

Nathan Ochsner, Clerk

This bankruptcy appeal is one of many cases arising out of the relationship between Elizabeth Freeman, a bankruptcy lawyer, and former bankruptcy judge David R. Jones. The Official Committee of Equity Securities Holders (“the Committee”) appeals from the bankruptcy court’s December 18, 2023, order denying its motion for discovery under Rule 2004 of the Federal Rules of Bankruptcy Procedure. The Committee sought an order from the bankruptcy court authorizing the Committee to conduct discovery into Elizabeth Freeman’s involvement in the underlying Chapter 11 bankruptcy. Judge Lopez held a hearing on the Committee’s motion and denied it, finding that the discovery requests were neither relevant nor necessary. The Committee argues that the bankruptcy court erred because the Committee was prejudiced by Ms. Freeman’s brief involvement as conflicts counsel in Sorrento’s Chapter 11 case while Judge Jones was the presiding judge.

The debtor¹ in the Chapter 11 case, Sorrento Therapeutics, seeks to dismiss the appeal, arguing that: (1) the Committee lacks standing to pursue the appeal because the Committee dissolved upon the effective date of Sorrento's Chapter 11 bankruptcy plan; (2) the court lacks jurisdiction over the appeal because the Order was not a final order; and (3) the bankruptcy court did not abuse its discretion in denying the Rule 2004 discovery motion. Based on the record and the applicable law, this court dismisses the appeal from the bankruptcy court's December 18, 2023, order for lack of jurisdiction.

I. Background

The Committee's brief recites the facts and timeline, which the court recounts briefly here. On March 14, 2023, Sorrento filed an application to retain Latham & Watkins LLP as co-counsel to Sorrento, which the court approved on April 13. (Docket Entry No. 5 at 11). Sorrento filed an application to retain Jackson Walker as co-counsel and conflicts counsel on March 15, 2023, which the bankruptcy court approved on April 27. (Docket Entry No. 5 at 12; Docket Entry No. 2-3 at 218, 293). Jackson Walker's engagement letter stated that it might engage outside counsel to serve as special conflicts counsel if the need arose. (Docket Entry No. 5 at 12; Docket Entry No. 2-3 at 231). The letter stated that "[a]t this time, the Firm strongly recommends the engagement of the Law Office of Liz Freeman as Conflicts Counsel." (Docket Entry No. 2-3 at 231).

Sorrento filed under Chapter 11 on February 13, 2023, and the Chapter 11 cases were assigned to Judge Jones. (Docket Entry No. 5 at 7). On March 30, 2023, the bankruptcy court entered an agreed order directing the United States Trustee to appoint an official committee of

¹ This appeal involves two debtors, Sorrento Therapeutics, Inc. ("Sorrento") and Scintilla Pharmaceuticals, Inc. ("Scintilla"). Because Sorrento is the parent company of Scintilla, the court refers to the debtors jointly as "Sorrento." (See Docket Entry No. 9 at 2).

equity holders. (Docket Entry No. 5 at 7). On April 10, 2023, the U.S. Trustee appointed the Committee, which reconstituted on April 14, 2023. (*Id.*). Latham's fee statements show that its attorneys, as well as Jackson Walker attorneys, communicated with Ms. Freeman between February 13, 2023, and April 18, 2023, on matters involving key events in the Chapter 11 cases. (*Id.* at 14-15).

On October 13, 2023, the Fifth Circuit announced an ethics investigation into Judge Jones's conduct on cases in which Ms. Freeman, with whom he had an ongoing intimate relationship, appeared or performed services. (*Id.* at 9; *see also* Docket Entry No. 2-2 at 8). On the same day, Judge Jones announced that he would step back from hearing complex Chapter 11 cases. (Docket Entry No. 5 at 9). This case was reassigned to Judge Christopher M. Lopez. (*Id.*).

On November 9, 2023, the Committee informed Latham that it was objecting to the September 2023 fees based on alleged misconduct in the bankruptcy case. (Docket Entry No. 5 at 17; Docket Entry No. 6-2 at 226:7-12). The Committee based its allegations on Ms. Freeman's work on the case while in a relationship with Judge Jones. (*Id.*). On November 10, 2023, the Committee served Sorrento with its "First Request for the Production of Documents from the Official Committee of Equity Securities Holders to Debtors." (Docket Entry No. 5 at 5-6; Docket Entry No. 2-5 at 222). These requests sought the following discovery:

DOCUMENT REQUESTS

1. All Documents and Communications between You and the Debtors' Advisors.
2. All Documents and Communications relating to Your role in the Chapter 11 Cases.
3. All Documents and Communications identifying any conflicts of Latham & Watkins LLP and Jackson Walker LLP that would require Your retention.
4. All Documents and Communications concerning any personal relationships between You and the Debtors' Advisors.
5. All Communications between You and Judge David R. Jones concerning the Debtors or the Chapter 11 Cases.
6. All Communications between You and any Person concerning the Chapter 11 Cases.

(See Docket Entry No. 2-5 at 230).

