> Checking <input type="checkbox"/> Savings <input type="checkbox"/> Money market <input type="checkbox"/> Brokerage <input type="checkbox"/> Other _____	_____	\$ _____

**19. Safe deposit boxes**

List any safe deposit box or other depository for securities, cash, or other valuables the debtor now has or did have within 1 year before filing this case.

☒ None

Depository institution name and address	Names of anyone with access to it	Description of the contents	Does debtor still have it?
Name _____ Street _____ City _____ State _____ ZIP Code _____	_____ _____ Address _____ _____	_____ _____ _____	<input type="checkbox"/> No <input type="checkbox"/> Yes

**20. Off-premises storage**

List any property kept in storage units or warehouses within 1 year before filing this case. Do not include facilities that are in a part of a building in which the debtor does business.

☐ None

Facility name and address	Names of anyone with access to it	Description of the contents	Does debtor still have it?
<u>See attached</u> Name _____ Street _____ City _____ State _____ ZIP Code _____	_____ _____ Address _____ _____	_____ _____ _____	<input type="checkbox"/> No <input type="checkbox"/> Yes



**Part 11: Property the Debtor Holds or Controls That the Debtor Does Not Own****21. Property held for another**

List any property that the debtor holds or controls that another entity owns. Include any property borrowed from, being stored for, or held in trust. Do not list leased or rented property.

☒ None

Owner's name and address	Location of the property	Description of the property	Value
Name _____	_____	_____	\$ _____
Street _____	_____	_____	
_____			
City _____ State _____ ZIP Code _____			

**Part 12: Details About Environmental Information**

For the purpose of Part 12, the following definitions apply:

- ☒ *Environmental law* means any statute or governmental regulation that concerns pollution, contamination, or hazardous material, regardless of the medium affected (air, land, water, or any other medium).
- ☒ *Site* means any location, facility, or property, including disposal sites, that the debtor now owns, operates, or utilizes or that the debtor formerly owned, operated, or utilized.
- ☒ *Hazardous material* means anything that an environmental law defines as hazardous or toxic, or describes as a pollutant, contaminant, or a similarly harmful substance.

Report all notices, releases, and proceedings known, regardless of when they occurred.

**22. Has the debtor been a party in any judicial or administrative proceeding under any environmental law? Include settlements and orders.**☒ No☐ Yes. Provide details below.

Case title	Court or agency name and address	Nature of the case	Status of case
Case number _____	Name _____	_____	<input type="checkbox"/> Pending
_____	Street _____	_____	<input type="checkbox"/> On appeal
_____	_____	_____	<input type="checkbox"/> Concluded
City _____ State _____ ZIP Code _____			

**23. Has any governmental unit otherwise notified the debtor that the debtor may be liable or potentially liable under or in violation of an environmental law?**☒ No☐ Yes. Provide details below.

Site name and address	Governmental unit name and address	Environmental law, if known	Date of notice
Name _____	Name _____	_____	_____
Street _____	Street _____	_____	
_____	_____	_____	
City _____ State _____ ZIP Code _____	City _____ State _____ ZIP Code _____		

**24. Has the debtor notified any governmental unit of any release of hazardous material?**

- ☒ No  
☐ Yes. Provide details below.

Site name and address	Governmental unit name and address	Environmental law, if known	Date of notice
Name _____	Name _____	_____	_____
Street _____	Street _____	_____	_____
_____	_____	_____	_____
City _____ State _____ ZIP Code _____	City _____ State _____ ZIP Code _____		

**Part 13: Details About the Debtor's Business or Connections to Any Business****25. Other businesses in which the debtor has or has had an interest**

List any business for which the debtor was an owner, partner, member, or otherwise a person in control within 6 years before filing this case. Include this information even if already listed in the Schedules.

☐ None

	Business name and address	Describe the nature of the business	Employer Identification number Do not include Social Security number or ITIN.
25.1.	<b>See attached</b> Name _____ Street _____ City _____ State _____ ZIP Code _____	_____ _____ _____	EIN: _____ - _____ Dates business existed From _____ To _____
25.2.	<b>Business name and address</b> Name _____ Street _____ City _____ State _____ ZIP Code _____	_____ _____ _____	Employer Identification number Do not include Social Security number or ITIN. EIN: _____ - _____ Dates business existed From _____ To _____
25.3.	<b>Business name and address</b> Name _____ Street _____ City _____ State _____ ZIP Code _____	_____ _____ _____	Employer Identification number Do not include Social Security number or ITIN. EIN: _____ - _____ Dates business existed From _____ To _____

**26. Books, records, and financial statements**

26a. List all accountants and bookkeepers who maintained the debtor's books and records within 2 years before filing this case.

☐ None

Name and address

Dates of service

26a.1. Lisa Thomas  
Name  
3929 Point Eden Way  
Street  
Hayward, CA 94545From 2/14/17 To 2/14/19

City

State

ZIP Code

Name and address

Dates of service

26a.2. \_\_\_\_\_  
Name

From \_\_\_\_\_ To \_\_\_\_\_

Street

City

State

ZIP Code

26b. List all firms or individuals who have audited, compiled, or reviewed debtor's books of account and records or prepared a financial statement within 2 years before filing this case.

