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7 *Successor Receiver*

8 **UNITED STATES DISTRICT COURT**
9 **NORTHERN DISTRICT OF CALIFORNIA**
10 **SAN FRANCISCO DIVISION**

11 SECURITIES AND EXCHANGE COMMISSION,

Case No. 3:16-cv-01386-EMC

12 Plaintiff,

13 v.

**RECEIVER’S PROPOSED PLAN OF
DISTRIBUTION**

14 JOHN V. BIVONA; SADDLE RIVER
15 ADVISORS, LLC; SRA MANAGEMENT
16 ASSOCIATES, LLC; FRANK GREGORY
17 MAZZOLA,

18 Defendants, and

19 SRA I LLC; SRA II LLC; SRA III LLC;
20 FELIX INVESTMENTS, LLC; MICHELE
21 J. MAZZOLA; ANNE BIVONA; CLEAR
22 SAILING GROUP IV LLC; CLEAR
23 SAILING GROUP V LLC,

Date: June 27, 2019
Time: 1:30 p.m.
Place: Courtroom: 5
450 Golden Gate Ave
San Francisco, CA
Judge: Edward M. Chen

24 Relief Defendants.

25 Kathy Bazoian Phelps, the successor Receiver herein (the “Receiver”), presents her Plan of
26 Distribution as follows:
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1 **I. Procedural History**

2 1. The Securities and Exchange Commission (“Commission” or “SEC”) filed a
3 complaint commencing this action on March 22, 2016, and Sherwood Partners was appointed as the
4 Independent Monitor on March 25, 2016 (ECF 36).

5 2. Pursuant to the Stipulated Order for Appointment of Receiver so ordered on October
6 11, 2016 (ECF 142), the Court appointed Sherwood Partners, Inc. (the “Former Receiver”) as the
7 Receiver to take possession and control of the assets of the following entities: SRA Management
8 Associates, LLC (“SRA Management”), SRA I LLC (“SRA I”), SRA II LLC (“SRA II”), SRA III
9 LLC (“SRA III”) (together, “SRA Funds”), Clear Sailing Group IV LLC and Clear Sailing Group V
10 LLC (together, “Clear Sailing”), and third-party affiliated entities NYPA Fund I LLC (“NYPA I”),
11 NYPA II Fund LLC (“NYPA II”) (together, “NYPA Funds”) and NYPA Management Associates
12 LLC (collectively, “NYPA Entities”) and Felix Multi-Opportunity Funds I and II, LLC (“FMOF I
13 and II”) (together, “FMOF Funds”) and FMOF Management Associates, LLC (collectively, “FMOF
14 Entities”) (collectively, the “Receivership Entities”).

15 3. By Order entered on February 28, 2019, the Court appointed Kathy Bazoian Phelps as
16 the successor Receiver (the “Receiver”).

17 4. At a hearing on February 28, 2019, the Court heard arguments relating to a proposed
18 Revised Distribution Plans that, pursuant to the Court’s Order re Proposed Distribution Plans dated
19 December 20, 2018 (ECF 443), combined components of competing distribution plans submitted by
20 the SEC and the Former Receiver, on the one hand, and Interested Party SRA Investor Group
21 (“Investor Group”), on the other hand. Prior to that date, the Court held a number of hearings and
22 considered objections and considered supplemental and revised terms of the competing Distribution
23 Plans, which have been amended. The Receiver has met and conferred with the SEC, the SRA
24 Investor Group, Global Generation Group LLC, Progresso Ventures, LLC, and Pradeep Sindhu and
25 believes that the terms of this Plan most equitably address the interests of the various interested
26 parties.

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2 **II. Plan Definitions**

3 “Administrative Claims” means accrued and unpaid Receiver’s and retained professionals’ fees
4 and expenses, costs of administration of the Receivership Estate, including storage, insurance, or any
5 other expenses attributable to the administration of the receivership, except for Priority Claims.

6 “Administrative Cash Reserve” means the amount of funds from the Plan Fund that the Receiver
7 shall retain as undistributed funds for purposes of paying potential tax liability, expenses to wind
8 down the Receivership Estate, and for other unanticipated costs of the Receivership.

9 “Administrative Stock Reserve” means the number of shares to be retained by the Receiver as
10 undistributed shares to the Investor Claimants for purposes of paying potential tax liability, expenses
11 to wind down the Receivership Estate, and for other unanticipated costs of the Receivership.

12 “Allowed Claim” means a claim by an investor or creditor that the Receiver in consultation with
13 the SEC Staff and Claims Agent has determined is represented by a valid invoice, receivable, right to
14 payment, interest or debt against the Receivership Entities supported by the submissions of the
15 investor or creditor claimant, the books and records of the Receivership Entities, or other sources of
16 information reasonably available to the Receiver. Allowed Claims will be classified under this Plan
17 as Administrative Claims, Priority Claims, Investor Claims, Unsecured Creditor Claims or
18 Subordinated Claims. “Allowed Claim” also includes any late-filed Investor Claim that was timely
19 submitted during the Re-opened Claims Period or that has otherwise been accepted by the Court as a
20 timely-filed claim.

21 “Avoidance Action” means any cause of action, or defense against an action, to avoid or recover
22 a transfer of property of the Receivership Estate or interest of the Receivership Entities in property,
23 including actions, or defenses arising under applicable federal, state or common law.

24 “Bivona Bankruptcy Case” means the Chapter 7 bankruptcy proceeding of John Vincent Bivona,
25 Case No. 16-12961-SCC, in the United States Bankruptcy Court for the Southern District of New
26 York.

1 “Cause of Action” means a claim, right, action, chose in action, suit, cause of action, or judgment,
2 belonging to the Receivership Estate and any and all claims to recover liabilities, obligations, and
3 debts owing to the Receivership Estate, whether arising prior to or after October 11, 2016.

4 “Claims Agent” means Stretto fka Corporate Restructuring (“JND”) of Denver Colorado.

5 “Claim Objection” means an objection served by the Receiver on any person or entity for which
6 the Receiver disputes the claim filed. The Receiver may also object to any request for payment or
7 transfer of assets even if a formal proof of claim was not filed. The Receiver shall set a Claim
8 Objection for hearing, providing notice and opportunity for hearing to the claimant pursuant to the
9 Court’s Local Rules.

10 “Disallowed Claims” include claims, whether or not formally and timely filed, belonging to or
11 asserted by or on behalf of or for (i) John V. Bivona; (ii) Frank Mazzola; (iii) Anne Bivona; (iv)
12 Michele Mazzola; (v) David Jurist; (vi) Alice Jurist; (vii) former agents or employees of Saddle
13 River, Felix Investments, LLC, FMOF Management Associates LLC, NYPA Management
14 Associates LLC, SRA Management, Clear Sailing Group IV LLC, Clear Sailing Group V LLC, and
15 the Fortuna Fund Management LLC; (viii) other insiders (including Emilio DiSanluciano); (ix)
16 management fees; (x) Inter-company claims; (xi) any claim for the guarantee of a debt or financial
17 obligation for the benefit of insiders, including but not limited to John V. Bivona, Frank Mazzola,
18 Anne Bivona, Michele Mazzola, David Jurist, and Alice Jurist, by FMOF Management, or NYPA
19 Management or any other of the Receivership Entities; (xii) any claim for the guarantee of a debt or
20 financial obligation in connection with a Failed Investment; (xiii) any claim that has been disallowed
21 by an order of the Court after notice and a hearing; and (xiv) any claim that was filed with the
22 Receiver after May 14, 2019 that has not been expressly allowed by an order of the Court after notice
23 and a hearing. The definition of “Disallowed Claim” excludes a claim or claims filed on behalf of
24 Fortuna Funds by Stephen Soler, unless such claim or claims are disallowed on another basis.

25 “Disgorgement Funds” or “Fair Fund” means monies collected by the Commission that are
26 ordered paid to the Commission or the Receivership pursuant to a final judgment entered in this case.

27 “Distribution” means the disbursement of securities or money from the Distribution Account or a
28 Receivership Entity account to Eligible Claimants pursuant to the Distribution Plan.

1 “Distribution Account” means a checking account or accounts established by the Receiver to
2 receive the monies from the Corporate Defendants, Relief Defendant Entities and affiliated third
3 party entities that are scheduled to be disbursed in accordance with the Distribution Plan.

4 “Distribution Account” shall also mean a checking account established by the Receiver to accept
5 Disgorgement Funds or Fair Fund monies from the Commission, subject to any limitations on
6 disbursement required by the Commission. Multiple such accounts may be necessary to ensure that
7 the entire amount deposited is insured by the Federal Deposit Insurance Corporation.

8 “Distribution Plan” or “Plan” means this Revised Plan of Distribution for the resolution and
9 distribution of funds on claims to investors and creditors harmed as a result of the violations alleged
10 in the Commission’s complaint.

11 “Distribution Plan Notice” means the written notice to investors and creditors that the Plan is
12 approved and they are eligible for a distribution pursuant to this Distribution Plan, unless they receive
13 a Claim Objection. The Distribution Plan Notice will be subject to Court approval.

14 “Eligible Claimant” means any investor or creditor with an Allowed Claim.

15 “Failed Investment” means any of the companies in which the Receivership Entities offered
16 investments in securities in companies which were pre-IPO, did not go public and have a liquidity
17 event, and have failed. Those companies as of the date of this Plan are Alphcom dba Jawbone,
18 Badgeville Inc., Candi Controls, Glam, Jumio Inc., Odesk, Practice Fusion, Virtual Instruments,
19 eSolar and Silver Springs Network . Any intended investment which fails to go public after approval
20 of this Plan is intended to be included in the definition of Failed Investment.

21 .

22 “Final Schedule of Proposed Stock Distributions” means the schedule to be filed by the Receiver
23 of proposed stock distributions to Investor Claimants in connection with a particular Successful
24 Investment, which schedule shall include the following: (a) the claimants who will receive shares; (b)
25 the number of shares to be given to each claimant; (c) the number of shares sold to contribute to the
26 Plan Fund; (d) the number of shares sold to pay any estimated tax liability; and (e) the number of
27 shares or cash to be held back as the Administrative Stock Reserve.

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1 “Flurry Investor Claims” means the amounts owed to investors who had invested in Flurry and
2 who have not yet received distributions in accordance with their Allowed Claims.

3 “Investor Claims” means claims by investors who purchased securities with or through the
4 Receivership Entities and which are Allowed Claims. Investor Claims shall be calculated as the
5 principal amount invested in or through the Receivership Entities for which there has been no
6 distribution, less amounts previously returned to an investor. Investor Claims shall include
7 investments made in Clear Sailing which began in mid-2011. Claims of Fortuna Fund LLC I and
8 Fortuna Fund LLC II (collectively, the “Fortuna Fund”) which in turn invested in Clear Sailing on
9 behalf of individual investors shall be treated as Investor Claims but individual investors in Fortuna
10 Fund will not receive a distribution from the Receivership Estate but will receive a distribution
11 through Fortuna Fund. Investor Claims shall not include investments made through entities that are
12 not Receivership Entities.

13 “Investor Claimants” are those individuals or entities who hold an Allowed Investor Claim.

14 “Late Filed Claims” means any written claims submitted using the approved claim form(s) to the
15 Former Receiver or Receiver after January 31, 2018 but on or before May 14, 2019. Late Filed
16 Claims shall be deemed Allowed Claims unless objected to or disallowed on another basis.

17 “Other Recoveries” means any investor or creditor recovery for capital, profit, claims or damages,
18 other than through the Distribution Plan, including but not limited to any funds received or
19 reasonably expected to be received in the Bivona Bankruptcy Case, from other litigation or from third
20 party sources, included but not limited to payment on personal guarantees, except as otherwise
21 provided for by agreement between the Receiver and an Eligible Claimant.

22 “Plan Fund” means the cash generated from the sale of securities in the Successful Investments in
23 a sum approximately equal to 30% of the gross amount invested by the Investor Claimants in each of
24 the Successful Investments. Additionally, the Plan Fund will include any surplus shares of Successful
25 Investments that can be sold by the Receiver and funds generated from the sale of securities for the
26 purpose of paying Class 1, 2, and 3 claims as set forth in this Plan. It is presently understood, if each
27 current investment that is not a Failed Investment becomes a Successful Investment, that 30% of the
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1 gross investments is \$13,889,696, but that figure may decrease if any of the current pre-IPO
2 securities do not ultimately become Successful Investments.

3 “Priority Claims” means any tax, wage, or other claims entitled to priority distribution under
4 applicable state or federal law, including without limitation title 31 U.S.C. § 3713 and any similar
5 state statute.

6 “Receivership Claims” means any legal claims the Receivership Entities have against third
7 parties.

8 “Receivership Entities” means SRA Management Associates, LLC (“SRA Management”), SRA I
9 LLC (“SRA I”), SRA II LLC (“SRA II”), SRA III LLC (“SRA III”) (together, “SRA Funds”), Clear
10 Sailing Group IV LLC and Clear Sailing Group V LLC (together, “Clear Sailing”), and third-party
11 affiliated entities NYPA Fund I LLC (“NYPA I”), NYPA II Fund LLC (“NYPA II”) (together,
12 “NYPA Funds”) and NYPA Management Associates LLC (collectively, “NYPA Entities”) and Felix
13 Multi-Opportunity Funds I and II, LLC (“FMOF I and II”) (together, “FMOF Funds”) and FMOF
14 Management Associates, LLC (collectively, “FMOF Entities”).