The Committee served the same document requests on Ms. Freeman, as well as an additional request for all communications between Ms. Freeman and Judge Jones about Sorrento or the underlying Chapter 11 cases. (Docket Entry No. 5 at 18). On November 13, 2023, Sorrento filed a "Motion for Protective Order Regarding First Request for the Production of Documents from the Official Committee of Equity Securities Holders to Debtors," asking the court to relieve it from responding to the document requests. (Docket Entry No. 5 at 5-6; Docket Entry No. 2-3 at 166; Docket Entry No. 2-5 at 211). Ms. Freeman joined in this motion. (Docket Entry No. 2-5 at 255). The Committee objected to Sorrento's motion for protective order and filed an "Emergency Motion for Entry of an Order Authorizing and Directing Discovery from the Debtors Pursuant to Rule 2004 of the Federal Rules of Bankruptcy Procedure." (Docket Entry No. 5 at 5-6; Docket Entry No. 6 at 52). The Committee's emergency motion asked the bankruptcy court to authorize it to conduct a Rule 2004 examination and to require Sorrento and Ms. Freeman to produce the

documents and communications the Committee requested. (Docket Entry No. 5 at 6; Docket Entry No. 6 at 52).

The bankruptcy court held a hearing and denied the Rule 2004 motion for the “reasons stated on the record.” (Docket Entry No. 6-2 at 213, 214). Those reasons were that the Committee had failed to show that the discovery it sought was relevant or necessary. (*See* Docket Entry No. 6-2 at 262:5-13). This appeal followed. (Docket Entry No. 1).

II. Analysis

Under 28 U.S.C. § 158(a)(1), this court has jurisdiction to hear appeals from a bankruptcy court’s final judgments and orders. This court reviews a bankruptcy court’s findings of fact for clear error and issues of law de novo. *See Matter of Terrebonne Fuel & Lube, Inc.*, 108 F.3d 609, 613 (5th Cir. 1997) (per curiam). An abuse of discretion occurs when the court’s “ruling is based on an erroneous view of the law or a clearly erroneous assessment of the evidence.” *In re Sealed Appellant*, 194 F.3d 666, 670 (5th Cir. 1999).

Federal Rule of Bankruptcy Procedure 2004 allows the court to order “the examination of any entity” for discovery. While Rule 2004 is broad, the court’s inquiry is generally limited to “the acts, conduct, or property or to the liabilities and financial condition of the debtor, or to any matter which may affect the administration of the debtor’s estate, or to the debtor’s right to a discharge,” and in certain other proceedings to “the operation of any business and the desirability of its continuance, the source of any money or property acquired or to be acquired by the debtor for purposes of consummating a plan and the consideration given or offered therefor, and any other matter relevant to the case or to the formulation of a plan.” FED. R. BANKR. P. 2004.

A federal district court has jurisdiction to hear appeals—and an aggrieved litigant may appeal as of right—from the “final judgments, orders, and decrees” of a bankruptcy court. 28

U.S.C. § 158(a)(1). Sorrento asserts that the court does not have jurisdiction to hear the Committee's appeal because the bankruptcy court's order is non-final and interlocutory. (Docket Entry No. 9 at 19). Sorrento argues that the Committee's request for discovery under Rule 2004 was "simply a preliminary step in the case, seeking information for possible later use ... [t]hat is not a final judgment." (*Id.* at 20).

Sorrento also asserts that the Order was not final because the court stated in the hearing that the Committee was "always free to come back [to court] if they feel like they need to" further assert the need for discovery under Rule 2004. (*Id.*; Designation at 2517). Sorrento cites Fifth Circuit precedent for the proposition that when a discovery motion is denied without prejudice and with the express recognition that the movant could move to compel the discovery in the future, the bankruptcy court's order is not final. See *La Tierra Interiors, Inc. v. Wash. Fed. Savings (In re Tullius)*, 500 Fed. Appx. 286, 290 (5th Cir. 2012). (*Id.*). Sorrento argues that only the final confirmation order would have been appealable, and that the Committee's failure to appeal the confirmation order "cannot transform an interlocutory order into a final one." (*Id.* at 21).

The Committee counters that the order was final because it "wholly closed the door" to the Committee's access to discovery into Judge Jones's and Ms. Freeman's relationship, which the Committee sought to determine whether to object to the debtors' attorneys' fees application. (Docket Entry No. 7 at 13). The Committee asserts that the Order "conclusively terminated the Equity Committee's fee investigation before it even left the starting gate." (*Id.*).