☐ None

Name and address

Dates of service

26b.1. Odenberg Ullakko Muranishi & Co. LLPFrom 2011 To Present

Name

601 California Street

Street

Suite 1800San FranciscoCA94108

City

State

ZIP Code

Name and address

Dates of service

26b.2. \_\_\_\_\_  
Name

From \_\_\_\_\_ To \_\_\_\_\_

Street

City

State

ZIP Code

26c. List all firms or individuals who were in possession of the debtor's books of account and records when this case is filed.

☐ None

Name and address

If any books of account and records are  
unavailable, explain why26c.1. Lisa Thomas  
Name  
3929 Point Eden Way  
Street  
Hayward, CA 94545

City

State

ZIP Code

Debtor Aradigm Corporation  
Name

Case number (if known) 19-40363

**Name and address**

If any books of account and records are  
unavailable, explain why

26c.2.

Name

Street

City

State

ZIP Code

26d. List all financial institutions, creditors, and other parties, including mercantile and trade agencies, to whom the debtor issued a financial statement within 2 years before filing this case.

☐ None

**Name and address**

26d.1.

Grifols Worldwide Operations Ltd.

Name

Grange Castle Business Park

Street

Grange Castle, Clondalkin

Dublin

Ireland

22

City

State

ZIP Code

**Name and address**

26d.2.

Name

Street

City

State

ZIP Code

**27. Inventories**

Have any inventories of the debtor's property been taken within 2 years before filing this case?

☒ No

☐ Yes. Give the details about the two most recent inventories.

Name of the person who supervised the taking of the inventory

Date of  
inventory

The dollar amount and basis (cost, market, or  
other basis) of each inventory

\$

Name and address of the person who has possession of inventory records

27.1.

Name

Street

City

State

ZIP Code

Name of the person who supervised the taking of the inventory

Date of  
inventoryThe dollar amount and basis (cost, market, or  
other basis) of each inventory

\$ \_\_\_\_\_

Name and address of the person who has possession of inventory records

27.2.

Name \_\_\_\_\_

Street \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

ZIP Code \_\_\_\_\_

28. List the debtor's officers, directors, managing members, general partners, members in control, controlling shareholders, or other people in control of the debtor at the time of the filing of this case.

Name

Address

Position and nature of any  
interest

% of interest, if any

See attached

29. Within 1 year before the filing of this case, did the debtor have officers, directors, managing members, general partners, members in control of the debtor, or shareholders in control of the debtor who no longer hold these positions?

☐

No

☒

Yes. Identify below.

Name

Address

Position and nature of  
any interestPeriod during which  
position or interest was  
heldSee attached

From \_\_\_\_\_ To \_\_\_\_\_

From \_\_\_\_\_ To \_\_\_\_\_

From \_\_\_\_\_ To \_\_\_\_\_

From \_\_\_\_\_ To \_\_\_\_\_

30. Payments, distributions, or withdrawals credited or given to insiders

Within 1 year before filing this case, did the debtor provide an insider with value in any form, including salary, other compensation, draws, bonuses, loans, credits on loans, stock redemptions, and options exercised?

☐

No

☒

Yes. Identify below.

Name and address of recipient

Amount of money or  
description and value of  
property

Dates

Reason for  
providing the value30.1. See attached

Name \_\_\_\_\_

Street \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

ZIP Code \_\_\_\_\_

Relationship to debtor \_\_\_\_\_

Debtor Aradigm Corporation  
Name

Case number (if known) 19-40363

Name and address of recipient

30.2

Name

Street

City

State

ZIP Code

Relationship to debtor

31. Within 6 years before filing this case, has the debtor been a member of any consolidated group for tax purposes?

☒ No

☐ Yes. Identify below.

Name of the parent corporation

Employer identification number of the parent corporation

EIN: \_\_\_\_\_

32. Within 6 years before filing this case, has the debtor as an employer been responsible for contributing to a pension fund?

☒ No

☐ Yes. Identify below.

Name of the pension fund

Employer identification number of the pension fund

EIN: \_\_\_\_\_

**Part 14: Signature and Declaration**

**WARNING** -- Bankruptcy fraud is a serious crime. Making a false statement, concealing property, or obtaining money or property by fraud in connection with a bankruptcy case can result in fines up to \$500,000 or imprisonment for up to 20 years; or both. 18 U.S.C. §§ 152, 1341, 1519, and 3571.

I have examined the information in this *Statement of Financial Affairs* and any attachments and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on

03/20/2019  
MM/DD/YYYY

x Lisa Thomas

Signature of individual signing on behalf of the debtor

Printed name Lisa Thomas

Position or relationship to debtor Acting Controller and Responsible Individual

Are additional pages to *Statement of Financial Affairs for Non-Individuals Filing for Bankruptcy* (Official Form 207) attached?