15 “Receivership Estate” means the assets and property, in whatever form, of the Receivership
16 Entities.

17 “Re-opened Claims Period” means the extended time for filing claims through May 14, 2019
18 pursuant to the Receiver’s Notice of New Claims Bar Date.

19 “Subordinated Claims” means and includes an Allowed Claim for: (1) broker fees and backend
20 commissions, (2) penalty or other properly subordinated claims in connection with outstanding tax
21 liabilities; and (3) claims which have been subordinated pursuant to Court order or agreement
22 between the Receiver and an Eligible Claimant. The claim of the SEC arising from its Final Judgment
23 is deemed satisfied upon the Court’s approval of a distribution plan and shall not receive any
24 distribution pursuant to this Plan. Subordinated Claims do not include Disallowed Claims.

25 “Surplus Shares” means the number of shares in a particular investment owned by the
26 Receivership Estate that exceeds the number of shares claimed by Investors in that particular
27 investment on account of the net amount of their investment.

1 “Square Investor Claims” means the amounts owed to investors who had invested in Square and
2 who have not yet received distributions in accordance with their Allowed Claims.

3 “Successful Investment” means any of the companies in which the Receivership Entities offered
4 investments in securities in companies which were or are pre-IPO that ultimately went and go public
5 and had or have a liquidity event.

6 “Unsecured Creditor Claims” means the total amount owed or amount owed by agreement on
7 loans, business debt, money judgments to the Eligible Claimants identified on Exhibit “1” as may
8 ultimately be determined to be Allowed Claims.

9 **The Assets of the Estate**

10 The assets of the estate consist of cash and securities as follows:

11 A. Unencumbered cash: Approx. \$432,000

12 B. Securities: The estate holds an interest in securities, some of which are publicly held
13 shares and others of which are pre-IPO and are held in the form of book entries or are
14 owing in connection with forward contracts. The estate asserts an interest in some
15 securities held by EAC, which remains subject to potential resolution or litigation, which
16 are reflected in the “Possible Variance” column:

18 Company	Securities Owned by Estate	Possible Variance	Total if Variance Realized	Current Status
19 Addepar, Inc.	1,029,298	(35,000)	994,298	Pre-IPO
20 Airbnb	0	11,286		Pre-IPO
21 Bloom Energy Inc.	90,667	(3,524)	87,143	Public
22 Bloom Energy Inc. (Solis Funds)	59,111		59,111	Public
23 Cloudera, Inc.	45,038	(7,400)	37,638	Public
Dropbox, Inc.	46,000		46,000	Public
24 Evernote Corp.	100,000	(3,892)	96,108	Pre-IPO
25 Lookout, Inc.	212,476 <i>unconfirmed</i>	(37,676)	174,800	Pre-IPO
Lyft, Inc.	0	11,000	11,000	Public, held by EAC
26 MongoDB Inc.	20,000	6,250	26,250	Public
27 Palantir Inc.	5,422,600	317,649	5,740,249	Pre-IPO
Pinterest, Inc.	0	32,519	32,519	Pre-IPO, held by EAC
28 Snap, Inc.	31,172		31,172	Public

1	Uber Inc.	0	500	500	Public, held by EAC
2	ZocDoc, Inc.	<i>20,104</i> <i>unconfirmed</i>	1,494	21,598	Pre-IPO

III. Claims of Receivership Estate

A. Claims Bar Date and Late Claims

1. Prior to the Receiver's appointment, the Former Receiver served a Notice of Bar Date, establishing January 31, 2018 as the claims bar date (the "Original Bar Date").

2. Approximately 17 claims were submitted after the Original Bar Date, but prior to the date when the Former Receiver submitted a Claims Report to the Court on June 14, 2018 [Docket No. 340] ("Former Receiver's Claims Report").

3. Approximately 8 additional claims were submitted after the filing of the Former Receiver's Claims Report but prior to the appointment of the Receiver.

4. At the hearing on February 28, 2019 at which the Receiver was appointed, the Receiver requested authority to serve a new notice of a claims bar date to provide creditors and investors who had not received notice an opportunity to file claims. The date of May 14, 2019 was fixed as the new bar date for these claims (the "Supplemental Bar Date"), and the Receiver served notice of that bar date pursuant to the Court's Minute Order dated February 28, 2019 [Docket No. 470].

5. On March 12, 2019, the Receiver served a second Notice of Bar Date on those parties who the Receiver believed may not have received notice of the Original Bar Date.

6. Following the Receiver's appointment on February 28, 2019, the Receiver received 23 new claims that were submitted prior to the Supplemental Bar Date. The Receiver reviewed all claims filed after February 28, 2019, and concluded that no objection based on timeliness was appropriate under the circumstances. By separate motion, the Receiver advised the Court of the Receiver's conclusions and no intention to object to the late-filed claims on the basis of timeliness. However, the absence of an objection on the basis of untimeliness is not a waiver of any rights of the Receiver to file an objection on any other basis or to object on the grounds of timeliness to any claim

1 submitted in writing after the May 14, 2019 Supplemental Bar Date, whether any such claim has been
2 submitted in writing or was submitted on an informal basis before or after the Supplemental Bar
3 Date.

4 7. Any claimant wishing to assert a claim against the Receivership estate after May 14,
5 2019 will need to seek leave of Court to do so. The Receiver has requested an order that, absent a
6 Court order allowing such a claim, any claim submitted after May 14, 2019 shall be barred without
7 need to obtain further order of the Court.

8 **B. Objections to Claims**

9 The Receiver reviewed the information aggregated by the Former Receiver relating to claims,
10 has obtained claims information from the Former Receiver's claims agent, and conferred with both
11 the SEC and the Investor Group regarding claims issues. As a result, the Receiver filed a Motion to
12 Disallow Certain Claim. In summary, the Motion to Disallow Certain Claims seeks disallowance of
13 the following categories of claims:

- 14 • Claims which have received prior distribution
- 15 • Claims made for funds paid to non-receivership entities
- 16 • Duplicate claims
- 17 • Claims for Failed Investments

18 The Receiver may, in her discretion, file subsequent objections to claims, and shall provide notice
19 and an opportunity to object and be heard pursuant to the Court's Local Rules to any claimant whose
20 claim is affected.

21 **C. Classes of Claimants**

22 The Receiver has categorized the remaining claims which she believes to be valid into the
23 following classes of claimants:

- 24 Class 1: Administrative Claims
- 25 Class 2: Priority Claims
- 26 Class 3: Unsecured Creditor Claims
- 27 Class 4: Investor Claims
- 28 Class 5: Subordinated Claims

1 These classes of claims and the proposed treatment of each class are discussed below.

2 **1. Class 1**

3 Class 1 consists of the Administrative Claims. It is contemplated these Administrative Claims
4 will consist primarily of the Receiver's fees and costs and the fees and costs of professional retained
5 by the Receiver.

6 **2. Class 2**

7 Class 2 consists of the Priority Claims. The priority claims will likely consist substantially, if
8 not entirely, of tax claims. At the present time, two tax claims have been submitted by the New York
9 Department of Tax and Finance in the amount of \$20,940.

10 Other anticipated tax claims that would constitute Priority Claims are tax liability at both the
11 federal and state levels attributable to the sale and disbursement of securities. The amount of the tax
12 liability that will be realized from the sale of securities to fund the payments to the Class 1, 2 and 3
13 classes and from the disbursement of securities to Class 4 is presently unknown.

14 This Plan contemplates that additional securities will be sold as necessary to fund the
15 estimated tax liability from the sale and distribution of securities.

16 This Plan does not provide any tax advice and all Unsecured Creditors and Investor Claimants
17 are encouraged to consult their own tax advisor regarding any tax consequences of this Plan.

18 In any event, no distribution will be made to Classes 3, 4 or 5 until such time as Class 1 and 2
19 claims have been paid in full or sufficient reserves are held to ensure payment in full to Classes 1 and
20 2.

21 **3. Class 3**

22 Class 3 consists of the Unsecured Creditor Claims identified on Exhibit "1." This Plan
23 contemplates that the Unsecured Claims will be paid from the Plan Fund, which shall be funded by
24 cash generated from the sale of securities as set forth in detail below. The Plan Fund will be used to
25 pay Classes 1, 2 and 3. To the extent there is a surplus of cash following payment of those classes, the
26 surplus will be used to pay Class 5 claims on a pro rata basis. To the extent there is a deficiency,
27 Classes 1 and 2 will be paid in full, and Class 3 will receive a pro rata distribution on account their
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1 claims from the remaining funds in the Plan Fund following payment in full to Classes 1 and 2
2 claimants.

3 4. Class 4

4 Class 4 consists of the Investor Claims, which have been divided by the company in which the
5 claimants invested. The Class 4 claims are identified by Investor I.D. number and by intended
6 investment in Exhibits “2” through “15” attached hereto and identified as follows:

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8	Class 4A:	Addepar	Exhibit “2”
	Class 4B:	Airbnb	Exhibit “3”
9	Class 4C:	Bloom Energy	Exhibit “4”
	Class 4D:	Cloudera	Exhibit “5”
10	Class 4E:	Dropbox	Exhibit “6”
	Class 4F:	Evernote	Exhibit “7”
11	Class 4G:	Lookout	Exhibit “8”
	Class 4H:	Lyft	Exhibit “9”
12	Class 4I:	MongoDB	Exhibit “10”
	Class 4J:	Palantir	Exhibit “11”
13	Class 4K:	Pinterest	Exhibit “12”
	Class 4M:	Snap, Inc.	Exhibit “13”
14	Class 4N:	Uber	Exhibit “14”
15	Class 4O:	ZocDoc	Exhibit “15”

16 The shares that have been confirmed by the Receiver as owned by the estate are set forth
17 below. There are possible variances in the number of shares the estate may own based on cross-issues
18 with EAC. The following chart reflects the shares owned, the possible variance, the total shares
19 possible for distribution based on variances, and the total shares claimed.

21	Company	Securities Owned by Estate	Possible Variance	Total if Variance Realized	Shares Claimed by Investors
22	Addepar, Inc.	1,029,298	(35,000)	994,298	995,509
23	Airbnb	0	11,286		11,125
24	Bloom Energy Inc.	90,667	(3,524)	87,143	117,017
25	Bloom Energy Inc. (Solis Funds)	59,111		59,111	22,566
26	Cloudera, Inc.	45,038	(7,400)	37,638	37,639
27	Dropbox, Inc.	46,000		46,000	46,000
	Evernote Corp.	100,000	(3,892)	96,108	88,287
28	Lookout, Inc.	212,476 <i>unconfirmed</i>	(37,676)	174,800	171,797

1	Lyft, Inc.	0	11,000	11,000	9,479
	MongoDB Inc.	20,000	6,250	26,250	22,171
2	Palantir Inc.	5,422,600	317,649	5,740,249	5,895,853
	Pinterest, Inc.	0	32,519	32,519	23,206
3	Snap, Inc.	31,172		31,172	31,173
	Uber Inc.	0	500	500	500
4	ZocDoc, Inc.	20,104	1,494	21,598	21,598
5		<i>unconfirmed</i>			

6 The Plan below contemplates that some of these securities will be liquidated to fund payment
7 of the Class 1, 2, and 3 claims.

8 **5. Class 5**

9 Class 5 consists of the Subordinated Claims. It is presently unknown whether any distribution
10 will be made to Class 5 creditors. The source of any distribution to Class 5 creditors will be any
11 surplus monies in the Plan Fund after Classes 1, 2, and 3 have been paid in full. To the extent that any
12 surplus funds remain following payment in full of Class 5 claims, those funds shall be distributed s to
13 the Investors on a pro rata basis using their gross investment amount.

14 **IV. Substantive Consolidation of Solis Fund**

15 According to an Agreement and Plan of Merger by and among Solis Associates I, LLC, Solis
16 Associates II, LLC and Solis Fund Associates LLC effective as of August 12, 2013, the entities Solis
17 Associates I, LLC (“Solis I”) and Solis Associates II, LLC (“Solis II”) were merged into the
18 surviving entity Solis Fund Associates LLC (“Solis Fund”). Solis I and Solis II agreed that those
19 entities would be terminated and members of those entities would become members of Solis Fund,
20 the surviving entity. The Amended and Restated Limited Liability Company and Operating
21 Agreement of Solis Associates Fund LLC (“Amended Solis LLC Agreement”) of the same date,
22 August 12, 2013, recites that the primary purpose of Solis Associates Fund LLC was to acquire and
23 hold interests in Bloom Energy Corporation (“Bloom”), eSolar, Inc., and Silver Spring Networks,
24 Inc. The Receiver believes that Solis Associates Fund LLC and the surviving entity Solis Fund
25 Associates LLC are one and the same entity and that the name of Solis Associates Fund LLC in the
26 Amended Solis LLC Agreement incorrectly transposed the name of Solis Fund. Further, the
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1 Receiver is informed and believes the remaining investors in Solis Fund only have claims for
2 investments in Bloom Energy Corporation (“Bloom Energy”) as the other companies that were
3 targeted for investment are no longer operating.