"A bankruptcy case need not be appealed as a single judicial unit at the end of the entire bankruptcy proceeding; rather, an order must constitute either a final determination of the rights of the parties to secure the relief they seek, or a final disposition of a discrete dispute within the larger bankruptcy case for the order to be considered final." *In re Tullius*, 500 Fed. Appx. at 290

(quotation marks and quoting reference omitted). “The conclusion of a discrete judicial unit in the larger case, rather than the conclusion of the entire litigation, results in a final appealable order.” *Tax Ease Funding, L.P. v. Thompson (In re Kizzee-Jordan)*, 626 F.3d 239, 242 (5th Cir. 2010) (internal quotation marks omitted). “In the bankruptcy context, however, the relevant ‘judicial unit’ for application of the finality rule is not the overall bankruptcy case, but rather the particular adversary proceeding or discrete controversy pursued within the broader framework cast by the petition.” *Strong v. W. United Life Assurance Co. (In re Tri-Valley Distrib., Inc.)*, 533 F.3d 1209, 1213-14 (10th Cir. 2008) (per curiam) (internal quotation marks omitted); *see also Stansbury v. Holloway (In re Holloway)*, 370 F. App’x 490, 492 (5th Cir. 2010) (per curiam) (“Finality in bankruptcy cases is contingent upon the conclusion of an adversarial proceeding within the bankruptcy case, rather than the conclusion of the entire litigation.”) (quoting *England v. FDIC (In re England)*, 975 F.2d 1168, 1172 (5th Cir. 1992))). “Notwithstanding this more flexible approach to finality in bankruptcy appeals, federal courts have concluded overwhelmingly that a bankruptcy court’s discovery orders are interlocutory decisions from which an appeal to the district court does not lie as a matter of right.” *In re Tullius*, 500 Fed. Appx. at 290 (collecting cases).

The parties dispute the applicability of the Fifth Circuit’s decision in *In re Tullius*, 500 Fed. Appx. at 289-290. In that case, the Fifth Circuit considered whether the bankruptcy court’s order denying a motion to compel a Rule 2004 examination was final or interlocutory. The court found that despite the appellant’s attempts to frame the discovery orders as “final adverse determinations of its substantive rights to the desired discovery,” the orders were “but a preliminary step in a larger phase of the instant bankruptcy proceeding, a means of acquiring information for possible later use” and thus non-final. *Id.* The court also noted that because the motion to compel was denied without prejudice, “at the time [the appellant] appealed to the district court, [the appellant]

had not reached the end of the road; it had merely been forced down a less desirable path.” *Id.* at 290.

The Committee asserts that *In re Tullius* is inapplicable because that case dealt only with the Fifth Circuit’s jurisdiction over bankruptcy appeals, and not the jurisdiction of the district court to review an appeal from an interlocutory bankruptcy court order. (Docket Entry No. 13 at 8-9). The court disagrees with this characterization of the case. In determining whether it had jurisdiction, the Fifth Circuit in *In re Tullius* first considered whether the district court had jurisdiction over the appeal from the bankruptcy court: “Courts of appeals, however, have jurisdiction over appeals from a district court’s final decisions only. Although it is the finality of the district court’s order that ultimately determines our jurisdiction, in this case, we must consider the finality of the underlying bankruptcy court orders at issue. This is because a district court’s decision generally will be final under § 158(d)(1) only when the bankruptcy court’s order was similarly final under § 158(a)(1).” *In re Tullius*, 500 Fed. Appx. at 288. The finality of the bankruptcy court’s order was the lynchpin of its, and the district court’s, ability to hear the appeal.

Without citation to authority, the Committee also argues that *In re Tullius* is distinguishable for the following reasons: (1) here, the Order resolved all issues pertaining to the discovery process as pursued through the Rule 2004 motion; (2) unlike the appellant in *In re Tullius*, who received a discovery production pursuant to its Rule 2004 examination after the bankruptcy court partially granted its motion, the Committee was deprived of documents or information relevant to its investigation; (3) in *In re Tullius*, the bankruptcy court confirmed the debtor’s plan after the appellant had appealed a discovery order, so the order confirming the plan was itself a final appealable order, while here, the bankruptcy court confirmed the debtors’ Chapter 11 plan a month

before considering the Rule 2004 motion. The Committee asserts that in light of these distinctions, the court should deem the order final for the purpose of this appeal. (Docket Entry No. 13 at 9).

The court disagrees. *In re Tullius* establishes that for a bankruptcy order to be final, it must “constitute *either* a final determination of the parties’ rights to secure the relief they seek, *or* a final disposition of a discrete dispute within the larger bankruptcy case for the order to be considered final.” 500 Fed. Appx. at 290 (emphasis added). The order did neither. The bankruptcy court dismissed the Rule 2004 motion without prejudice, permitting the parties to revisit the issue of whether the discovery that the Committee sought was necessary or relevant at a later date. (See Docket Entry No. 6-2 at 268:18-20) (“We know what we know now. If anything changes, somebody’ll file asking for stuff. But that’s where we are today, folks.”) (See also, *id.* at 269:17-18) (“But [the parties] are always free to come back if they feel like they need to.”). Federal courts considering this issue have consistently held that an order granting or denying Rule 2004 discovery does not “resolve[] a discrete dispute” and is “only a discovery order for information that will allow both sides to present evidence in the dispute.” *In re Dental Profile, Inc.*, 2010 WL 431590 (N.D. Ill. Feb. 1, 2010); see also *In re Midwest Video Games, Inc.*, 1998 WL 395152, at *2 (N.D. Ill. July 9, 1998) (“The court finds that resolution of the parties’ dispute concerning the scope of [Rule 2004] discovery fails to present a controlling question of law, as resolution of this discovery matter is not likely to be dispositive of any of the material issues in this case.”) (quoting reference omitted). The order was not a final order for the purpose of appellate jurisdiction.