☐ No

☒ Yes

In re Aradigm Corporation

Case No. 19-40363

Statement of Financial Affairs

Part 1, Item 2 (Non-Business Revenue)

2	Non-Business Revenue					
	Current Year	01/01/19	02/14/19	Grifols Reimb of University of Sydney Projects		
	Prior Year	01/01/18	12/31/18	Grifols Reimb of University of Sydney Projects	75,165	Pass through of program spend
				DSTL Biodefense contract	264,756	Cost plus overhead grant
				NIH Grant: Non-tb myc	351,924	Cost plus overhead grant
	Year Before	01/01/17	12/31/17	Grifols Reimb of University of Sydney Projects	80,325	Pass through of program spend
				DSTL Biodefense contract	268,296	Cost plus overhead grant
				NIH Grant: Non-tb myc	83,802	Cost plus overhead grant
				NIH Grant: Gastro Aspiration	38,353	Cost plus overhead grant

Part 2, Item 3 (Certain payments or transfers to creditors within 90 days before filing this case)

	<b>Creditor's Name</b>	<b>Creditor's Address</b>	<b>Dates</b>	<b>Amount</b>	<b>Reason for payment/transfer</b>	
3.1	ACCENTURE LLP	161 N. CLARK STREET, Chicago, IL 60601	12/05/18	(1,647.00)		
	ACCENTURE LLP		01/24/19	(1,050.00)		
	ACCENTURE LLP		01/31/19	(1,813.00)		
	ACCENTURE LLP		02/12/19	(14,227.00)		
				<b>(18,737.00)</b>	Services	
3.2	ADVARRA CONSULTING, INC	5 GREAT VALLEY PARKWAY, SUITE 120, Malvern, PA 19355	11/28/18	(7,328.68)		
				<b>(7,328.68)</b>	Services	
3.3	AMERICAN EXPRESS(BOX 0001)	PO Box 0001, Los Angeles, CA 90096-8000	12/05/18	(5,849.61)		
	AMERICAN EXPRESS(BOX 0001)		01/10/19	(17,936.40)		
	AMERICAN EXPRESS(BOX 0001)		02/08/19	(8,397.58)		



	AMERICAN EXPRESS(BOX 0001)		02/13/19	(6,229.23)		
	AMERICAN EXPRESS(BOX 0001)		02/15/19	(558.26)		
				<b>(38,971.08)</b>	Supplier or vendor	
3.4	BCS STATISTICAL SOLUTIONS, LLC	571 COCONUT PALM TERRACE, Plantation, FL 33324	12/13/18	(15,250.00)		
	BCS STATISTICAL SOLUTIONS, LLC		01/04/19	(24,075.00)		
	BCS STATISTICAL SOLUTIONS, LLC		01/10/19	(14,750.00)		
	BCS STATISTICAL SOLUTIONS, LLC		02/08/19	(11,000.00)		
				<b>(65,075.00)</b>	Services	
3.5	BIOTRAK RESEARCH INC.	805 BRIGHTON AVENUE, Southlake, TX 76092	01/09/19	(29,711.75)		
	BIOTRAK RESEARCH INC.		02/12/19	(13,353.50)		
				<b>(43,065.25)</b>	Services	

3.6	BOZICEVIC, FIELD & FRANCIS, LL	201 REDWOOD SHORES PKWY, SUITE 200, Redwood City, CA 94065	12/13/18	(26,987.92)		
	BOZICEVIC, FIELD & FRANCIS, LL		01/10/19	(10,899.29)		
	BOZICEVIC, FIELD & FRANCIS, LL		02/08/19	(22,345.19)		
	BOZICEVIC, FIELD & FRANCIS, LL		02/12/19	(19,935.77)		
				<b>(80,168.17)</b>	Services	Legal
3.7	CaliforniaChoice Benefit Admin	PO Box 7088, Orange, CA 92863-7088	12/13/18	(21,704.63)		
	CaliforniaChoice Benefit Admin		01/10/19	(20,568.08)		
	CaliforniaChoice Benefit Admin		02/08/19	(21,325.78)		
	CaliforniaChoice Benefit Admin		02/08/19	21,325.78		
	CaliforniaChoice Benefit Admin		02/12/19	(21,325.78)		
				<b>(63,598.49)</b>	Other	Employee health insurance
3.8	DONNELLEY FINANCIAL, LLC	PO BOX 842282, Boston, MA 02284-2282	11/28/18	(2,965.00)		

	DONNELLEY FINANCIAL, LLC		12/13/18	(621.00)		
	DONNELLEY FINANCIAL, LLC		01/17/19	(450.00)		
	DONNELLEY FINANCIAL, LLC		01/24/19	(4,544.00)		
	DONNELLEY FINANCIAL, LLC		02/08/19	(410.00)		
	DONNELLEY FINANCIAL, LLC		02/14/19	(500.00)		
				<b>(9,490.00)</b>	Services	
3.9	ELLENOFF GROSSMAN & SCHOLE LLP	1345 Avenue of the Americas, New York, NY 10105	02/08/19	10,000.00		
				<b>10,000.00</b>	Services	
3.10	EXELEAD, INC.	6925 GUION ROAD, Indianapolis, IN 46268	12/20/18	(58,925.58)		
	EXELEAD, INC.		01/24/19	(35,849.92)		
	EXELEAD, INC.		01/31/19	(4,009.99)		
				<b>(98,785.49)</b>	Suppliers or Vendors	