4 Solis Fund was managed by John V. Bivona through SRA Management Associates LLC. The
5 Receiver is advised that funds of the Receivership Entities were used to acquire shares in Bloom
6 Energy for Solis Fund investors. Additionally, the records reflect that there has been commingling of
7 funds and assets and a failure to recognize the Solis Fund entity as a separate entity, but rather that it
8 was treated similar to and as part of the other group of Receivership Entities.

9 For these and other reasons, Solis Fund should be formally added as one of the Receivership
10 Entities with its assets made part of the Receivership Estate. The interest of Investor Claimants in
11 Bloom Energy shares will be combined with the interest of the investors in the Solis Fund in Bloom
12 Energy shares so that all Bloom Energy shares held in the name of the Solis Fund and the
13 Receivership Entities will be available to satisfy the claims of Solis Fund investors and the Investor
14 Claims of investors with an interest in Bloom Energy shares. The Bloom Energy shares shall
15 otherwise be distributed in accordance with the terms of this Plan..

16 17 **V. Appointment of Investor Advisory Committee**

18 An Investor Advisory Committee (the “IAC”) shall be appointed following approval of the
19 Plan. The Receiver will accept nominations for interested parties who wish to serve on the IAC. The
20 Receiver will meet and confer with the SEC, the SRA Investor Group, and Progresso Ventures, LLC
21 in an effort to reach agreement on the individuals who will serve on the IAC. If no agreement can be
22 reached, the Receiver will file a motion with a list of all identified names and will provide an
23 opportunity for the SEC, the SRA Investor Group, Progresso Ventures, LLC, or any other party to
24 take a position regarding the identity of the member of the IAC, which shall then remain subject to
25 Court approval..

26 The IAC will have no formal decision-making authority and will serve solely as a resource to
27 provide assistance to the Receiver with respect to her management of the securities remaining in the
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1 Receivership Estate. The Receiver may consult with the IAC or individual members of the IAC as
2 appropriate. Members of the IAC will not be compensated for their service on the IAC.

3 If the Receiver and/or the SEC seek any future changes to this Distribution Plan, they shall
4 meet and confer in advance with the IAC and Progresso Ventures, LLC at least two weeks prior to
5 filing any motion in this Court seeking such changes.

6 **VI. Proposed Plan Notice**

7 Upon entry of an order preliminarily approving the Distribution Plan:

8 1. The Receiver will file the Distribution Plan and a notice of hearing for final approval
9 of the Distribution Plan (“Plan Notice”).

10 2. The Plan Notice will contain the principal elements of the Distribution Plan, an
11 objection deadline, the hearing date, time and place, and the web address of where the complete Plan
12 can be reviewed online. The Plan Notice will also offer interested parties the right to request a hard
13 copy of the Plan by regular mail.

14 3. The Receiver will serve the Plan Notice on all Unsecured Creditors, Investors and
15 parties in interest as follows:

- 16 a. By ECF on those parties that have an account on the District Court’s website;
- 17 b. By email where the email address is known to be valid and current;
- 18 c. By regular mail where an email address is not known or is known to be invalid.

19 4. The Receiver shall post the Plan Notice and the Distribution Plan on the Receiver’s
20 website at: <http://www.diamondmccarthy.com/saddleriverreceiver>.

21 5. The SEC Staff will also post a link to the Distribution Plan on www.sec.gov.

22 **VII. Methods of Distribution**

23 **A. Creation of Plan Fund to Pay Cash Claims in Classes 1, 2, 3 and 5**

24 **1. Sale of Securities to Create Plan Fund**

25 The Receiver shall sell securities to generate the Plan Fund as follows:

- 26 (a) Securities shall be sold to generate an amount of 30% of the gross amounts invested by
27 the Investor Claimants in Successful Investments
28

- 1 (b) Any surplus securities for any of the Successful Investments shall be sold.
- 2 (c) Securities shall be sold to generate sufficient funds to pay any estimated Administrative
3 and Priority Claims generated from the sale of securities and the distribution of shares
4 back to Investors.
- 5 (d) The Receiver shall sell securities as follows for the Successful Investments following a
6 liquidity event for a given Successful Investment.
- 7 (e) The 30% to fund the Plan Fund shall be net of any brokerage fees paid in connection with
8 the sale of the securities. In other words, the amount to be held in the Plan Fund following
9 payment of brokerage fees shall equal 30% of the gross amount invested.
- 10 (f) The Receiver shall sell the securities in a manner consistent with state and federal
11 corporate and securities laws. The Receiver anticipates that such distributions or sales
12 shall be done in accordance with Section 5 of the Securities Act of 1933 (“Securities Act”)
13 or in accordance with exemptions from registration provided in the Rules promulgated by
14 the Commission pursuant to the Securities Act.

15 If all of the remaining investments that are not Failed Investments ultimately become
16 Successful Investments, the dollar value of securities to be sold to create the Plan Fund shall be
17 \$13,889,696 in the aggregate for the 30% figure. The dollar value of the surplus shares is presently
18 unknown. The amount of any tax liability that may be generated is presently unknown. The
19 breakdown by investment of the funds to be contributed to the Plan Fund from the sale of securities is
20 set forth in Exhibit “15” attached hereto. The Plan Fund will be less if not all of the pre-IPO
21 investments become Successful Investments.

22 **2. Priority of Payment of Claims from Plan Fund**

23 Claims shall be paid from the Plan Fund in the following priority:

24 Class 1: Administrative Claims shall be paid in full from the Plan Fund. The Administrative
25 Cash Reserve shall retain sufficient funds and the Administrative Stock Reserve shall retain sufficient
26 shares to pay projected Administrative Claims through the close of the Receivership Estate.

27 Class 2: Priority Claims shall be paid in full. The Administrative Cash Reserve shall retain
28 sufficient funds and the Administrative Stock Reserve shall retain sufficient shares to pay projected

1 Administrative Claims through the close of the Receivership Estate. If the Plan Fund is not sufficient
2 to pay Class 2 claims in full, the Receiver shall sell additional securities to increase the Plan Fund to
3 an amount sufficient to pay the Class 2 claims in full.

4 Class 3: Unsecured Creditor Claims shall be paid from the Plan Fund. If the Plan Fund is
5 insufficient to pay the Unsecured Creditor Claims in full, the Unsecured Creditor Claims shall be
6 paid on a pro rata basis. The Receiver shall not be obligated to make any payment to the allowed
7 Class 3 claims if there are not sufficient securities to liquidate to pay all Class 1 and 2 claims in full..

8 Class 5: To the extent that there remain any surplus funds in the Plan Fund following payment
9 in full of Class 1, 2 and 3 claims, the Receiver shall distribute the balance of the Plan Fund to the
10 Class 5 claimants on a pro rata basis.

11 The Receiver shall endeavor to make distributions from the Plan Fund as soon as practicable
12 following a liquidity event for a given investment.

13 **3. Administrative Cash Reserve:**

14 The Receiver shall have the authority to retain a reserve from the Plan Fund to ensure that
15 sufficient funds will be available to pay:

- 16 a. Class 1 and 2 claims in full through the close of the case;
- 17 b. Any and all estimated tax liability generated from the sale of securities to generate
18 the Plan Fund and in connection with the transfer of shares to Class 5 claimants;
- 19 c. The fees and costs to wind up the Receivership Estate; and
- 20 d. Any unanticipated costs of the Receivership Estate.

21 **4. Anna Bivona funds:**

22 The Disgorgement Funds obtained by the SEC from relief defendant Anne Bivona are not
23 assets of the Receivership Estate and may be distributed or transferred at the SEC's discretion on
24 receiving any necessary court approval.

25 **5. Final Distribution:**

26 Following the last liquidity event for the last Successful Investment, the expiration of any
27 lockup period, and the distribution of the cash from the Plan Fund and the securities in connection
28 with that particular Successful Investment as set forth herein, the Receiver shall prepare and file final

1 tax returns and, upon receipt of final tax clearance, shall seek authority from the Court to make a final
2 distribution of any funds remaining in the Plan Fund at that time.

3 **B. Distribution of Securities to Investor Claims**

4 1. Class 4 Investor Claims shall receive distributions following: (a) a liquidity event for a
5 Successful Investment; (b) the expiration of any lockup period or contractual restrictions on transfer
6 imposed by the issuer of the securities; (c) the sale of securities to create the Plan Fund; (d) a
7 determination of estimated Priority Claims generated from the anticipated distributions and the sale
8 of securities to generate funds to pay the anticipated tax liability; (e) the sale of securities sufficient to
9 generate funds sufficient to pay such estimated Priority Claims; and (f) approval by the Court of the
10 Final Schedule of Proposed Stock Distributions for a particular Successful Investment.

11 2. If the Receivership Estate does not ultimately obtain securities for a Successful
12 Investment, the Investor Claimants shall be treated as Class 5 Subordinated Claims.

13 3. To the extent that there is any shortfall in the number of shares to distribute for a
14 particular Successful Investment, the number of shares distributed to investors shall be reduced on a
15 pro rata basis and such distribution shall be deemed full satisfaction of the Investor Claims with
16 respect to that particular Successful Investment.

17 4. The Receiver shall retain an Administrative Stock Reserve of shares from each of the
18 Successful Investments to ensure that sufficient funds will be available to pay:

- 19 a. Class 1 and 2 claims in full through the close of the case;
20 b. Any and all tax liability generated from the sale of securities to generate the
21 Plan Fund and in connection with the transfer of shares to Class 5 claimants;
22 c. The fees and costs to wind up the Receivership Estate; and
23 d. Any unanticipated costs of the Receivership Estate.

24 5. The Receiver may delay such distribution until such time as the tax liability for the
25 liquidation of the shares has been established.

26 6. Each of the Final Schedules of Proposed Stock Distributions and distributions made to
27 Class 4 Investor Claimants shall comply with all securities law requirements.

1 **C. Tax Treatment and Apportionment of Tax Liability**

2 1. The Receivership Estate shall be treated as a Qualified Settlement Fund (“QSF”)
3 effective as of the date of the commencement of the Receivership Estate, October 11, 2016.

4 2. The assets of the Receivership Entities became property of the QSF as of October 11,
5 2016.

6 3. The Receiver shall obtain a valuation of the assets of the Receivership Entities as of
7 October 11, 2016.

8 4. The sale of securities to create the Plan Fund and the transfer of securities to Investors
9 in connection with the Class 4 distributions shall be treated as taxable events if required by law.

10 5. The Receiver is authorized to sell securities and to retain monies in the Plan Fund to
11 pay any and all tax liability generated from the sale and transfer of securities in connection with this
12 Plan.

13 6. Any tax liability of the estate shall be paid through the sale of securities to generate
14 sufficient cash in the Plan Fund to pay such tax liability. No distributions to Classes 3, 4, or 5 shall be
15 paid until such time as the Receiver, in her discretion, determines that sufficient funds are available in
16 the Plan Fund to pay all taxes in full.

17
18 **VIII. Administrative Matters**

19 **A. Jurisdiction of Court**

20 This Court shall have sole and exclusive jurisdiction to interpret and enforce this Plan.

21 Allowed Claims shall be subject to the jurisdiction of the District Court for the Northern
22 District of California.

23 **B. Reports to the Court and to Claimants**

24 The Receiver shall file a written report with the Court no less than every 120 days regarding the
25 status of efforts to implement this Distribution Plan. The Receiver shall post a copy of her written
26 report, which may be part of the quarterly report, on the Receiver’s website in order to provide notice
27 to claimants.

28 **C. Adjustments and Amendments**

1 To carry out the purposes of the Distribution Plan, the Receiver may make adjustments to the
2 Distribution Plan, consistent with the purposes and intent of the Distribution Plan, as may be agreed
3 upon between the Receiver and the Commission, subject to meet and confer requirements with the
4 IAC and Progresso Ventures LLC., and approved by the Court. The Court retains jurisdiction over
5 this matter for the purpose of ruling on any such proposed amendments and for any and all other
6 matters that may arise under or relate to the Distribution Plan.

7 **D. Possible Avoidance Actions and Retained Claims**

8 All Causes of Action, including possible Avoidance Actions, are to be preserved by and for
9 the Receivership Estate. The Receiver for the Receivership Estate expressly preserves such Causes of
10 Action for later adjudication, and nothing herein waives the right to bring such Causes of Action
11 unless the Cause of Action has been settled in this Distribution Plan.

12 **E. Completion of Plan**

13 Provided that all of the investments have either had a liquidity event or have failed, the
14 Receiver will complete the distributions required by the Plan within five years from date the Plan is
15 approved by the Court, unless an application is filed with and approved by the Court to extend the
16 time to complete the distributions.

17 If the Receiver or the SEC Staff determines that the Receiver has concluded her duties and
18 obligations under the Receivership appointment orders issued by the Court, as may have been
19 amended, either the Receiver or the SEC Staff may apply to the Court for an Order terminating the
20 Receivership.

21 Any Order terminating the Receivership shall provide for the Receiver to file a final
22 accounting providing schedules identifying: (i) all assets, their source and value; and (ii) all
23 liabilities, the nature and amount of such claims.

24 The Receiver shall preserve all records and documents obtained during the Receivership until
25 a date that is 1 year following the close of the Receivership.