The Committee did not file a motion for leave to appeal the bankruptcy court’s order. Rather, in its reply brief, it asks for the first time that the court treat its notice of appeal as a motion for leave to appeal under 28 U.S.C. § 158(a)(3). (Docket Entry No. 13 at 9). A district court, in its discretion, may grant leave to hear an interlocutory appeal from the bankruptcy court. *In re*

Ichinose, 946 F.2d 1169, 1176-77 (5th Cir. 1991). Most district courts in this circuit have adopted the standard under 28 U.S.C. § 1292(b) for interlocutory appeals from district court orders: (1) a controlling issue of law must be involved; (2) the question must be one where there is substantial ground for difference of opinion; and (3) an immediate appeal must materially advance the ultimate termination of the litigation. *Id.* at 1177; *see also In re Hallwood Energy, L.P.*, No. 3:12-CV-1902-G, 2013 WL 524418, at *1 (N.D. Tex. Feb. 11, 2013); *Powers v. Montgomery*, No. 3:97-CV-1736-P, 1998 WL 159944, *2 (N.D. Tex. Apr. 1, 1998). Many district courts conclude that “[b]ecause interlocutory appeals interfere with the overriding goal of the bankruptcy system, expeditious resolution of pressing economic difficulties, they are not favored.” *Smith v. AET Inc., Ltd.*, 2007 WL 1644060, at *5 (S.D. Tex. June 4, 2007).

Leave to appeal is not warranted on these facts. The Committee does not assert that there is any controlling issue of law, only disputed factual issues as to whether the bankruptcy court abused its discretion in concluding that Ms. Freeman’s limited involvement in the Chapter 11 case caused no prejudice to the Committee. The court also agrees with Sorrento’s contention that permitting an interlocutory appeal would not materially advance the ultimate termination of litigation relating to this case. (*See* Docket Entry No. 9). No litigation is currently pending, the bankruptcy court confirmed Sorrento’s Chapter 11 plan, and the bankruptcy court approved Latham’s fees. (*See* Docket Entry No. 14). The requirements for leave to appeal are not met.

Even assuming that this court has jurisdiction over the appeal from the bankruptcy court’s order denying the Committee’s motion for discovery under Rule 2004, the bankruptcy court acted in its sound discretion in denying the motion. “Rule 2004 affords both debtors and creditors the broad rights of examination of a third-party’s records. ... [but] its scope is not limitless.” *Snyder v. Society Bank*, 181 B.R. 40, 41-42 (S.D. Tex. 1994). “The party seeking a Rule 2004 examination

bears the burden of showing ‘good cause’ for the examination.” *In re Lee*, No. BAP HI-20-1250-GBS, 2021 WL 2283910, at *4 (B.A.P. 9th Cir. June 3, 2021). “Good cause is established if the Rule 2004 examination is necessary to establish the movant’s claim or if denial would cause the movant undue hardship or injustice.” *Id.*

“Matters within a bankruptcy judge’s discretion,” such as a decision on a Rule 2004 motion, “are reviewed for an abuse of discretion.” *In re Benford*, No. BANK ADV 08-3004, 2008 WL 1821520, at *2 (S.D. Tex. Apr. 22, 2008); *see also Crosby v. La. Health Serv. & Indem. Co.*, 647 F.3d 258, 261 (5th Cir. 2011) (“A court’s decision to limit discovery is reviewed for abuse of discretion.”). “A bankruptcy court abuses its discretion when it ‘(1) applies an improper legal standard or follows improper procedures . . . , or (2) rests its decision on findings of fact that are clearly erroneous.” *Id.* (quoting *In re Cahill*, 428 F.3d 536, 539 (5th Cir. 2005)).

The bankruptcy court started with the proposition that “[t]he road to a [Rule] 2004 [examination] is not unlimited.” (Docket Entry No. 6 at 268:10). The court then found that Ms. Freeman’s records showed only “an hour worth of work” in the underlying Chapter 11 cases, an amount of work that was not significant considering the case as a whole and would not affect confirmation of the Chapter 11 plan. (*See* Docket Entry No. 6-2 at 262:8-13). The court also pointed to the fact that Ms. Freeman was never officially retained and was only “consulted” as an indication that her involvement was so minimal as not to cause the Committee any prejudice. (*Id.* at 238:14-24). The bankruptcy court also found that the Committee was unable to identify a single concrete example of a ruling by Judge Jones that caused prejudice. (*Id.* at 237:15-25, 242:11-13). Instead, the court found that the Committee had “wins” throughout the case and was able to obtain orders in its favor “signed the same day” by Judge Jones. (*Id.* at 267:7-13). In light of the ongoing pending investigations of Judge Jones’s conflicts in other, unrelated matters, the bankruptcy court

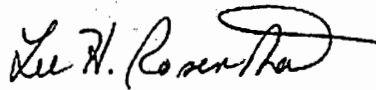
found that there was no cause to permit additional probing into those issues in a case in which there was no evidence of prejudice. (*Id.* at 262:5-13). The bankruptcy court stated that it “[didn’t] see the need for a [Rule] 2004 exam today.” (*Id.* at 268:16-17).