3.11	HCP LIFE SCIENCE REIT	3760 KILROY AIRPORT WAY, SUITE 300, Long Beach, CA 90806	12/04/18	(65,098.69)		
	HCP LIFE SCIENCE REIT		01/02/19	(65,342.31)		
	HCP LIFE SCIENCE REIT		02/04/19	(65,342.31)		
				<b>(195,783.31)</b>	Other	Landlord
3.12	HIPONA, MARY	20935 ELBRIDGE CT., CASTRO VALLEY, CA 94552	11/30/18	3,400.00		
			12/15/18	3,400.00		
			01/15/19	3,060.00		
				<b>9,860.00</b>	Services	
3.13	HOGAN LOVELLS US LLP	3 EMBARCADERO CENTER, SUITE 1500, San Francisco, CA 94111	11/28/18	(1,656.00)		
	HOGAN LOVELLS US LLP		12/13/18	(9,127.00)		
	HOGAN LOVELLS US LLP		12/20/18	(23,313.50)		
	HOGAN LOVELLS US LLP		01/24/19	(87,446.37)		

	HOGAN LOVELLS US LLP		02/08/19	(17,765.40)		
	HOGAN LOVELLS US LLP		02/13/19	(27,696.02)		
				<b>(167,004.29)</b>	Services	Legal
3.14	HYMAN PHELPS & McNAMARA, P.C.	700 13TH STREET, N.W. SUITE 1200, Washington, DC 20005	12/05/18	(2,777.50)		
	HYMAN PHELPS & McNAMARA, P.C.		01/10/19	(2,790.00)		
	HYMAN PHELPS & McNAMARA, P.C.		02/08/19	(15,397.50)		
	HYMAN PHELPS & McNAMARA, P.C.		02/13/19	(20,000.00)		
				<b>(40,965.00)</b>	Services	Legal
3.15	ICON CLINICAL RESEARCH LTD	SOUTH COUNTY BUSINESS PARK, Leopardstown, Dublin, Ireland 18	12/07/18	(19,258.06)		
	ICON CLINICAL RESEARCH LTD		01/02/19	(2,812.60)		

	ICON CLINICAL RESEARCH LTD		02/06/19	(6,796.93)		
	ICON CLINICAL RESEARCH LTD		02/08/19	(1,067.61)		
				<b>(29,935.20)</b>	Services	
3.16	JEFFER MANGELS BUTLER & MITCHE	1900 AVENUE OF THE STARS, 7TH FLOOR, Los Angeles, CA 90067	01/29/19	(2,500.00)		
	JEFFER MANGELS BUTLER & MITCHE		02/06/19	(10,000.00)		
	JEFFER MANGELS BUTLER & MITCHE		02/13/19	(251,717.00)		
				<b>(264,217.00)</b>	Services	Legal
3.17	LLRA, LLC/LOUNA LABIB	1710 NEWELL RD., Palo Alto, CA 94303	12/13/18	(9,700.00)		
	LLRA, LLC/LOUNA LABIB		01/10/19	(12,300.00)		
	LLRA, LLC/LOUNA LABIB		02/08/19	(22,038.66)		
				<b>(44,038.66)</b>	Services	

3.18	OREGON STATE UNIVERSITY	BUSINESS AFFAIRS - OFC OF POST AWARD ADM, PO Box 1086, CORVALLIS, OR 97339-1086	12/20/18	(13,710.82)		
	OREGON STATE UNIVERSITY		01/10/19	(32,312.07)		
				<b>(46,022.89)</b>	Other	NIH Grant Partner
3.19	OTC MARKETS GROUP, INC.	PO BOX 29959, New York, NY 10087-9959	01/07/19	(2,500.00)		
	OTC MARKETS GROUP, INC.		01/18/19	(12,000.00)		
				<b>(14,500.00)</b>	Other	
3.20	OUM & Co. LLP	601 CALIFORNIA STREET, SUITE 1800, San Francisco, CA 94108	12/05/18	(19,354.31)		
	OUM & Co. LLP		01/10/19	(6,319.14)		
	OUM & Co. LLP		01/24/19	(2,691.00)		
	OUM & Co. LLP		02/08/19	(21,513.61)		
				<b>(49,878.06)</b>	Services	External Auditors

3.21	PPD IRELAND GMP LAB	BUILDING C, ATHLONE BUSINESS & TECH PARK, GarryCastle, ATGKibe, CO WESTMEATH, Ireland	01/17/19	(27,782.46)		
	PPD IRELAND GMP LAB		02/13/19	(9,794.99)		
				<b>(37,577.45)</b>	Services	
3.22	PRODUCTLIFE LIMITED	THE JEFFREYS BUILDING, St John's Innovation Park, Cowley Road, Cambridge, United Kingdom CB4 0DS	01/18/19	(23,065.66)		
	PRODUCTLIFE LIMITED		02/05/19	(11,942.23)		
	PRODUCTLIFE LIMITED		02/08/19	(8,330.45)		
				<b>(43,338.34)</b>	Services	
3.23	RHO, INC.	6330 QUADRANGLE DRIVE, Chapel Hill, NC 27517	12/05/18	(21,766.86)		
	RHO, INC.		01/10/19	(61,883.89)		
	RHO, INC.		01/24/19	(28,733.75)		
	RHO, INC.		01/24/19	28,733.75		
	RHO, INC.		02/01/19	(28,733.75)		
	RHO, INC.		02/12/19	(37,367.50)		
				<b>(149,752.00)</b>	Services	