26 To the extent that it is not expressly superseded by, or clearly contrary to, the provisions of
27 this Distribution Plan, the Order Appointing the Receiver dated February 28, 2019 shall remain in full
28 force and effect, unless superseded by an Amended Order Appointing Receiver.

1 Retention of jurisdiction: All disputes concerning the Plan and any issues or claims arising in
2 or under the Plan shall be resolved by the Court in the Receivership Case.

3
4 DATED: June 6, 2019

5
6 By: /s/ Kathy Bazoian Phelps
Kathy Bazoian Phelps, Successor Receiver

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EXHIBIT 1

INVESTOR ID #	NATURE OF CLAIM	ALLOWED AMOUNT OF CASH CLAIM	DISPUTED AMOUNT OF CASH CLAIM	STATUS OF CLAIM
U.S. SECURITIES & EXCHANGE COMMISSION	CREDITOR	\$ -		\$44,870,455 final judgement amount to be deemed satisfied upon approval of a distribution plan
MAZZOLA	CREDITOR		UNIDENTIFIED	Objection to be filed - insider claim
Investor I.D. # 51	CREDITOR	\$ 300,000.00		Confession of Judgment relating to Badgeville investment, under evaluation
Investor I.D. # 218	CREDITOR		\$ 220,373.94	Disallow as guarantee claim on Failed Investment in Badgeville
Investor I.D. # 275	CREDITOR		\$ 3,911,499.16	Objection to be filed to Confession of Judgment if unable to settle disputed issues
Investor I.D. # 135	CREDITOR		\$ 150,000.00	Disallow as guarantee claim on a Failed Investment in Practice Fusion
GLOBAL GENERATION GROUP, LLC	CREDITOR	\$ 2,236,376.30		
PROGRESSO VENTURES, LLC	CREDITOR	\$ 4,976,427.83		Settlement amount subject to approval of Receiver's plan and Court approval, with subordinated claim of \$552,936.43
KLEIN	INFORMAL CLAIM ASSERTED		\$ 236,485.07	Settlement discussions pending but objection to be filed if unable to resolve based on, among other things, unfiled and untimely claim and grounds for avoidance
SILVERBACK FUND INVESTOR 1	INFORMAL CLAIM ASSERTED		\$ 750,000.00	Settlement discussions pending but objection to be filed if unable to resolve based on, among other things, unfiled and untimely claim and grounds for avoidance
SILVERBACK FUND INVESTOR 2	INFORMAL CLAIM ASSERTED		\$ 750,000.00	Settlement discussions pending but objection to be filed if unable to resolve based on, among other things, unfiled and untimely claim and grounds for avoidance
9	FLURRY- SERIES X	\$ 1,504.23		
73	FLURRY- SERIES X	\$ 3,008.46		
311	FLURRY- SERIES X	\$ 2,339.75		
323	FLURRY- SERIES X	\$ 1,203.38		
16	SQUARE, INC.	\$ 58,800.00		
23	SQUARE- SADDLE RIVER BIG 10	\$ 6,786.68		
29	SQUARE- SADDLE RIVER BIG 10	\$ 29,400.00		
47	SQUARE, INC.	\$ 46,000.00		
50	SQUARE- SADDLE RIVER BIG 10	\$ 2,450.00		
55	SQUARE, INC.	\$ 70,000.00		
70	SQUARE, INC.	\$ 96,000.00		
73	SQUARE- SERIES X	\$ 95,685.26		
81	SQUARE- SERIES X	\$ 19,137.05		
94	SQUARE, INC.	\$ 66,000.00		
94	SQUARE, INC.	\$ 100,000.00		
94	SQUARE, INC.	\$ 109,635.00		
103	SQUARE- SERIES X	\$ 19,137.05		
107	SQUARE- SERIES X	\$ 38,274.11		
114	SQUARE- SERIES X	\$ 1,539.76		
116	SQUARE- SADDLE RIVER BIG 10	\$ 9,400.00		
116	SQUARE- SERIES X	\$ 19,137.05		
116	SQUARE, INC.	\$ 66,000.00		
126	SQUARE, INC.	\$ 46,000.00		
144	SQUARE, INC.	\$ 36,800.00		
188	SQUARE, INC.	\$ 17,640.00		
189	SQUARE, INC.	\$ 30,000.00		
194	SQUARE, INC.	\$ 92,000.00		
196	SQUARE, INC.	\$ 14,700.00		
202	SQUARE, INC.	\$ 60,000.00		
224	SQUARE- SERIES X	\$ 9,568.53		
238	SQUARE, INC.	\$ 24,500.00		
238	SQUARE, INC.	\$ 46,000.00		
242	SQUARE, INC.	\$ 70,000.00		
257	SQUARE, INC.	\$ 35,280.00		
260	SQUARE, INC.	\$ 30,360.00		
276	SQUARE- SERIES X	\$ 5,741.12		
287	SQUARE, INC.	\$ 46,000.00		
293	SQUARE, INC.	\$ 49,000.00		
304	SQUARE- SADDLE RIVER BIG 10	\$ 19,600.00		RECEIVER RESERVES RIGHT TO OBJECT TO NATURE AND AMOUNT OF CLAIMS
304	SQUARE- SERIES X	\$ 47,842.63		RECEIVER RESERVES RIGHT TO OBJECT TO NATURE AND AMOUNT OF CLAIMS
304	SQUARE, INC.	\$ 196,000.00		RECEIVER RESERVES RIGHT TO OBJECT TO NATURE AND AMOUNT OF CLAIMS
308	SQUARE- SERIES X	\$ 19,137.05		
311	SQUARE- SERIES X	\$ 19,137.05		
311	SQUARE, INC.	\$ 50,000.00		
315	SQUARE- SERIES X	\$ 19,137.05		
329	SQUARE, INC.	\$ 19,600.00		
332	SQUARE, INC.	\$ 33,000.00		

TOTAL

\$ 9,411,285.37	\$ 6,018,358.17
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EXHIBIT 2

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
9	ADDEPAR- SERIES X	15,718	15,718	15,718	
10	ADDEPAR INC.	22,000	22,000	11,000	
27	ADDEPAR INC.	204,389	188,038	313,397	
37	ADDEPAR INC.	54,348	50,000	25,000	
37	ADDEPAR- SERIES X	37,722	37,722	37,722	
43	ADDEPAR- SERIES X	7,544	7,544	7,544	
51	ADDEPAR- SERIES X	12,574	12,574	12,574	
69	ADDEPAR INC.	40,000	40,000	20,000	
73	ADDEPAR- SERIES X	31,435	31,435	31,435	
81	ADDEPAR- SERIES X	6,287	6,287	6,287	
91	ADDEPAR- SERIES X	12,574	12,574	12,574	
101	ADDEPAR INC.	50,000	50,000	25,000	
103	ADDEPAR- SERIES X	6,287	6,287	6,287	
107	ADDEPAR- SERIES X	12,574	12,574	12,574	
114	ADDEPAR- SERIES X	6,287	6,287	6,287	
116	ADDEPAR- SERIES X	6,287	6,287	6,287	
146	ADDEPAR- SERIES X	12,134	12,134	12,134	
155	ADDEPAR INC.	20,000	18,400	9,200	
157	ADDEPAR- SERIES X	6,287	6,287	6,287	
159	ADDEPAR- SERIES X	12,574	12,574	12,574	
170	ADDEPAR- SERIES X	62,870	62,870	62,870	
201	ADDEPAR INC.	32,870	32,870	16,435	
203	ADDEPAR INC.	100,000	100,000	50,000	
209	ADDEPAR INC.	20,000	20,000	10,000	
209	ADDEPAR- SERIES X	6,287	6,287	6,287	
221	ADDEPAR- SERIES X	31,435	31,435	31,435	
223	ADDEPAR- SERIES X	6,287	6,287	6,287	
224	ADDEPAR- SERIES X	3,144	3,144	3,144	
231	ADDEPAR INC.	20,000	18,400	9,200	
231	ADDEPAR- SERIES X	12,574	12,574	12,574	
231	ADDEPAR- SERIES X	6,287	6,287	6,287	
231	ADDEPAR- SERIES X	6,287	6,287	6,287	
235	ADDEPAR- SERIES X	9,431	9,431	9,431	
243	ADDEPAR- SERIES X	6,287	6,287	6,287	
267	ADDEPAR INC.	50,000	50,000	25,000	
274	ADDEPAR INC.	20,000	18,400	9,200	
276	ADDEPAR- SERIES X	1,886	1,886	1,886	
293	ADDEPAR INC.	50,000	50,000	25,000	
304	ADDEPAR- SERIES X	15,718	15,718	15,718	Receiver reserves right to object to nature and amount of claims
308	ADDEPAR- SERIES X	6,287	6,287	6,287	
311	ADDEPAR- SERIES X	6,287	6,287	6,287	
312	ADDEPAR- SERIES X	31,435	31,435	31,435	
315	ADDEPAR- SERIES X	6,287	6,287	6,287	
323	ADDEPAR- SERIES X	12,574	12,574	12,574	
327	ADDEPAR INC.	40,000	40,000	20,000	
327	ADDEPAR- SERIES X	9,431	9,431	9,431	
TOTAL		1,150,684		995,509	

*The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.

EXHIBIT 3

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*
5	AIRBNB, INC	50,000	50,000	667
11	AIRBNB, INC	25,000	25,000	333
14	AIRBNB, INC	7,500	7,350	98
37	AIRBNB, INC	75,000	75,000	1,000
136	AIRBNB, INC	25,000	24,500	327
148	AIRBNB, INC	382,654	375,001	5,000
205	AIRBNB, INC	30,000	30,000	400
238	AIRBNB, INC	37,500	37,500	500
297	AIRBNB, INC	50,000	50,000	667
299	AIRBNB, INC	10,000	10,000	133
311	AIRBNB, INC	75,000	75,000	1,000
323	AIRBNB, INC	75,000	75,000	1,000
TOTAL		842,654		11,125

*The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.

EXHIBIT 4

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
8	BLOOM ENERGY	249,998	249,998	8,130	
9	BLOOM- SERIES X	4,803	4,803	146	
21	BLOOM ENERGY	61,500	61,500	2,000	
23	BLOOM- SADDLE RIVER BIG 10	7,377	6,787	221	
29	BLOOM- SADDLE RIVER BIG 10	30,000	29,400	956	
37	BLOOM ENERGY	50,000	47,500	1,508	
37	BLOOM ENERGY	23,370	21,500	667	
37	BLOOM ENERGY	28,571	28,000	1,867	
37	BLOOM- SADDLE RIVER BIG 10	10,000	9,200	299	
37	BLOOM- SERIES X	11,527	11,527	349	
39	BLOOM ENERGY	102,500	102,500	3,333	
43	BLOOM- SERIES X	2,305	2,305	70	
45	BLOOM ENERGY	100,000	98,000	3,111	
45	BLOOM ENERGY	100,000	100,000	3,252	
47	BLOOM ENERGY	50,000	46,000	1,460	
49	BLOOM ENERGY	20,500	20,500	667	
50	BLOOM- SADDLE RIVER BIG 10	2,500	2,450	299	
51	BLOOM- SERIES X	3,842	3,842	116	
62	BLOOM ENERGY	15,000	14,700	456	
68	BLOOM ENERGY	40,000	40,000	1,301	
72	BLOOM ENERGY	50,000	46,000	1,460	
73	BLOOM- SERIES X	9,606	9,606	291	
79	BLOOM ENERGY	33,000	30,360	964	
80	BLOOM ENERGY	50,000	46,000	1,496	
81	BLOOM ENERGY	50,000	49,000	1,556	
81	BLOOM- SERIES X	1,921	1,921	58	
86	BLOOM ENERGY	25,000	25,000	813	
86	BLOOM ENERGY	175,000	175,000	5,691	
89	BLOOM ENERGY	43,430	42,996	1,333	
91	BLOOM ENERGY	153,750	153,750	5,000	
91	BLOOM- SERIES X	3,842	3,842	116	
103	BLOOM- SERIES X	1,921	1,921	58	
107	BLOOM- SERIES X	3,842	3,842	116	
114	BLOOM- SERIES X	1,921	1,921	58	
116	BLOOM- SADDLE RIVER BIG 10	10,000	9,400	306	
116	BLOOM- SERIES X	1,921	1,921	58	
136	BLOOM ENERGY	20,250	18,630	608	
137	BLOOM ENERGY	38,688	35,593	1,157	
146	BLOOM- SERIES X	3,708	3,708	112	
157	BLOOM- SERIES X	1,921	1,921	58	
159	BLOOM- SERIES X	3,842	3,842	116	
170	BLOOM ENERGY	200,000	184,000	5,984	
170	BLOOM- SADDLE RIVER BIG 10	25,000	24,500	797	
170	BLOOM- SERIES X	19,212	19,212	582	
189	BLOOM ENERGY	26,000	26,000	1,333	
196	BLOOM ENERGY	20,000	18,400	598	
200	BLOOM ENERGY	5,570	5,124	167	
203	BLOOM- SADDLE RIVER BIG 10	10,000	9,200	299	
209	BLOOM ENERGY	50,000	46,000	1,496	
209	BLOOM- SADDLE RIVER BIG 10	7,000	6,860	223	
209	BLOOM- SERIES X	1,921	1,921	58	
212	BLOOM ENERGY	60,000	55,200	1,840	
212	BLOOM ENERGY	15,000	13,800	449	
218	BLOOM ENERGY	100,000	100,000	3,252	
221	BLOOM- SERIES X	9,606	9,606	291	
223	BLOOM- SERIES X	1,921	1,921	58	
224	BLOOM- SERIES X	961	961	29	
231	BLOOM- SADDLE RIVER BIG 10	10,000	9,800	319	
231	BLOOM- SERIES X	3,842	3,842	116	
231	BLOOM- SERIES X	1,921	1,921	58	
231	BLOOM- SERIES X	1,921	1,921	58	
235	BLOOM- SADDLE RIVER BIG 10	15,000	14,700	478	
235	BLOOM- SERIES X	2,882	2,882	87	
238	BLOOM ENERGY	50,000	46,000	1,460	
243	BLOOM- SADDLE RIVER BIG 10	10,500	10,290	335	
243	BLOOM- SERIES X	1,921	1,921	58	