“If the lower court’s account of the evidence is plausible in light of the record viewed in its entirety, the reviewing court may not reverse it even though convinced that had it been sitting as a trier of fact, it would have weighed the evidence differently.” *Stanley v. U.S. Bank, N.A.*, 2008 WL 8866400, at *1 (S.D. Tex. Sept. 22, 2008) (citing *Webb v. Reserve Life Insurance Company*, 954 F.2d 1102, 1103–04 (5th Cir. 2002)). The record on appeal shows no evidence of actual prejudice to the Committee resulting from Ms. Freeman’s involvement in the case while Judge Jones presided over it. The bankruptcy court did not abuse its discretion in finding that the Committee did not meet its burden to show good cause to permit the Rule 2004 discovery and in denying its motion to conduct such discovery.

III. Conclusion

This court lacks jurisdiction to decide the Committee’s motion and, alternatively, finds no basis to do so. The Committee’s appeal is dismissed.

SIGNED on March 27, 2025, at Houston, Texas.



Lee H. Rosenthal
Senior United States District Judge

United States Bankruptcy Court
Southern District of Texas

In re:
Sorrento Therapeutics, Inc.
Official Committee of Unsecured Creditor
Debtors

Case No. 23-90085-cml
Chapter 11

CERTIFICATE OF NOTICE

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aty	+ Alan M. Pollack, Warshaw Burstein, LLP, 575 Lexington Ave., 7th Floor, New York, NY 10022-6138
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asor	+ AB Sciex LLC, 500 Old Connecticut Path, Framingham, MA 01701-4574
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cr	+ Datasite, LLC, 2500 Tanglewilde St., Suite 320, Houston, TX 77063-2125
res	+ ETrade Clearing, LLC, Doyle Restrepo Harvin & Robbins, LLP, 440 Louisiana St, Ste 2300, Houston, Tx 77002-1061
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intp	+ JMB Capital Partners Lending, LLC, Attn: Robert M. Hirsh, Esq., Attn: Phillip Khezri, Esq., 1251 Avenue of the Americas, New York, NY 10020 UNITED STATES 10020-1106
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cr	+ Joseph Giglio, c/o Hayward PLLC, 10501 N. Central Expy., Ste. 106, Dallas, TX 75231-2203
br	+ LPL Financial, LLC, c/o Charles Upchurch, 1055 LPL Way, Fort Mill, SC 29715-8101
cr	+ Linical Accelovance America, Inc., 789 SW Federal Hwy, Suite 212, Stuart, FL 34994-2962
res	+ Morgan Stanley & Co., LLC, Doyle Restrepo Harvin & Robbins, LLP, 440 Louisiana St, Ste 2300, Houston, TX 77002-1061
res	+ Morgan Stanley Smith Barney LLC, Doyle Restrepo Harvin & Robbins, LLP, 440 Louisiana St, Ste 2300, Houston, TX 77002-1061
trnsfor	+ New England Biolabs Inc, 240 County Road, Ipswich, MA 01938-2723
ccrm	+ Official Committee of Equity Securities Holders, 1185 Avenue of the Americas, Floor 22, New York, NY 10036-2603

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cr	Email/PDF: bncnotices@becket-lee.com	Mar 27 2025 20:24:12	American Express National Bank, c/o Becket and Lee LLP, PO Box 3001, Malvern, PA 19355-0701
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cr	Email/Text: fred.glass@fairharborcapital.com	Mar 27 2025 20:04:00	Fair Harbor Capital, LLC, PO Box 237037, New York, NY 10023, US
intp	+ Email/Text: BNCNOTICES@noexternalmail.hsbc.com	Mar 27 2025 20:03:00	HSBC Bank USA, National Association, 452 Fifth Avenue, New York, NY 10018, UNITED STATES 10018-2736
cr	^ MEBN	Mar 27 2025 20:02:41	Immunotherapy NANTibody LLC and NantCell, Inc., Quinn Emanuel Urquhart & Sullivan, LLP, c/o Patricia B. Tomasco, 711 Louisiana, Suite 500, Houston, TX 77002-2721
asee	+ Email/Text: jkane@jefferies.com	Mar 27 2025 20:04:00	Jefferies Leveraged Credit Products LLC, Attn: Evan Hurst, 520 Madison Ave, New York, NY 10022-4344
trnsfee	+ Email/Text: jkane@jefferies.com	Mar 27 2025 20:04:00	Jefferies Leveraged Credit Products LLC, 520 Madison Avenue, New York, NY 10022-4344
intp	^ MEBN	Mar 27 2025 20:01:21	Jolene Wise United States Securities & Exchange Co, 175 W. Jackson Blvd., Suite 1450, Chicago, IL 60604-2710