3.24	ROSERYAN , INC.	35473 DUMBARTON COURT, Newark, CA 94560	11/28/18	(2,587.50)		
	ROSERYAN , INC.		12/13/18	(9,487.50)		
	ROSERYAN , INC.		01/10/19	(7,162.50)		
	ROSERYAN , INC.		01/17/19	(6,500.00)		
	ROSERYAN , INC.		01/24/19	(4,112.50)		
	ROSERYAN , INC.		01/31/19	(4,768.75)		
	ROSERYAN , INC.		02/08/19	(550.00)		
	ROSERYAN , INC.		02/12/19	(15,000.00)		
				<b>(50,168.75)</b>	Services	
3.25	UNIVERSAL REGULATORY, INC.	41078 PEMENTEL COURT, Fremont, CA 94539	11/28/18	(9,750.00)		
	UNIVERSAL REGULATORY, INC.		12/13/18	(9,600.00)		
	UNIVERSAL REGULATORY, INC.		01/31/19	(9,900.00)		
	UNIVERSAL REGULATORY, INC.		02/08/19	(9,600.00)		
				<b>(38,850.00)</b>	Services	

3.26	UNIVERSITY OF SYDNEY- DEBTORS K	CASHIERS- DEBTORS K07, Sydney NSW, Australia 2006	11/28/18	(39,472.77)		
	UNIVERSITY OF SYDNEY- DEBTORS K		02/08/19	(35,970.00)		
				(75,442.77)	Other	

	4-Jan	24-Jan	15-Feb	15-Feb	15-Feb	15-Feb	
		2018	Retention	Acc	ESPP	Severance	
	Fin Bonus	Bonus	Bonus	Vacation	Reund		Totals
Benavides	-	40,872	30,000	16,377	80	20,000	107,329
Blanchard	-	30,590	38,000	15,246	8,813	20,000	112,649
Callender	15,000	84,240	48,000	30,000	4,000	20,000	201,240
Dayton	-	72,563	42,500	21,603	5,118	20,000	161,784
Froehlich	25,000	168,842	-	22,969	21,950	20,000	258,761
Garica	-	20,322	26,000	11,538	1,600	20,000	79,460
Leung	-	30,936	26,000	9,847	80	20,000	86,863
Mateo	-	11,937	10,000	7,937	120	20,000	49,994
Siebert	38,000	150,000	-	15,194	-	20,000	223,194
Ste. Marie	-	45,900	42,500	15,505	-	20,000	123,905
Thomas	15,000	63,834	48,000	11,419	3,200	20,000	161,453
Williams	-	11,989	26,000	5,045	320	20,000	63,354
Wu	-	17,718	-	8,577	80	-	26,375

Part 2, item 4

	<b>Creditor's Name</b>	<b>Creditor's Address</b>	<b>Dates</b>	<b>Amount</b>	<b>Reason for payment/transfer</b>	
4.1	4C ADVISORS LLC	8 BEECHWOOD DRIVE, MORRISTOWN, NJ 07960	03/14/18	7,000.00		Owned by Edwin Gordon
			08/22/18	10,000.00		Former Board Member
			09/06/18	5,000.00		
			10/04/18	5,000.00		
			11/01/18	5,000.00		
			12/05/18	5,000.00		
			01/10/19	5,000.00		
			02/08/19	5,000.00		
				<b>47,000.00</b>	Strategic Financial Advice	
4.2	EDWIN H GORDON	8 BEECHWOOD DRIVE, MORRISTOWN, NJ 07960	04/17/18	7,313.00	Board Fees	Former Board Member
			07/12/18	2,417.42	Expense Reimbursement	
			07/19/18	7,813.00	Board Fees	
			10/04/18	12,250.00	Board Fees	
			11/14/18	1,236.78	Expense Reimbursement	
			12/13/18	1,352.91	Expense Reimbursement	
			01/10/19	12,750.00	Board Fees	

			02/12/19	7,625.00	Board Fees	
				<b>52,758.11</b>	Board Member Compensation	
4.3	FREDERICK M. HUDSON	2110 WEST JOPPA ROAD, Lutherville, MD 21093	04/17/18	18,689.00	Board Fees	Former Board Member
			07/12/18	1,163.40	Expense Reimbursement	
			07/19/18	12,125.00	Board Fees	
			10/04/18	17,250.00	Board Fees	
			01/04/19	1,950.59	Expense Reimbursement	
			01/10/19	17,750.00	Board Fees	
			02/12/19	9,875.00	Board Fees	
				<b>78,802.99</b>	Board Member Compensation	
4.4	MATKOVITS, THERESA	3 BAYOWSKI RD, West Orange, NJ 07052	07/12/18	985.50	Expense Reimbursement	Former Board Member
			07/19/18	1,958.00	Board Fees	
			10/04/18	12,875.00	Board Fees	
			10/25/18	1,606.40	Expense Reimbursement	
			12/20/18	1,074.44	Expense Reimbursement	
			01/10/19	13,375.00	Board Fees	
			02/12/19	7,688.00	Board Fees	
				<b>39,562.34</b>	Board Member Compensation	