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
246	BLOOM ENERGY	30,000	27,600	898	
246	BLOOM ENERGY	50,000	46,000	1,496	
246	BLOOM- SADDLE RIVER BIG 10	10,000	9,800	319	
274	BLOOM ENERGY	31,798	30,208	937	
274	BLOOM ENERGY	22,632	21,500	667	
276	BLOOM ENERGY	30,000	30,000	976	
276	BLOOM ENERGY	50,000	50,000	1,626	
276	BLOOM ENERGY	100,000	100,000	3,252	
276	BLOOM- SERIES X	576	576	17	
286	BLOOM ENERGY	375,617	368,800	19,296	Receiver reserves right to object to nature and amount of claims
289	BLOOM ENERGY	31,000	28,520	905	
304	BLOOM ENERGY	15,000	13,800	449	Receiver reserves right to object to nature and amount of claims
304	BLOOM ENERGY	35,000	32,200	1,047	Receiver reserves right to object to nature and amount of claims
304	BLOOM ENERGY	50,000	49,000	1,593	Receiver reserves right to object to nature and amount of claims
304	BLOOM ENERGY	50,000	49,000	1,593	Receiver reserves right to object to nature and amount of claims
304	BLOOM- SADDLE RIVER BIG 10	20,000	19,600	637	Receiver reserves right to object to nature and amount of claims
304	BLOOM- SERIES X	4,803	4,803	146	Receiver reserves right to object to nature and amount of claims
308	BLOOM- SERIES X	1,921	1,921	58	
311	BLOOM- SERIES X	1,921	1,921	58	
312	BLOOM ENERGY	100,000	98,000	3,111	
312	BLOOM- SERIES X	9,606	9,606	291	
314	BLOOM ENERGY	30,750	28,290	920	
315	BLOOM- SERIES X	1,921	1,921	58	
319	BLOOM ENERGY	100,000	92,000	3,067	
323	BLOOM- SERIES X	3,842	3,842	116	
325	BLOOM ENERGY	42,269	41,001	1,333	
327	BLOOM- SERIES X	2,882	2,882	87	
SUBTOTAL		<u>3,449,073</u>		<u>117,017</u>	

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
13	BLOOM ENERGY - SOLIS	50,000	47,500	224	
13	BLOOM ENERGY - SOLIS	25,000	23,750	112	
15	BLOOM ENERGY - SOLIS	30,000	28,500	134	
17	BLOOM ENERGY - SOLIS	100,000	95,000	448	
17	BLOOM ENERGY - SOLIS	300,000	285,000	1,344	
20	BLOOM ENERGY - SOLIS	75,000	71,250	336	
26	BLOOM ENERGY - SOLIS	30,000	28,500	134	
34	BLOOM ENERGY - SOLIS	25,000	23,750	112	
36	BLOOM ENERGY - SOLIS	25,000	23,750	112	
56	BLOOM ENERGY - SOLIS	50,000	47,500	224	
58	BLOOM ENERGY - SOLIS	25,000	23,750	112	
60	BLOOM ENERGY - SOLIS	100,000	95,000	448	
67	BLOOM ENERGY - SOLIS	100,000	95,000	448	
88	BLOOM ENERGY - SOLIS	100,000	95,000	448	
89	BLOOM ENERGY - SOLIS	10,000	9,500	45	
103	BLOOM ENERGY - SOLIS	100,000	95,000	448	
118	BLOOM ENERGY - SOLIS	95,000	90,250	426	
137	BLOOM ENERGY - SOLIS	159,335	151,368	714	
139	BLOOM ENERGY - SOLIS	20,000	19,000	90	
146	BLOOM ENERGY - SOLIS	100,000	95,000	448	
157	BLOOM ENERGY - SOLIS	40,000	38,000	179	
159	BLOOM ENERGY - SOLIS	200,000	190,000	896	
162	BLOOM ENERGY - SOLIS	500,000	475,000	2,240	
178	BLOOM ENERGY - SOLIS	100,000	95,000	448	
187	BLOOM ENERGY - SOLIS	100,000	95,000	448	
197	BLOOM ENERGY - SOLIS	250,000	237,500	1,120	
197	BLOOM ENERGY - SOLIS	50,000	47,500	224	
197	BLOOM ENERGY - SOLIS	200,000	190,000	896	
219	BLOOM ENERGY - SOLIS	500,000	475,000	2,240	
220	BLOOM ENERGY - SOLIS	105,000	99,750	470	
226	BLOOM ENERGY - SOLIS	30,000	28,500	134	
235	BLOOM ENERGY - SOLIS	105,600	100,320	473	
239	BLOOM ENERGY - SOLIS	50,000	47,500	224	
259	BLOOM ENERGY - SOLIS	50,000	47,500	224	
264	BLOOM ENERGY - SOLIS	50,000	47,500	224	
274	BLOOM ENERGY - SOLIS	45,000	42,750	202	
278	BLOOM ENERGY - SOLIS	10,000	9,500	45	
281	BLOOM ENERGY - SOLIS	60,000	57,000	269	
305	BLOOM ENERGY - SOLIS	20,000	19,000	89	
310	BLOOM ENERGY - SOLIS	170,000	165,750	762	
311	BLOOM ENERGY - SOLIS	50,000	47,500	224	
311	BLOOM ENERGY - SOLIS	156,551	148,724	701	
312	BLOOM ENERGY - SOLIS	500,000	475,000	2,240	
320	BLOOM ENERGY - SOLIS	75,000	71,250	336	
320	BLOOM ENERGY - SOLIS	100,000	95,000	448	

SUBTOTAL	5,036,486	22,566
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TOTAL	8,485,559	139,583
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*The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.

*Shares are calculated post-split

EXHIBIT 5

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
147	CLOUDERA, INC.	35,000	33,600	988	
159	CLOUDERA, INC.	48,990	48,990	1,633	
201	CLOUDERA, INC.	15,750	15,750	450	
217	CLOUDERA, INC.	266,722	258,720	25,872	Receiver reserves right to object to claim based on gross investment and shares allowed are calculated on net investment amount
231	CLOUDERA, INC.	10,000	9,200	288	
257	CLOUDERA, INC.	6,000	6,000	176	
263	CLOUDERA, INC.	10,000	10,000	294	
268	CLOUDERA, INC.	50,000	50,000	1,667	
311	CLOUDERA, INC.	34,783	32,000	1,000	
312	CLOUDERA, INC.	150,000	150,000	5,000	
318	CLOUDERA, INC.	10,000	9,200	271	

TOTAL

637,24537,639

*The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.

EXHIBIT 6

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
3	DROPBOX, INC.	366,400	366,400	9,771	
3	DROPBOX, INC.	33,680	33,680	2,245	
4	DROPBOX, INC.	10,000	9,200	180	
9	DROPBOX- SERIES X	25,504	25,504	486	
23	DROPBOX- SADDLE RIVER BIG 10	7,377	6,787	323	
29	DROPBOX- SADDLE RIVER BIG 10	30,000	29,400	1,400	
37	DROPBOX- SADDLE RIVER BIG 10	10,000	9,200	438	
37	DROPBOX- SERIES X	61,210	61,210	1,166	
43	DROPBOX- SERIES X	12,242	12,242	233	
50	DROPBOX- SADDLE RIVER BIG 10	2,500	2,450	117	
51	DROPBOX- SERIES X	20,403	20,403	389	
73	DROPBOX- SERIES X	51,008	51,008	972	
79	DROPBOX, INC.	15,000	15,000	1,000	
81	DROPBOX- SERIES X	10,202	10,202	194	
91	DROPBOX- SERIES X	20,403	20,403	389	
103	DROPBOX- SERIES X	10,202	10,202	194	
107	DROPBOX- SERIES X	20,403	20,403	389	
111	DROPBOX, INC.	35,000	32,200	613	
114	DROPBOX- SERIES X	10,202	10,202	194	
116	DROPBOX- SADDLE RIVER BIG 10	10,000	9,400	448	
116	DROPBOX- SERIES X	10,202	10,202	194	
119	DROPBOX, INC.	50,000	48,500	1,347	
146	DROPBOX- SERIES X	19,689	19,689	375	
157	DROPBOX- SERIES X	10,202	10,202	194	
159	DROPBOX- SERIES X	20,403	20,403	389	
170	DROPBOX- SADDLE RIVER BIG 10	25,000	24,500	1,167	
170	DROPBOX- SERIES X	102,017	102,017	1,943	
194	DROPBOX, INC.	25,000	23,000	451	
203	DROPBOX- SADDLE RIVER BIG 10	10,000	9,200	438	
209	DROPBOX- SADDLE RIVER BIG 10	7,000	6,860	327	
209	DROPBOX- SERIES X	10,202	10,202	194	
221	DROPBOX- SERIES X	51,008	51,008	972	
223	DROPBOX- SERIES X	10,202	10,202	194	
224	DROPBOX- SERIES X	5,101	5,101	97	
231	DROPBOX- SADDLE RIVER BIG 10	10,000	9,800	467	
231	DROPBOX- SERIES X	20,403	20,403	389	
231	DROPBOX- SERIES X	10,202	10,202	194	
231	DROPBOX- SERIES X	10,202	10,202	194	
235	DROPBOX- SADDLE RIVER BIG 10	15,000	14,700	700	
235	DROPBOX- SERIES X	15,303	15,303	291	
243	DROPBOX- SADDLE RIVER BIG 10	10,500	10,290	490	
243	DROPBOX- SERIES X	10,202	10,202	194	
246	DROPBOX- SADDLE RIVER BIG 10	10,000	9,800	467	
252	DROPBOX, INC.	25,000	23,000	451	
258	DROPBOX, INC.	25,000	25,000	667	
260	DROPBOX, INC.	33,000	30,360	595	
276	DROPBOX- SERIES X	3,061	3,061	58	
285	DROPBOX, INC.	40,000	36,800	722	
297	DROPBOX, INC.	15,000	15,000	1,000	
304	DROPBOX- SADDLE RIVER BIG 10	20,000	19,600	933	Receiver reserves right to object to nature and amount of claims
304	DROPBOX- SERIES X	25,504	25,504	486	Receiver reserves right to object to nature and amount of claims
304	DROPBOX, INC.	100,000	100,000	1,961	Receiver reserves right to object to nature and amount of claims
308	DROPBOX- SERIES X	10,202	10,202	194	
311	DROPBOX- SERIES X	10,202	10,202	194	
312	DROPBOX- SERIES X	51,008	51,008	972	
312	DROPBOX, INC.	150,000	147,000	4,083	
315	DROPBOX- SERIES X	10,202	10,202	194	
323	DROPBOX- SERIES X	20,403	20,403	389	
327	DROPBOX- SERIES X	15,303	15,303	291	
TOTAL		1,783,457		46,000	

*The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.

*Shares are calculated post-split

EXHIBIT 7

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*
2	EVERNOTE	200,000	184,000	14,154
37	EVERNOTE	76,087	70,000	5,000
51	EVERNOTE	195,000	195,000	15,000
90	EVERNOTE	26,000	26,000	2,000
136	EVERNOTE	32,500	32,500	2,500
138	EVERNOTE	25,404	23,371	1,558
143	EVERNOTE	52,000	52,000	4,000
177	EVERNOTE	400,000	400,000	30,769
258	EVERNOTE	13,000	13,000	1,000
263	EVERNOTE	10,000	10,000	769
312	EVERNOTE	149,973	149,973	11,536
TOTAL		<u>1,179,964</u>		<u>88,287</u>

**The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.*

EXHIBIT 8

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*
1	LOOKOUT, INC	5,000	5,000	417
8	LOOKOUT, INC	100,000	100,000	10,000
19	LOOKOUT, INC	25,000	23,000	1,917
28	LOOKOUT, INC	40,968	40,968	3,414
37	LOOKOUT, INC	28,000	26,040	2,604
37	LOOKOUT, INC	48,000	48,000	4,000
37	LOOKOUT, INC	70,000	64,400	6,440
51	LOOKOUT, INC	130,435	120,000	10,000
54	LOOKOUT, INC	20,000	20,000	1,667
96	LOOKOUT, INC	60,000	55,200	4,600
101	LOOKOUT, INC	100,000	92,000	7,667
111	LOOKOUT, INC	12,000	12,000	1,000
128	LOOKOUT, INC	115,000	115,000	9,583
132	LOOKOUT, INC	30,000	30,000	3,000
136	LOOKOUT, INC	30,000	30,000	3,000
159	LOOKOUT, INC	54,264	54,264	4,522
174	LOOKOUT, INC	24,000	24,000	2,000
177	LOOKOUT, INC	400,000	400,000	40,000
179	LOOKOUT, INC	10,000	9,200	920
195	LOOKOUT, INC	30,000	30,000	2,500
226	LOOKOUT, INC	20,000	18,400	1,533
227	LOOKOUT, INC	20,000	18,400	1,533
231	LOOKOUT, INC	20,000	18,400	1,533
239	LOOKOUT, INC	36,000	36,000	3,000
241	LOOKOUT, INC	65,218	60,001	5,000
242	LOOKOUT, INC	10,000	9,200	767
249	LOOKOUT, INC	10,000	10,000	833
250	LOOKOUT, INC	10,000	10,000	833
263	LOOKOUT, INC	10,000	10,000	833
268	LOOKOUT, INC	60,000	60,000	5,000
274	LOOKOUT, INC	12,000	12,000	1,000
292	LOOKOUT, INC	50,000	46,000	4,600
292	LOOKOUT, INC	100,000	92,000	7,667
297	LOOKOUT, INC	24,000	24,000	2,000
299	LOOKOUT, INC	16,968	16,968	1,414
327	LOOKOUT, INC	180,000	180,000	15,000
TOTAL		<u>1,976,853</u>		<u>171,797</u>

*The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.