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cr	^	MEBN	Mar 27 2025 20:02:58	LLJ Sorrento Industrial, LLC, c/o Harvest LLP, 10940 Wilshire Blvd., Suite 1600, Los Angeles, CA 90024-3910
cr	+	Email/Text: schristianson@buchalter.com	Mar 27 2025 20:04:00	Oracle America, Inc., Buchalter PC, c/o Shawn M. Christianson, 425 Market St., Suite 2900, San Francisco, Ca 94105-2491
cr	+	Email/Text: pcipharmaservicesEBN@millernash.com	Mar 27 2025 20:04:00	PCI Pharma Services, c/o John R. Knapp, Jr., Miller Nash LLP, 605 5th Ave S, Ste 900, Seattle, WA 98104-3865
op	+	Email/Text: Shari.Heyen@gtlaw.com	Mar 27 2025 20:04:00	Special Committee of Sorrento Therapeutics, Inc., c/o Shari L.Heyen, Greenberg Traurig, LLP, 1000 Louisiana Street, Suite 6700, Houston, TX 77002-6003
cr	+	Email/Text: BNC-bkhouston@munsch.com	Mar 27 2025 20:04:00	Synova Pesquisa Cientifica LTDA, Munsch Hard Kopf & Harr PC, 700 Milam St., Suite 800, Houston, TX 77002-2835
cr		Email/Text: cdm_bankruptcy@mail@uhc.com	Mar 27 2025 20:04:00	UNITEDHEALTHCARE INSURANCE COMPANY, ATTN: CDM/BANKRUPTCY, 185 ASYLUM ST - 03B, HARTFORD, CT 06103-3408

TOTAL: 21

BYPASSED RECIPIENTS

The following addresses were not sent this bankruptcy notice due to an undeliverable address, *duplicate of an address listed above, *P duplicate of a preferred address, or ## out of date forwarding orders with USPS.

Recip ID	Bypass Reason	Name and Address
tr		David Weinhoffer
intp		ABN AMRO Clearing USA LLC
cr		Agilent Biosciences (Hangzhou) Co., Ltd.
cr		Alexander Espalin
intp		Apex Clearing Corporation
intp		BANA Securities, Inc.
intp		BNY Mellon, N.A.
intp		Bradford Capital Management, LLC
intp		Charles River Laboratories, Inc.
intp		CitiBank, N.A.
intp		Consolidated Audit Trail, LLC
intp		Digisino Technology, Ltd.
op		Elizabeth Freeman
intp		Explora Biolabs Inc.
intp		FMR LLC
cr		FTI Consulting Technology LLC
cr		Fisher Scientific Company, LLC
op		Fortis Advisors, As Representative
cr		Frontier Clinical Research, LLC
cr		Gang Gary Chen
op		Glenn Agre Bergman & Fuentes LLP
op		Glenn Agre Bergman & Fuentes LLP
intp		Goldman Sachs & Co. LLC
intp		HCP Life Science Estates, Inc.
intp		HCP Life Science REIT, Inc.
intp		HCP University Center West LLC
intp		HD Research LLC
cr		Indena S.p.A.
intp		Interactive Brokers LLC
intp		J.P. Morgan Securities LLC
cr		JB Pacific, Inc.
dft		JB Pacific, Inc.
intp		JPMorgan Chase Bank, N.A.
intp		Jackson Walker LLP

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cr	Jia Liu
intp	Jon Gauthier
cr	Kilroy L.P.
cr	Kilroy Realty, L.P.
cr	Koenig, Oelsner, Taylor, Schoenfeld & Gaddis PC
op	Latham & Watkins LLP
intp	Liquidating Trustee
cr	Long Mao
intp	Lotus Clinical Research LLC
op	M3 Advisory Partners LP
cr	Mayo Clinic, Inc.
cr	Mayo Foundation for Medical Education and Research
intp	Merrill Lynch, Pierce, Fenner & Smith Incorporated
op	Moelis & Company
cr	NantWorks, LLC
intp	National Financial Services LLC
intp	Nomura International Trust Company
crem	Official Committee of Unsecured Creditors
cr	Patrick Soon-Shiong
cr	Paul Hastings LLP
intp	Pershing LLC
br	Phillip Capital Inc.
cr	Procopio, Cory, Hargreaves & Savitch LLP
cr	Prospect Medical Holdings, Inc.
intp	Protiviti Inc.
res	Raymond James & Associates Inc
intp	Robert Half International Inc
br	Robinhood Securities, LLC
cr	Rudolph C Mueller
intp	Scilex Holding Company
intp	Securities And Exchange Commission
intp	Shanghai Escugen Biotechnology Co., Ltd
cr	Shirley D Mueller
intp	State Street Bank and Trust Co.
cr	Synova Pesquisa Cientifica LTOA
intp	TR Capital Management LLC, US
intp	The Bank of New York Mellon
cr	The Scripps Research Institute
cr	TriLink BioTechnologies, LLC
intp	UBS AG
intp	UBS Financial Services
intp	UBS Securities LLC
op	Vanguard Marketing Corporation
intp	Veronica A. Polnick
intp	Vivasor, Inc.
intp	Wedbush Securities Inc.
cr	Xiao Xu
cr	Zhenhong Zhu
cr	Zhenwei David Miao
cr	###+ Precision for Medicine, LLC, 200 Route 31 North, Suite 102, Flemington, NJ 08822-5811
op	###+ Stretto, 5 Peters Canyon, Ste 200, Irvine, CA 92606-1404

TOTAL: 83 Undeliverable, 0 Duplicate, 2 Out of date forwarding address

NOTICE CERTIFICATION

I, Gustava Winters, declare under the penalty of perjury that I have sent the attached document to the above listed entities in the manner shown, and prepared the Certificate of Notice and that it is true and correct to the best of my information and belief.