4.5	SIEBERT, JOHN	78-6827 Kuhinanui St, Kailua-Kona, HI 96740	02/20/18	1,566.86	Expense Reimbursement	Interim Principal Executive Officer
			03/14/18	9,057.58	Expense Reimbursement	Interim Principal Executive Officer
			03/22/18	2,693.83	Expense Reimbursement	Interim Principal Executive Officer
			04/17/18	8,158.00	Board Fees	Former Board Member
			04/17/18	3,281.77	Expense Reimbursement	Interim Principal Executive Officer
			04/25/18	5,750.52	Expense Reimbursement	Interim Principal Executive Officer
			04/30/18	75,000.00	Bonus for Receipt of Financing	Interim Principal Executive Officer
			05/16/18	2,368.06	Expense Reimbursement	Interim Principal Executive Officer
			05/24/18	3,053.06	Expense Reimbursement	Interim Principal Executive Officer
			06/06/18	2,497.67	Expense Reimbursement	Interim Principal

						Executive Officer
			06/15/18	25,000.00	Harship Bonus	Interim Principal Executive Officer
			06/21/18	4,801.25	Expense Reimbursement	Interim Principal Executive Officer
			07/05/18	2,150.83	Expense Reimbursement	Interim Principal Executive Officer
			07/19/18	6,405.53	Expense Reimbursement	Interim Principal Executive Officer
			07/25/18	1,036.58	Expense Reimbursement	Interim Principal Executive Officer
			08/08/18	4,727.68	Expense Reimbursement	Interim Principal Executive Officer
			08/15/18	25,000.00	Hardship Bonus	Interim Principal Executive Officer
			08/16/18	1,254.25	Expense Reimbursement	Interim Principal Executive Officer
			08/22/18	1,384.57	Expense Reimbursement	Interim Principal

						Executive Officer
			08/30/18	1,040.48	Expense Reimbursement	Interim Principal Executive Officer
			09/25/18	1,050.85	Expense Reimbursement	Interim Principal Executive Officer
			09/29/18	1,244.89	Expense Reimbursement	Interim Principal Executive Officer
			10/09/18	1,241.29	Expense Reimbursement	Interim Principal Executive Officer
			10/15/18	1,252.27	Expense Reimbursement	Interim Principal Executive Officer
			10/20/18	1,726.60	Expense Reimbursement	Interim Principal Executive Officer
			10/27/18	1,157.41	Expense Reimbursement	Interim Principal Executive Officer
			11/12/18	1,919.49	Expense Reimbursement	Interim Principal Executive Officer
			11/15/18	38,000.00	Bonus for Receipt of Financing	Interim Principal



						Executive Officer
			12/05/18	1,676.36	Expense Reimbursement	Interim Principal Executive Officer
			12/13/18	7,689.64	Expense Reimbursement	Interim Principal Executive Officer
			12/20/18	2,175.99	Expense Reimbursement	Interim Principal Executive Officer
			11/15/18	38,000.00	Bonus for Receipt of Financing	Interim Principal Executive Officer
			01/24/19	150,000.00	2018 Annual Bonus	Interim Principal Executive Officer
			02/14/19	15,193.73	Vacation Paid Out	Interim Principal Executive Officer
			02/14/19	20,000.00	In Lieu of Notice	Interim Principal Executive Officer
				<b>468,557.04</b>		
4.6	THOMPSON, VIRGIL	7831 RUSH ROSE DRIVE O317, Carlsbad, CA 92009	04/17/18	17,283.00	Board Fees	Former Board Member

			07/12/18	1,083.42	Expense Reimbursement	
			07/19/18	11,188.00	Board Fees	
			10/04/18	14,625.00	Board Fees	
			12/20/18	1,445.30	Expense Reimbursement	
			01/10/19	15,125.00	Board Fees	
			02/12/19	8,563.00	Board Fees	
				<b>69,312.72</b>	Board Member Compensation	
4.7	FROEHLICH, JUERGEN K.	19 PRESCOTT ST, Newton, MA 02460	02/15/18	50,676.00	Vacation Payout	Resignation Chief Medical Officer
			03/14/18	3,727.82	Expense Reimbursement	Acting Chief Medical Officer
			03/29/18	4,123.32	Expense Reimbursement	Acting Chief Medical Officer
			04/17/18	4,248.06	Expense Reimbursement	Acting Chief Medical Officer
			05/16/18	4,267.22	Expense Reimbursement	Acting Chief Medical Officer
			06/21/18	7,469.16	Expense Reimbursement	Acting Chief Medical Officer