EXHIBIT 9

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*
8	LYFT, INC	65,654	65,654	2,525
37	LYFT, INC	53,061	52,000	2,000
37	LYFT, INC	53,061	52,000	2,000
94	LYFT, INC	53,061	52,000	2,000
223	LYFT, INC	10,000	9,200	354
331	LYFT, INC	15,918	15,600	600
TOTAL		<u>250,756</u>		<u>9,479</u>

**The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.*

EXHIBIT 10

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
9	MONGODB- SERIES X	1,067	1,067	24	
35	MONGO DB	23,000	23,000	500	
37	MONGODB- SERIES X	2,561	2,561	58	
43	MONGODB- SERIES X	512	512	12	
51	MONGODB- SERIES X	854	854	19	
56	MONGO DB	25,000	24,500	557	
73	MONGODB- SERIES X	2,134	2,134	49	
81	MONGODB- SERIES X	427	427	10	
91	MONGODB- SERIES X	854	854	19	
103	MONGODB- SERIES X	427	427	10	
107	MONGODB- SERIES X	854	854	19	
114	MONGODB- SERIES X	427	427	10	
115	MONGO DB	50,000	46,000	1,045	
116	MONGODB- SERIES X	427	427	10	
130	MONGO DB	23,000	23,000	500	
146	MONGODB- SERIES X	824	824	19	
147	MONGO DB	40,000	38,400	873	
157	MONGODB- SERIES X	427	427	10	
159	MONGODB- SERIES X	854	854	19	
170	MONGODB- SERIES X	4,269	4,269	97	
177	MONGO DB	115,000	115,000	2,500	
177	MONGO DB	299,000	299,000	6,500	
195	MONGO DB	25,000	25,000	544	
209	MONGODB- SERIES X	427	427	10	
221	MONGODB- SERIES X	2,134	2,134	49	
223	MONGODB- SERIES X	427	427	10	
224	MONGODB- SERIES X	213	213	5	
231	MONGO DB	10,000	9,200	209	
231	MONGODB- SERIES X	854	854	19	
231	MONGODB- SERIES X	427	427	10	
231	MONGODB- SERIES X	427	427	10	
235	MONGODB- SERIES X	640	640	15	
243	MONGODB- SERIES X	427	427	10	
276	MONGODB- SERIES X	128	128	3	
303	MONGO DB	78,413	74,492	1,693	
304	MONGODB- SERIES X	1,067	1,067	24	Receiver reserves right to object to nature and amount of claims
308	MONGODB- SERIES X	427	427	10	
311	MONGO DB	23,913	22,000	500	
311	MONGODB- SERIES X	427	427	10	
312	MONGO DB	100,000	100,000	2,500	
312	MONGO DB	150,000	147,000	3,341	
312	MONGODB- SERIES X	2,134	2,134	49	
315	MONGODB- SERIES X	427	427	10	
323	MONGODB- SERIES X	854	854	19	
327	MONGODB- SERIES X	640	640	15	
331	MONGO DB	11,000	11,000	250	
TOTAL		<u>1,002,322</u>		<u>22,171</u>	

*The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.

*Shares are calculated post-split

EXHIBIT 11

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
1	PALANTIR TECHNOLOGIES INC.	25,000	25,000	9,259	
1	PALANTIR TECHNOLOGIES INC.	2,500	2,500	357	
2	PALANTIR TECHNOLOGIES INC.	100,000	99,000	16,203	
4	PALANTIR TECHNOLOGIES INC.	20,000	18,400	2,629	
5	PALANTIR TECHNOLOGIES INC.	50,000	50,000	14,706	
5	PALANTIR TECHNOLOGIES INC.	50,000	46,000	6,571	
5	PALANTIR TECHNOLOGIES INC.	50,000	46,000	6,815	
5	PALANTIR TECHNOLOGIES INC.	50,000	50,000	7,407	
6	PALANTIR TECHNOLOGIES INC.	30,435	28,000	4,000	
8	PALANTIR TECHNOLOGIES INC.	301,600	301,600	41,600	
8	PALANTIR TECHNOLOGIES INC.	204,000	204,000	60,000	
9	PALANTIR TECHNOLOGIES INC.	50,000	46,000	6,571	
9	PALANTIR TECHNOLOGIES INC.	100,000	100,000	13,514	
9	PALANTIR TECHNOLOGIES INC.	160,000	147,200	21,029	
14	PALANTIR TECHNOLOGIES INC.	7,500	7,350	948	
15	PALANTIR TECHNOLOGIES INC.	30,000	29,400	4,812	
18	PALANTIR TECHNOLOGIES INC.	50,000	46,000	6,571	
19	PALANTIR TECHNOLOGIES INC.	42,120	41,277	5,326	
19	PALANTIR TECHNOLOGIES INC.	50,310	46,285	6,857	
21	PALANTIR TECHNOLOGIES INC.	40,000	39,200	6,031	
22	PALANTIR TECHNOLOGIES INC.	30,000	30,000	8,824	
23	PALANTIR- SADDLE RIVER BIG 10	7,377	6,787	1,697	
24	PALANTIR TECHNOLOGIES INC.	23,438	22,500	3,000	
24	PALANTIR TECHNOLOGIES INC.	25,109	23,100	3,000	
24	PALANTIR TECHNOLOGIES INC.	32,500	29,900	4,983	
24	PALANTIR TECHNOLOGIES INC.	35,000	32,200	4,600	
24	PALANTIR TECHNOLOGIES INC.	39,639	39,639	5,285	
25	PALANTIR TECHNOLOGIES INC.	100,000	92,000	30,667	
28	PALANTIR TECHNOLOGIES INC.	14,000	12,880	1,840	
28	PALANTIR TECHNOLOGIES INC.	31,250	28,750	4,423	
29	PALANTIR- SADDLE RIVER BIG 10	30,000	29,400	7,350	
29	PALANTIR TECHNOLOGIES INC.	126,316	120,000	20,000	
30	PALANTIR TECHNOLOGIES INC.	65,263	62,000	8,000	
31	PALANTIR TECHNOLOGIES INC.	26,000	26,000	9,630	
32	PALANTIR TECHNOLOGIES INC.	26,000	26,000	9,630	
35	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,407	
36	PALANTIR TECHNOLOGIES INC.	70,000	70,000	10,000	
37	PALANTIR- SADDLE RIVER BIG 10	10,000	9,200	2,300	
37	PALANTIR TECHNOLOGIES INC.	30,000	27,600	4,517	
37	PALANTIR TECHNOLOGIES INC.	50,000	46,000	13,143	
37	PALANTIR TECHNOLOGIES INC.	32,609	30,000	5,000	
37	PALANTIR TECHNOLOGIES INC.	46,500	46,500	6,000	
37	PALANTIR TECHNOLOGIES INC.	69,231	67,500	10,000	
37	PALANTIR TECHNOLOGIES INC.	71,053	67,500	8,438	
37	PALANTIR TECHNOLOGIES INC.	80,000	73,600	10,514	
37	PALANTIR TECHNOLOGIES INC.	152,000	139,840	23,307	
38	PALANTIR TECHNOLOGIES INC.	250,000	230,000	32,857	Receiver reserves right to object to guarantee portion of claim
40	PALANTIR TECHNOLOGIES INC.	25,000	25,000	3,125	
43	PALANTIR TECHNOLOGIES INC.	120,000	120,000	20,000	
43	PALANTIR TECHNOLOGIES INC.	301,270	301,270	43,039	
43	PALANTIR TECHNOLOGIES INC.	100,000	100,000	37,037	
44	PALANTIR TECHNOLOGIES INC.	25,000	25,000	7,143	
44	PALANTIR TECHNOLOGIES INC.	75,000	72,000	12,000	
45	PALANTIR TECHNOLOGIES INC.	100,000	98,000	16,039	
46	PALANTIR TECHNOLOGIES INC.	300,000	276,000	92,000	
46	PALANTIR TECHNOLOGIES INC.	150,000	150,000	20,000	
46	PALANTIR TECHNOLOGIES INC.	500,000	500,000	71,429	
47	PALANTIR TECHNOLOGIES INC.	190,000	174,800	43,700	
48	PALANTIR TECHNOLOGIES INC.	106,890	100,477	14,354	
51	PALANTIR TECHNOLOGIES INC.	200,000	184,000	61,333	
52	PALANTIR TECHNOLOGIES INC.	10,000	9,800	2,450	
52	PALANTIR TECHNOLOGIES INC.	20,000	19,600	4,900	
54	PALANTIR TECHNOLOGIES INC.	20,000	20,000	2,857	
55	PALANTIR TECHNOLOGIES INC.	56,828	54,839	20,311	
57	PALANTIR TECHNOLOGIES INC.	10,000	9,800	2,450	

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
59	PALANTIR TECHNOLOGIES INC.	9,200	9,200	2,629	
61	PALANTIR TECHNOLOGIES INC.	1,686,177	1,561,275	231,300	
64	PALANTIR TECHNOLOGIES INC.	75,000	69,000	9,714	
65	PALANTIR TECHNOLOGIES INC.	85,000	85,000	10,625	
65	PALANTIR TECHNOLOGIES INC.	211,957	195,000	30,000	
65	PALANTIR TECHNOLOGIES INC.	162,500	149,500	23,000	
65	PALANTIR TECHNOLOGIES INC.	113,044	104,000	16,000	
69	PALANTIR TECHNOLOGIES INC.	35,000	35,000	10,294	
69	PALANTIR TECHNOLOGIES INC.	15,500	15,500	2,000	
70	PALANTIR TECHNOLOGIES INC.	100,000	96,500	14,846	
71	PALANTIR TECHNOLOGIES INC.	7,337	6,750	1,000	
71	PALANTIR TECHNOLOGIES INC.	7,653	7,500	1,000	
72	PALANTIR TECHNOLOGIES INC.	50,000	46,000	11,500	
72	PALANTIR TECHNOLOGIES INC.	65,000	59,800	17,086	
72	PALANTIR TECHNOLOGIES INC.	76,087	70,000	10,000	
72	PALANTIR TECHNOLOGIES INC.	250,000	230,000	32,857	
73	PALANTIR TECHNOLOGIES INC.	350,000	350,000	50,000	
74	PALANTIR TECHNOLOGIES INC.	20,000	18,400	2,300	
75	PALANTIR TECHNOLOGIES INC.	10,204	10,000	1,290	
76	PALANTIR TECHNOLOGIES INC.	50,000	46,000	6,571	
77	PALANTIR TECHNOLOGIES INC.	10,000	9,200	2,629	
78	PALANTIR TECHNOLOGIES INC.	141,304	130,000	20,000	
79	PALANTIR TECHNOLOGIES INC.	25,000	23,000	5,750	
81	PALANTIR TECHNOLOGIES INC.	100,000	92,000	13,630	
81	PALANTIR TECHNOLOGIES INC.	100,000	100,000	12,903	
81	PALANTIR TECHNOLOGIES INC.	150,000	138,000	19,714	
82	PALANTIR TECHNOLOGIES INC.	25,000	25,000	5,000	
84	PALANTIR TECHNOLOGIES INC.	25,000	23,000	2,875	
84	PALANTIR TECHNOLOGIES INC.	54,348	50,000	6,250	
85	PALANTIR TECHNOLOGIES INC.	99,973	92,475	13,700	
87	PALANTIR TECHNOLOGIES INC.	7,500	7,500	1,000	Receiver reserves right to object to amount of shares claimed that differ from records of receivership entities
87	PALANTIR TECHNOLOGIES INC.	15,218	14,001	2,000	Receiver reserves right to object to amount of shares claimed that differ from records of receivership entities
89	PALANTIR TECHNOLOGIES INC.	27,000	24,840	9,200	
89	PALANTIR TECHNOLOGIES INC.	72,720	71,993	11,999	
91	PALANTIR TECHNOLOGIES INC.	50,000	50,000	14,286	
92	PALANTIR TECHNOLOGIES INC.	50,000	46,000	6,571	
94	PALANTIR TECHNOLOGIES INC.	107,143	105,000	14,000	
95	PALANTIR TECHNOLOGIES INC.	99,980	99,980	13,331	
96	PALANTIR TECHNOLOGIES INC.	50,000	46,000	5,935	
97	PALANTIR TECHNOLOGIES INC.	25,000	24,500	4,083	
97	PALANTIR TECHNOLOGIES INC.	25,000	25,000	3,704	
98	PALANTIR TECHNOLOGIES INC.	400,000	368,000	54,519	
99	PALANTIR TECHNOLOGIES INC.	20,000	20,000	6,667	
100	PALANTIR TECHNOLOGIES INC.	38,043	35,000	11,667	
101	PALANTIR TECHNOLOGIES INC.	102,000	100,011	28,575	
101	PALANTIR TECHNOLOGIES INC.	153,000	149,940	21,420	
101	PALANTIR TECHNOLOGIES INC.	153,062	150,001	22,222	
102	PALANTIR TECHNOLOGIES INC.	2,717	2,500	357	
103	PALANTIR TECHNOLOGIES INC.	100,000	92,000	14,154	
104	PALANTIR TECHNOLOGIES INC.	30,000	27,600	4,600	
104	PALANTIR TECHNOLOGIES INC.	40,000	36,800	9,200	
107	PALANTIR TECHNOLOGIES INC.	20,000	19,200	3,200	
107	PALANTIR TECHNOLOGIES INC.	45,000	42,300	6,043	
108	PALANTIR TECHNOLOGIES INC.	24,955	22,959	3,280	
110	PALANTIR TECHNOLOGIES INC.	387,500	387,500	50,000	
113	PALANTIR TECHNOLOGIES INC.	100,000	92,000	13,143	
115	PALANTIR TECHNOLOGIES INC.	36,685	33,750	5,000	
116	PALANTIR- SADDLE RIVER BIG 10	10,000	9,400	2,350	
116	PALANTIR TECHNOLOGIES INC.	100,000	92,000	13,630	
116	PALANTIR TECHNOLOGIES INC.	100,000	95,000	14,615	
116	PALANTIR TECHNOLOGIES INC.	100,000	100,000	13,333	
116	PALANTIR TECHNOLOGIES INC.	100,000	100,000	11,765	