Meeting of Creditor Notices only (Official Form 309): Pursuant to Fed .R. Bank. P.2002(a)(1), a notice containing the

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complete Social Security Number (SSN) of the debtor(s) was furnished to all parties listed. This official court copy contains the redacted SSN as required by the bankruptcy rules and the Judiciary's privacy policies.

Date: Mar 29, 2025

Signature: /s/Gustava Winters

CM/ECF NOTICE OF ELECTRONIC FILING

The following persons/entities were sent notice through the court's CM/ECF electronic mail (Email) system on March 27, 2025 at the address(es) listed below:

Name	Email Address
Aaron Matthew Guerrero	on behalf of Creditor Emas Pharma Limited (d/b/a Bionical Emas) aaron.guerrero@bondsellis.com margeaux.gorman@bondsellis.com
Alicia Fazzano Castro	on behalf of Interested Party JPMorgan Chase Bank N.A. acastro@lockelord.com, raquel.garza@lockelord.com
Alicia Lenae Barcomb	on behalf of U.S. Trustee US Trustee alicia.barcomb@usdoj.gov
Amanda L Cottrell	on behalf of Creditor Precision for Medicine LLC acottrell@sheppardmullin.com, jherschap@sheppardmullin.com
Andrew K. Glenn	on behalf of Plaintiff Official Committee of Equity Securities Holders of Sorrento Therapeutics Inc. aglenn@glennagre.com, mco@glennagre.com
Andrew K. Glenn	on behalf of Creditor Committee Official Committee of Equity Securities Holders aglenn@glennagre.com mco@glennagre.com
Andrew K. Glenn	on behalf of Other Prof. Glenn Agre Bergman & Fuentes LLP aglenn@glennagre.com mco@glennagre.com
Andrew R Harvin	on behalf of Respondent E*Trade Clearing LLC aharvin@drhrlaw.com
Andrew R Harvin	on behalf of Respondent Morgan Stanley & Co. LLC aharvin@drhrlaw.com
Andrew R Harvin	on behalf of Defendant Morgan Stanley & Co. LLC aharvin@drhrlaw.com
Andrew R Harvin	on behalf of Respondent Morgan Stanley Smith Barney LLC aharvin@drhrlaw.com
Anne M Peterson	on behalf of Interested Party HSBC Bank USA National Association anne.m.peterson@us.hsbc.com
Annie E Catmull	on behalf of Creditor Oracle America Inc. aecatmull@o-w-law.com, aecatmull@ecf.courtdrive.com, llumtaciae@gmail.com
Ardalan Attar	on behalf of Interested Party Scilex Holding Company aattar@christianattarlaw.com
Ben L Aderholt	on behalf of Defendant JB Pacific Inc. baderholt@coatsrose.com, vhernandez@coatsrose.com
Benjamin S. Kaminetzky	on behalf of Defendant Morgan Stanley & Co. LLC benjamin.kaminetzky@davispolk.com
Benjamin W. Loveland	on behalf of Interested Party Consolidated Audit Trail LLC Benjamin.loveland@wilmerhale.com, lauren.lifland@wilmerhale.com; Yolande.Thompson@wilmerhale.com
Beverly Weiss Manne	on behalf of Creditor Frontier Clinical Research LLC bmanne@tuckerlaw.com, npetrov@tuckerlaw.com
Beverly Weiss Manne	on behalf of Creditor Fisher Scientific Company LLC bmanne@tuckerlaw.com, npetrov@tuckerlaw.com
Broocks Wilson	on behalf of Respondent Raymond James & Associates Inc mack@wilson-pllc.com
Buffey E Klein	on behalf of Creditor CRB Builders LLC buffey.klein@huschblackwell.com, tanya.adams@huschblackwell.com; buffey-klein-8494@ecf.pacerpro.com