			07/19/18	3,321.33	Expense Reimbursement	Chief Medical Officer
			08/08/18	107.30	Expense Reimbursement	Chief Medical Officer
			08/22/18	3,511.42	Expense Reimbursement	Chief Medical Officer
			10/04/18	2,733.81	Expense Reimbursement	Chief Medical Officer
			11/01/18	4,492.10	Expense Reimbursement	Chief Medical Officer
			11/15/18	25,000.00	Bonus for Receipt of Financing	Chief Medical Officer
			12/05/18	3,962.62	Expense Reimbursement	Chief Medical Officer
			01/04/19	25,000.00	Bonus for Receipt of Financing	Chief Medical Officer
			01/24/19	3,554.78	Expense Reimbursement	Chief Medical Officer
			01/24/19	168,842.00	2018 Annual Bonus	Chief Medical Officer
			02/08/19	144.17	Expense Reimbursement	Chief Medical Officer
			02/12/19	1,094.47	Expense Reimbursement	Chief Medical Officer

			02/13/19	536.91	Expense Reimbursement	Chief Medical Officer
			02/14/19	22,968.53	Vacation Paid Out	Chief Medical Officer
			02/14/19	20,000.00	In Lieu of Notice	Chief Medical Officer
			02/14/19		Expense Reimbursement	Chief Medical Officer
				<b>359,781.02</b>		
4.8	JF Clinica Inc.	19 PRESCOTT ST, Newton, MA 02460	03/29/18	54,600.00	Consulting	Acting Chief Medical Officer
			04/17/18	28,800.00	Consulting	Acting Chief Medical Officer
			05/16/18	43,800.00	Consulting	Acting Chief Medical Officer
			06/28/18	45,900.00	Consulting	Acting Chief Medical Officer
				<b>173,100.00</b>		
4.9	PECOTA, NANCY	35385 Cheviot Ct, Newark, CA 94560	09/15/18	10,125.00	Regulatory Consulting	Former Chief

						Financial Officer
			10/15/18	10,000.00	Regulatory Consulting	resigned Feb 11, 2018
			11/15/18	21,125.00	Regulatory Consulting	if no longer an insider should be listed Part 2Q3
			11/30/18	30,000.00	Regulatory Consulting	
			12/31/18	30,000.00	Regulatory Consulting	
			01/17/19	140.96	Expense Reimbursement	
			01/31/19	30,000.00	Regulatory Consulting	
			02/15/19	10,000.00	Regulatory Consulting	
				<b>141,390.96</b>		
4.1	RESPIDEX LLC	650 DELANCEY ST., APT 218, San Francisco, CA 94107	03/29/18	805.00	Regulatory Consulting	Former CEO
			04/17/18	2,148.75	Regulatory Consulting	resigned Feb 11, 2018
			04/25/18	2,607.50	Regulatory Consulting	if no longer an insider should be listed Part 2Q3

			05/16/18	10,000.00	Regulatory Consulting	
			05/24/18	3,935.95	Regulatory Consulting	
			06/06/18	1,657.35	Expense Reimbursement	
			06/14/18	10,000.00	Regulatory Consulting	
			06/28/18	7,388.75	Regulatory Consulting	
			06/28/18	1,131.43	Expense Reimbursement	
			07/05/18	470.22	Expense Reimbursement	
			07/19/18	21,148.95	Regulatory Consulting	
			08/08/18	10,000.00	Regulatory Consulting	
			08/22/18	3,793.75	Regulatory Consulting	
			09/06/18	10,000.00	Regulatory Consulting	
			10/04/18	12,035.00	Regulatory Consulting	
			10/18/18	4,585.00	Regulatory Consulting	
			11/28/18	17,999.00	Regulatory Consulting	
			12/20/18	17,577.75	Regulatory Consulting	
			01/24/19	1,876.50	Regulatory Consulting	

			02/12/19	6,000.00	Regulatory Consulting	
				<b>145,160.90</b>		
For John Siebert and Juergen Froehlich - regular wages not listed.						

Part 4, item 9

9.1	COPD Foundation
	3300 Ponce de Leon Blvd.
	Miami, FL 33134
	Unrestricted donation
	11/14/2017
	50,000
	No relationship to debtor
9.2	NTM Info & Research Inc.
	1550 Madruga Ave, Suite 230
	Coral Gables, FL 33146
	Unrestricted donation
	10/26/2017
	50,000
	No relationship to debtor
9.3	NTM Info & Research Inc.
	1550 Madruga Ave, Suite 230
	Coral Gables, FL 33146
	Unrestricted donation



	4/17/2018
	25,000
	No relationship to debtor

Part 6, item 11

Q11	Paid Who		Jeffer Mangels Butler & Mitchell LLP	
	Address		1900 Avenue of the Stars, 7th Floor	
			Los Angeles, CA 90067-4308	
	Dates		10/24/2018	2,500
			1/29/2018	2,500
			2/6/2018	10,000
			2/13/2018	251,717
			Total	<b>266,717</b>
	Rose Ryan 35473 Dumbarton Court Newark, CA 94560		2/12/2019	<b>\$15,000</b>