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
119	PALANTIR TECHNOLOGIES INC.	25,000	25,000	3,571	
121	PALANTIR TECHNOLOGIES INC.	15,000	13,800	2,123	
122	PALANTIR TECHNOLOGIES INC.	50,000	46,000	15,333	
124	PALANTIR TECHNOLOGIES INC.	10,000	9,500	1,583	
125	PALANTIR TECHNOLOGIES INC.	100,000	92,000	34,074	
126	PALANTIR TECHNOLOGIES INC.	50,000	46,000	7,667	
128	PALANTIR TECHNOLOGIES INC.	50,000	50,000	7,143	
128	PALANTIR TECHNOLOGIES INC.	200,000	200,000	74,074	
131	PALANTIR TECHNOLOGIES INC.	61,100	59,878	9,800	
132	PALANTIR TECHNOLOGIES INC.	50,000	46,000	7,077	
133	PALANTIR TECHNOLOGIES INC.	100,000	100,000	14,286	
134	PALANTIR TECHNOLOGIES INC.	100,000	92,000	14,154	
135	PALANTIR TECHNOLOGIES INC.	75,000	75,000	18,750	
136	PALANTIR TECHNOLOGIES INC.	1,700	1,700	243	
136	PALANTIR TECHNOLOGIES INC.	41,907	38,555	5,508	
138	PALANTIR TECHNOLOGIES INC.	50,000	50,000	13,587	
139	PALANTIR TECHNOLOGIES INC.	10,500	9,975	2,850	
141	PALANTIR TECHNOLOGIES INC.	100,000	100,000	11,905	
142	PALANTIR TECHNOLOGIES INC.	32,500	31,850	4,900	
144	PALANTIR TECHNOLOGIES INC.	50,000	46,000	11,500	
144	PALANTIR TECHNOLOGIES INC.	50,000	46,000	7,667	
145	PALANTIR TECHNOLOGIES INC.	187,500	187,500	25,000	
146	PALANTIR TECHNOLOGIES INC.	150,000	138,000	46,000	
146	PALANTIR TECHNOLOGIES INC.	200,000	184,000	61,333	
153	PALANTIR TECHNOLOGIES INC.	20,000	20,000	2,857	
153	PALANTIR TECHNOLOGIES INC.	50,000	50,000	7,407	
154	PALANTIR TECHNOLOGIES INC.	150,000	138,000	22,586	
155	PALANTIR TECHNOLOGIES INC.	25,000	23,750	6,985	
155	PALANTIR TECHNOLOGIES INC.	63,158	60,000	10,000	
157	PALANTIR TECHNOLOGIES INC.	40,000	36,800	10,514	
160	PALANTIR TECHNOLOGIES INC.	14,000	12,880	2,147	
161	PALANTIR TECHNOLOGIES INC.	10,000	9,500	1,583	
162	PALANTIR TECHNOLOGIES INC.	400,000	400,000	57,143	
163	PALANTIR TECHNOLOGIES INC.	10,000	9,500	1,583	
164	PALANTIR TECHNOLOGIES INC.	8,153	7,501	1,072	
164	PALANTIR TECHNOLOGIES INC.	75,000	69,000	10,615	
165	PALANTIR TECHNOLOGIES INC.	20,000	18,400	3,067	
166	PALANTIR TECHNOLOGIES INC.	7,061	6,496	928	
166	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,833	
166	PALANTIR TECHNOLOGIES INC.	40,000	36,800	9,200	
168	PALANTIR TECHNOLOGIES INC.	10,000	9,200	1,363	
169	PALANTIR TECHNOLOGIES INC.	32,000	29,440	8,411	
170	PALANTIR- SADDLE RIVER BIG 10	25,000	24,500	6,125	
170	PALANTIR TECHNOLOGIES INC.	100,000	92,000	13,143	
170	PALANTIR TECHNOLOGIES INC.	250,000	250,000	35,714	
171	PALANTIR TECHNOLOGIES INC.	120,000	110,400	18,400	
172	PALANTIR TECHNOLOGIES INC.	93,500	86,020	21,505	
173	PALANTIR TECHNOLOGIES INC.	50,000	49,000	8,020	
174	PALANTIR TECHNOLOGIES INC.	25,000	23,000	5,750	
174	PALANTIR TECHNOLOGIES INC.	38,044	35,000	5,000	
174	PALANTIR TECHNOLOGIES INC.	100,000	92,000	26,286	
175	PALANTIR TECHNOLOGIES INC.	10,000	9,800	2,450	
175	PALANTIR TECHNOLOGIES INC.	19,375	19,375	2,500	
176	PALANTIR TECHNOLOGIES INC.	23,250	23,250	3,000	
176	PALANTIR TECHNOLOGIES INC.	70,653	65,001	10,000	
177	PALANTIR TECHNOLOGIES INC.	200,000	200,000	28,571	
177	PALANTIR TECHNOLOGIES INC.	250,000	250,000	35,714	
177	PALANTIR TECHNOLOGIES INC.	400,000	400,000	50,000	
179	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,407	
180	PALANTIR TECHNOLOGIES INC.	7,750	7,750	1,000	
180	PALANTIR TECHNOLOGIES INC.	10,000	9,800	2,450	
181	PALANTIR TECHNOLOGIES INC.	12,500	12,500	1,786	
181	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,286	
182	PALANTIR TECHNOLOGIES INC.	27,000	27,000	10,000	
183	PALANTIR TECHNOLOGIES INC.	15,000	15,000	4,412	
184	PALANTIR TECHNOLOGIES INC.	173,914	160,001	20,000	

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
185	PALANTIR TECHNOLOGIES INC.	100,000	97,000	28,529	
185	PALANTIR TECHNOLOGIES INC.	100,000	100,000	37,037	
185	PALANTIR TECHNOLOGIES INC.	50,000	49,250	7,296	
185	PALANTIR TECHNOLOGIES INC.	50,000	48,500	14,265	
185	PALANTIR TECHNOLOGIES INC.	50,000	50,000	18,519	
185	PALANTIR TECHNOLOGIES INC.	50,000	49,250	7,296	
186	PALANTIR TECHNOLOGIES INC.	10,000	9,200	3,407	
186	PALANTIR TECHNOLOGIES INC.	34,000	34,000	10,000	
188	PALANTIR TECHNOLOGIES INC.	13,000	12,740	1,960	
189	PALANTIR TECHNOLOGIES INC.	37,500	37,500	5,000	
189	PALANTIR TECHNOLOGIES INC.	75,000	75,000	10,000	
189	PALANTIR TECHNOLOGIES INC.	370,000	370,000	50,000	
190	PALANTIR TECHNOLOGIES INC.	20,000	18,400	2,629	
190	PALANTIR TECHNOLOGIES INC.	25,000	23,000	5,750	
190	PALANTIR TECHNOLOGIES INC.	20,650	18,998	2,714	
190	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,538	
191	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,538	
192	PALANTIR TECHNOLOGIES INC.	20,000	20,000	6,667	
192	PALANTIR TECHNOLOGIES INC.	50,000	50,000	16,667	
195	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,407	
199	PALANTIR TECHNOLOGIES INC.	52,150	51,107	15,031	
200	PALANTIR TECHNOLOGIES INC.	5,000	5,000	714	
200	PALANTIR TECHNOLOGIES INC.	10,200	9,996	1,636	
200	PALANTIR TECHNOLOGIES INC.	15,300	14,994	2,221	
201	PALANTIR TECHNOLOGIES INC.	100,000	92,000	13,143	
203	PALANTIR- SADDLE RIVER BIG 10	10,000	9,200	2,300	
203	PALANTIR TECHNOLOGIES INC.	150,000	138,000	19,714	
206	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,538	
207	PALANTIR TECHNOLOGIES INC.	5,900	5,428	2,010	
208	PALANTIR TECHNOLOGIES INC.	67,500	67,500	25,000	
209	PALANTIR- SADDLE RIVER BIG 10	7,000	6,860	1,715	
209	PALANTIR TECHNOLOGIES INC.	75,000	75,000	8,824	
209	PALANTIR TECHNOLOGIES INC.	100,000	96,000	16,000	
210	PALANTIR TECHNOLOGIES INC.	10,000	9,800	2,450	
211	PALANTIR TECHNOLOGIES INC.	100,000	92,000	30,667	
212	PALANTIR TECHNOLOGIES INC.	36,000	33,120	12,267	
212	PALANTIR TECHNOLOGIES INC.	12,000	11,040	4,089	
213	PALANTIR TECHNOLOGIES INC.	10,000	10,000	1,290	
214	PALANTIR TECHNOLOGIES INC.	12,000	11,040	4,089	
216	PALANTIR TECHNOLOGIES INC.	100,000	92,000	13,143	
217	PALANTIR TECHNOLOGIES INC.	200,000	200,000	74,074	
218	PALANTIR TECHNOLOGIES INC.	57,446	56,297	20,851	
221	PALANTIR TECHNOLOGIES INC.	105,000	96,600	13,800	
222	PALANTIR TECHNOLOGIES INC.	100,000	92,000	14,154	
223	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,286	
225	PALANTIR TECHNOLOGIES INC.	99,975	91,977	30,659	
225	PALANTIR TECHNOLOGIES INC.	50,000	47,500	13,571	
226	PALANTIR TECHNOLOGIES INC.	43,189	39,734	13,245	
226	PALANTIR TECHNOLOGIES INC.	25,000	23,000	8,519	
226	PALANTIR TECHNOLOGIES INC.	25,000	23,000	8,519	
228	PALANTIR TECHNOLOGIES INC.	10,000	9,200	1,363	
229	PALANTIR TECHNOLOGIES INC.	53,684	51,000	6,000	
230	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,538	
231	PALANTIR- SADDLE RIVER BIG 10	10,000	9,800	2,450	
231	PALANTIR TECHNOLOGIES INC.	40,000	40,000	5,714	
231	PALANTIR TECHNOLOGIES INC.	54,000	54,000	8,000	
231	PALANTIR TECHNOLOGIES INC.	62,000	62,000	8,000	
234	PALANTIR TECHNOLOGIES INC.	68,250	64,838	9,975	
235	PALANTIR- SADDLE RIVER BIG 10	15,000	14,700	3,675	
235	PALANTIR TECHNOLOGIES INC.	100,000	100,000	33,333	
236	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,407	
236	PALANTIR TECHNOLOGIES INC.	100,000	92,000	10,824	
238	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,538	
238	PALANTIR TECHNOLOGIES INC.	50,000	46,000	7,667	
238	PALANTIR TECHNOLOGIES INC.	25,000	24,500	3,161	
239	PALANTIR TECHNOLOGIES INC.	25,000	23,000	7,667	