## Part 10

				Date	Last
18	<b>Closed Financial Accounts</b>	<b>4 digits of account</b>	<b>Type of Account</b>	<b>Closed</b>	<b>Balance</b>
	Merrill Lynch	2356	Brokerage	09/04/18	622,595
	2049 Century Park E 11/12 FL				
	Century City, CA 90067				
20	<b>Off-premises storage</b>				
	<b>Facility Name and Address</b>	<b>Who Has Access</b>	<b>Description of the Contents</b>		
	Langham Logistics	By appointment	Form Fill & Seal for AERx blisters	Yes	
	5335 W. 74th Street				
	Indianapolis, IN 46268				
	Nor-Cal Moving Services	By appointment	Minor AERx equipment	Yes	
	3129 Corporate Place				
	Hayward, CA 94545				

	Datasafe	By appointment	Corporate Records & Computer Backup Tapes	Yes	
	PO Box 7794				
	San Francisco, CA 94120				
	Physical Location				
	37580 Filbert Steet				
	Newark, CA 94560				

Part 13, item 25

Part 13	Q25	25.1	Aradigm Australia Pty Ltd	
			c/- Griffith Hack Consulting	
			Level 15, 300 Queen Street	
			Brisbane, Queensland, 4000	
		Nature	Will engage in R&D and conduct Phase 3 trials in Australia and assist in EMA regulatory process	
		ABN	42 169 288 804	
		From	Jul 15, 2015	
		To	Still in existence	
		25.2	Aradigm Limited	
			12 New Fetter Lane	
			London, UK EC4A 1JP	
			Agent on record is Bird and Bird	
		Nature	Provide assistance with Regulatory approvals in Europe	
		Company #	05150675	
		From	At least 10 years	
		To	Still in existence	

				1 Castlewood Avenue	
				Rathmines, Dublin 6, Ireland	
				Agent on record is BFCD Chartered Accountants	
		Nature		Provide assistance with Regulatory approvals in Europe	
		Company #			
		From		Dec 18, 2018	
		To		Still in existence	

Part 13, item 28

Grifols, S.A.  
Avinguda De La Generalitat, 152 – 158  
Para De Negocis Can Sant Joan  
Sant Cugat Del Valles 08174  
Barcelona, Spain

Grifols Worldwide Operations  
Grange Castle Business Park  
Grange Castle  
Clondalkin  
Dublin 22, Ireland

Grifols, S. A. and Grifols Worldwide are shareholders that collectively hold approximately 48% of the Debtor's stock

First Eagle Investment Management  
1345 Avenue Of The Americas  
New York, NY 10105

First Eagle Value In Biotechnology  
Master Fund, Ltd.  
C/O First Eagle Investment Management  
1345 Avenue of the Americas  
New York, NY 10105

21 April Fund Ltd.  
C/O First Eagle Investment Management  
1345 Avenue Of The Americas  
New York, NY 10105

First Eagle Investment Management, First Eagle Value In Biotechnology Master Fund and 21 April Fund are shareholders that collectively hold approximately 26% of the Debtor's stock.

John M. Siebert  
Executive Chairman, Interim Principal Executive Officer, Acting Chief Financial Officer  
78-6827 Kuhinanui  
Kailua Kona, HI 96740

Part 13, item 29

Board Member/Director		Edwin H. Gordon
Resigned Feb 12, 2019		8 Beechwood Drive
		Morristown, NJ 07960
Board Member/Director		Frederick M. Hudson
		2110 West Joppa Road
		Lutherville, MD 21093
Board Member/Director		Theresa Matkovits
Resigned Feb 13, 2019		3 Bayowski Rd.
		West Orange, NJ 07052
Board Member/Director		Virgil Thompson
Resigned Feb 14, 2019		7831 Rush Rose Drive 0317
		Carlsbad, CA 92009
Chief Medical Officer		Juergen Froehlich
Terminated Feb 14, 2019		19 Prescott St.
		Newton, MA 02460



Part 13, item 30

				Type	No. of shares	Effective date	Vesting terms
Edwin H. Gordon	8 Beechwood Drive	Morristown, NJ 07960	Director	Annual Grant	97,332	06/29/18	Vest quarterly over 1 year
Frederick M. Hudson	2110 West Joppa Road	Lutherville, MD 21093	Director	Annual Grant	97,332	06/29/18	Vest quarterly over 1 year
Theresa Matkovits	3 Bayowski Rd.	West Orange, NJ 07052	Director	Engagement Grant	50,000	06/29/18	Vest quarterly over 1 year
Virgil Thompson	7831 Rush Rose Drive 0317	Carlsbad, CA 92009	Director	Annual Grant	97,332	06/29/18	Vest quarterly over 1 year
John M. Siebert	78-6827 Kuhinanui	78-6827 Kuhinanui	Executive Chairman	New Hire	96,000	02/12/18	100% of the shares vest 6 months from effective date
			Interim Principal Executive Officer	New Hire	154,000	02/12/18	Vest monthly over 36 months
			Acting Chief Financial Officer				
Juergen Froehlich	19 Prescott St.	Newton, MA 02460	Chief Medical Officer	Retention Grant	60,000	10/26/18	RSA vests quarterly

							over one year
				Performanc e Grant	150,000	05/31/18	Vest 100% upon FDA accepts NDA for a limited population pathway
				Performanc e Grant	100,000	05/31/18	Vest 100% when EMA issues a positive opinion for approval prior to May 1, 2019

See also the response to Question 4.