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
239	PALANTIR TECHNOLOGIES INC.	25,000	23,750	6,786	
239	PALANTIR TECHNOLOGIES INC.	20,000	20,000	2,857	
239	PALANTIR TECHNOLOGIES INC.	30,000	27,600	4,089	
240	PALANTIR TECHNOLOGIES INC.	75,000	69,000	9,857	
241	PALANTIR TECHNOLOGIES INC.	110,055	101,251	15,000	
242	PALANTIR TECHNOLOGIES INC.	62,791	57,768	19,256	
242	PALANTIR TECHNOLOGIES INC.	20,000	18,400	5,257	
242	PALANTIR TECHNOLOGIES INC.	50,000	46,000	6,571	
242	PALANTIR TECHNOLOGIES INC.	50,000	50,000	7,143	
243	PALANTIR- SADDLE RIVER BIG 10	10,500	10,290	2,573	
244	PALANTIR TECHNOLOGIES INC.	30,000	28,500	8,143	
244	PALANTIR TECHNOLOGIES INC.	30,000	28,500	8,143	
245	PALANTIR TECHNOLOGIES INC.	50,000	46,000	15,333	
246	PALANTIR- SADDLE RIVER BIG 10	10,000	9,800	2,450	
247	PALANTIR TECHNOLOGIES INC.	997,620	997,620	324,489	
247	PALANTIR TECHNOLOGIES INC.	270,000	270,000	100,000	
248	PALANTIR TECHNOLOGIES INC.	200,000	184,000	28,308	
249	PALANTIR TECHNOLOGIES INC.	5,000	5,000	741	
249	PALANTIR TECHNOLOGIES INC.	50,000	46,000	6,571	
250	PALANTIR TECHNOLOGIES INC.	50,000	46,000	6,571	
250	PALANTIR TECHNOLOGIES INC.	50,000	50,000	6,250	
251	PALANTIR TECHNOLOGIES INC.	50,000	49,000	6,323	
252	PALANTIR TECHNOLOGIES INC.	50,000	46,000	6,571	
253	PALANTIR TECHNOLOGIES INC.	30,000	30,000	4,444	
254	PALANTIR TECHNOLOGIES INC.	250,000	245,000	33,793	
255	PALANTIR TECHNOLOGIES INC.	70,652	65,000	10,000	
255	PALANTIR TECHNOLOGIES INC.	70,652	65,000	10,000	
256	PALANTIR TECHNOLOGIES INC.	30,000	28,500	8,143	
257	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,833	
257	PALANTIR TECHNOLOGIES INC.	15,000	15,000	4,412	
257	PALANTIR TECHNOLOGIES INC.	5,000	4,900	754	
261	PALANTIR TECHNOLOGIES INC.	75,000	69,000	23,000	
262	PALANTIR TECHNOLOGIES INC.	35,000	32,200	11,926	
263	PALANTIR TECHNOLOGIES INC.	10,000	10,000	1,429	
264	PALANTIR TECHNOLOGIES INC.	34,200	31,464	4,495	
265	PALANTIR TECHNOLOGIES INC.	24,980	22,982	3,283	
266	PALANTIR TECHNOLOGIES INC.	82,106	78,001	13,000	
267	PALANTIR TECHNOLOGIES INC.	100,000	98,000	14,000	
268	PALANTIR TECHNOLOGIES INC.	50,000	48,750	7,222	
268	PALANTIR TECHNOLOGIES INC.	100,000	100,000	13,333	
274	PALANTIR TECHNOLOGIES INC.	8,750	8,050	2,300	
274	PALANTIR TECHNOLOGIES INC.	5,296	4,872	696	
277	PALANTIR TECHNOLOGIES INC.	100,000	92,000	14,154	
277	PALANTIR TECHNOLOGIES INC.	50,000	50,000	8,333	
277	PALANTIR TECHNOLOGIES INC.	100,000	92,000	13,143	
279	PALANTIR TECHNOLOGIES INC.	10,000	9,800	2,450	
279	PALANTIR TECHNOLOGIES INC.	20,000	20,000	2,581	
281	PALANTIR TECHNOLOGIES INC.	40,000	38,000	10,857	
281	PALANTIR TECHNOLOGIES INC.	25,000	23,000	6,571	
282	PALANTIR TECHNOLOGIES INC.	25,000	23,000	6,571	
283	PALANTIR TECHNOLOGIES INC.	100,000	97,000	13,857	
285	PALANTIR TECHNOLOGIES INC.	50,000	46,000	15,333	
285	PALANTIR TECHNOLOGIES INC.	50,000	46,000	15,333	
285	PALANTIR TECHNOLOGIES INC.	25,000	23,000	8,519	
285	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,286	
285	PALANTIR TECHNOLOGIES INC.	40,000	36,800	5,257	
286	PALANTIR TECHNOLOGIES INC.	525,914	N/A	55,571	Receiver reserves right to object to nature and amount of claims
287	PALANTIR TECHNOLOGIES INC.	25,000	23,000	3,538	
290	PALANTIR TECHNOLOGIES INC.	56,507	51,986	7,998	
291	PALANTIR TECHNOLOGIES INC.	20,000	20,000	2,581	
292	PALANTIR TECHNOLOGIES INC.	76,500	70,380	20,109	
293	PALANTIR TECHNOLOGIES INC.	150,000	150,000	21,429	
294	PALANTIR TECHNOLOGIES INC.	30,000	27,600	3,943	
295	PALANTIR TECHNOLOGIES INC.	50,000	46,000	13,143	
296	PALANTIR TECHNOLOGIES INC.	300,000	276,000	69,000	

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
297	PALANTIR TECHNOLOGIES INC.	100,000	96,000	14,222	
297	PALANTIR TECHNOLOGIES INC.	100,000	100,000	14,286	
299	PALANTIR TECHNOLOGIES INC.	25,000	25,000	9,259	
300	PALANTIR TECHNOLOGIES INC.	7,000	6,440	1,840	
301	PALANTIR TECHNOLOGIES INC.	1,475,500	1,475,500	227,000	
302	PALANTIR TECHNOLOGIES INC.	10,000	9,500	1,583	
304	PALANTIR- SADDLE RIVER BIG 10	20,000	19,600	4,900	Receiver reserves right to object to nature and amount of claims
304	PALANTIR TECHNOLOGIES INC.	20,000	18,400	6,815	Receiver reserves right to object to nature and amount of claims
304	PALANTIR TECHNOLOGIES INC.	30,000	27,600	8,118	Receiver reserves right to object to nature and amount of claims
304	PALANTIR TECHNOLOGIES INC.	50,000	50,000	14,706	Receiver reserves right to object to nature and amount of claims
304	PALANTIR TECHNOLOGIES INC.	100,000	98,000	16,039	Receiver reserves right to object to nature and amount of claims
304	PALANTIR TECHNOLOGIES INC.	50,000	49,000	7,538	Receiver reserves right to object to nature and amount of claims
306	PALANTIR TECHNOLOGIES INC.	107,000	98,440	15,145	
307	PALANTIR TECHNOLOGIES INC.	20,000	20,000	2,381	
307	PALANTIR TECHNOLOGIES INC.	30,000	30,000	3,571	
309	PALANTIR TECHNOLOGIES INC.	10,000	9,500	1,583	
310	PALANTIR TECHNOLOGIES INC.	150,000	150,000	55,556	
311	PALANTIR TECHNOLOGIES INC.	30,000	27,600	9,200	
311	PALANTIR TECHNOLOGIES INC.	25,000	23,000	8,519	
311	PALANTIR TECHNOLOGIES INC.	33,703	32,017	4,743	
312	PALANTIR TECHNOLOGIES INC.	100,000	92,000	30,667	
312	PALANTIR TECHNOLOGIES INC.	125,000	115,000	46,000	
312	PALANTIR TECHNOLOGIES INC.	275,000	275,000	94,828	
312	PALANTIR TECHNOLOGIES INC.	250,000	245,000	61,250	
312	PALANTIR TECHNOLOGIES INC.	250,000	245,000	37,692	
312	PALANTIR TECHNOLOGIES INC.	500,000	500,000	66,667	
312	PALANTIR TECHNOLOGIES INC.	102,041	100,000	14,286	
312	PALANTIR TECHNOLOGIES INC.	400,000	400,000	57,143	
313	PALANTIR TECHNOLOGIES INC.	15,000	13,800	2,259	
315	PALANTIR TECHNOLOGIES INC.	100,000	94,000	13,429	
315	PALANTIR TECHNOLOGIES INC.	100,000	100,000	14,286	
316	PALANTIR TECHNOLOGIES INC.	50,000	46,000	5,750	
316	PALANTIR TECHNOLOGIES INC.	100,000	92,000	14,154	
317	PALANTIR TECHNOLOGIES INC.	50,000	46,000	7,667	
320	PALANTIR TECHNOLOGIES INC.	20,000	19,000	2,714	
321	PALANTIR TECHNOLOGIES INC.	20,000	18,400	4,600	
322	PALANTIR TECHNOLOGIES INC.	9,985	9,186	1,531	
324	PALANTIR TECHNOLOGIES INC.	17,700	16,284	2,714	
327	PALANTIR TECHNOLOGIES INC.	63,158	60,000	10,000	
327	PALANTIR TECHNOLOGIES INC.	126,316	120,000	30,000	
327	PALANTIR TECHNOLOGIES INC.	127,500	127,500	15,000	
327	PALANTIR TECHNOLOGIES INC.	159,000	159,000	20,000	
327	PALANTIR TECHNOLOGIES INC.	303,750	303,750	45,000	
327	PALANTIR TECHNOLOGIES INC.	345,000	345,000	46,000	
328	PALANTIR TECHNOLOGIES INC.	10,075	10,075	1,300	
328	PALANTIR TECHNOLOGIES INC.	15,000	14,700	3,675	
329	PALANTIR TECHNOLOGIES INC.	15,000	14,700	1,897	
330	PALANTIR TECHNOLOGIES INC.	75,000	75,000	10,000	
331	PALANTIR TECHNOLOGIES INC.	21,600	21,600	8,000	
332	PALANTIR TECHNOLOGIES INC.	800,000	760,000	116,923	
333	PALANTIR TECHNOLOGIES INC.	75,000	75,000	10,000	
334	PALANTIR TECHNOLOGIES INC.	25,000	24,000	3,429	
335	PALANTIR TECHNOLOGIES INC.	74,000	74,000	10,000	
TOTAL		32,551,706		5,895,853	

*The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.

EXHIBIT 12

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*
5	PINTEREST, INC.	50,000	50,000	1,984
37	PINTEREST, INC.	23,470	23,000	1,022
146	PINTEREST, INC.	100,000	100,000	3,968
189	PINTEREST, INC.	15,000	15,000	667
223	PINTEREST, INC.	10,000	9,200	365
231	PINTEREST, INC.	40,000	39,200	1,766
242	PINTEREST, INC.	25,000	24,500	972
268	PINTEREST, INC.	77,000	77,000	3,056
299	PINTEREST, INC.	10,000	10,000	397
312	PINTEREST, INC.	200,000	200,000	9,009
TOTAL		550,470		23,206

**The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.*

**Shares are calculated post-split*

EXHIBIT 13

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
189	SNAPCHAT	35,000	35,000	2,000	
286	SNAPCHAT	204,107	200,025	11,430	Receiver reserves right to object to nature and amount of claims
299	SNAPCHAT	10,714	10,500	600	
312	SNAPCHAT	300,000	300,000	17,143	
TOTAL		<u>549,821</u>		<u>31,173</u>	

*The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.

*Shares are calculated post-split

EXHIBIT 14

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*
37	UBER TECHNOLOGIES, INC	19,388	19,000	500
TOTAL		<u>19,388</u>		<u>500</u>

**The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.*

EXHIBIT 15

INVESTOR ID #	INTENDED INVESTMENT	GROSS INVESTMENT	NET INVESTMENT	ALLOWED SHARES CLAIM*	COMMENTS
23	ZOCDOC- SADDLE RIVER BIG 10	7,377	6,787	399	
29	ZOCDOC- SADDLE RIVER BIG 10	30,000	29,400	1,729	
37	ZOCDOC- SADDLE RIVER BIG 10	10,000	9,200	541	
50	ZOCDOC- SADDLE RIVER BIG 10	2,500	2,450	1,729	
116	ZOCDOC- SADDLE RIVER BIG 10	10,000	9,400	553	
170	ZOCDOC- SADDLE RIVER BIG 10	25,000	24,500	1,441	
203	ZOCDOC- SADDLE RIVER BIG 10	10,000	9,200	541	
209	ZOCDOC- SADDLE RIVER BIG 10	7,000	6,860	404	
231	ZOCDOC- SADDLE RIVER BIG 10	10,000	9,800	576	
235	ZOCDOC- SADDLE RIVER BIG 10	15,000	14,700	865	
243	ZOCDOC- SADDLE RIVER BIG 10	10,500	10,290	605	
246	ZOCDOC- SADDLE RIVER BIG 10	10,000	9,800	576	
304	ZOCDOC- SADDLE RIVER BIG 10	20,000	19,600	1,153	Receiver reserves right to object to nature and amount of claims
304	ZOCDOC, INC.	87,218	80,240	4,720	Receiver reserves right to object to nature and amount of claims
312	ZOCDOC, INC.	100,000	98,000	5,765	
TOTAL		<u>354,594</u>		<u>21,598</u>	

*The Receiver reserves the right to object to claims as her investigation and review of claims is ongoing.