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Can Jin	cjwd2@yahoo.com
Caroline A. Reckler	on behalf of Other Prof. Latham & Watkins LLP caroline.reckler@lw.com caroline-reckler-9810@ecf.pacerpro.com;christopher.tarrant@lw.com
Cassandra Shoemaker	on behalf of Defendant Bank of America Securities Inc. cshoemaker@mcguirewoods.com, lbayliss@mcguirewoods.com
Cassandra Shoemaker	on behalf of Defendant Pershing LLC cshoemaker@mcguirewoods.com lbayliss@mcguirewoods.com
Cassandra Shoemaker	on behalf of Defendant Merrill Lynch, Pierce, Fenner & Smith Incorporated cshoemaker@mcguirewoods.com, lbayliss@mcguirewoods.com
Cassandra Shoemaker	on behalf of Interested Party BANA Securities Inc. cshoemaker@mcguirewoods.com, lbayliss@mcguirewoods.com
Cassandra Shoemaker	on behalf of Interested Party Merrill Lynch Pierce, Fenner & Smith Incorporated cshoemaker@mcguirewoods.com, lbayliss@mcguirewoods.com
Charles A Beckham, Jr	on behalf of Other Prof. M3 Advisory Partners LP charles.beckham@haynesboone.com kenneth.rusinko@haynesboone.com;jodi.valencia@haynesboone.com
Cody Aaron Kachel	on behalf of Creditor Linical Accelovance America Inc. ckachel@ohashiandhorn.com
Daniel J. Schwartz	on behalf of Defendant Morgan Stanley & Co. LLC daniel.schwartz@davispolk.com
Dean T Kirby, Jr	on behalf of Creditor Zhenwei David Miao dkirby@fsl.law jwilson@fsl.law
Dean T Kirby, Jr	on behalf of Creditor Gang Gary Chen dkirby@fsl.law jwilson@fsl.law
Demetra Liggins	on behalf of Defendant Bank of America Securities Inc. dliggins@mcguirewoods.com, nsims@mcguirewoods.com
Demetra Liggins	on behalf of Interested Party Merrill Lynch Pierce, Fenner & Smith Incorporated dliggins@mcguirewoods.com, nsims@mcguirewoods.com
Demetra Liggins	on behalf of Interested Party BANA Securities Inc. dliggins@mcguirewoods.com, nsims@mcguirewoods.com
Demetra Liggins	on behalf of Interested Party Pershing LLC dliggins@mcguirewoods.com nsims@mcguirewoods.com
Demetra Liggins	on behalf of Defendant Pershing LLC dliggins@mcguirewoods.com nsims@mcguirewoods.com
Demetra Liggins	on behalf of Interested Party BNY Mellon N.A. dliggins@mcguirewoods.com, nsims@mcguirewoods.com
Demetra Liggins	on behalf of Interested Party The Bank of New York Mellon dliggins@mcguirewoods.com nsims@mcguirewoods.com
Demetra Liggins	on behalf of Defendant Merrill Lynch, Pierce, Fenner & Smith Incorporated dliggins@mcguirewoods.com, nsims@mcguirewoods.com
Duane J Brescia	on behalf of Creditor WestAir Gases & Equipment Inc. dbrescia@clarkhill.com, kwebster@clarkhill.com,efarrar@clarkhill.com
Elizabeth Carol Freeman	on behalf of Other Prof. Elizabeth Freeman liz@lizfreemanlaw.com kgradney@jw.com;dtrevino@jw.com;jpupo@jw.com;JacksonWalkerLLP@jubileebk.net
Emily Meraia	on behalf of Debtor Sorrento Therapeutics Inc. emeraia@jw.com, kgradney@jw.com;dtrevino@jw.com;jpupo@jw.com;steso@jw.com
Emily Dianne Nasir	on behalf of Creditor Committee Official Committee of Equity Securities Holders emily.nasir@gtlaw.com jamrokg@gtlaw.com
Emily M Smith	on behalf of Interested Party Jackson Walker LLP esmith@rustyhardin.com jayers@rustyhardin.com

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Erin Elizabeth Dexter	on behalf of Debtor Sorrento Therapeutics Inc. edexter@milbank.com
Esther Cheng	on behalf of Interested Party Securities And Exchange Commission chenges@sec.gov
Frances Anne Smith	on behalf of Creditor LLJ Sorrento Industrial LLC frances.smith@rsbfirm.com, michael.coulombe@rsbfirm.com
Genevieve Marie Graham	on behalf of Plaintiff Sorrento Therapeutics Inc. ggraham@jw.com, dtrevino@jw.com;kgradney@jw.com;jpupo@jw.com;steso@jw.com;dduhon@jw.com
Genevieve Marie Graham	on behalf of Debtor Sorrento Therapeutics Inc. ggraham@jw.com, dtrevino@jw.com;kgradney@jw.com;jpupo@jw.com;steso@jw.com;dduhon@jw.com
Genevieve Marie Graham	on behalf of Plaintiff Sorrento Therapeutics Inc. ggraham@jw.com, dtrevino@jw.com;kgradney@jw.com;jpupo@jw.com;steso@jw.com;dduhon@jw.com
Genevieve Marie Graham	on behalf of Debtor Scintilla Pharmaceuticals Inc. ggraham@jw.com, dtrevino@jw.com;kgradney@jw.com;jpupo@jw.com;steso@jw.com;dduhon@jw.com
George W. Shuster, Jr	on behalf of Interested Party National Financial Services LLC george.shuster@wilmerhale.com Yolande.Thompson@wilmerhale.com;allyson.pierce@wilmerhale.com
George W. Shuster, Jr	on behalf of Interested Party FMR LLC george.shuster@wilmerhale.com Yolande.Thompson@wilmerhale.com;allyson.pierce@wilmerhale.com
Gregory Phillip Sapire	on behalf of Broker Robinhood Securities LLC GSapire@MaynardNexsen.com
Hector Duran, Jr	on behalf of U.S. Trustee US Trustee Hector.Duran.Jr@usdoj.gov
Henry Jon Jaffe	on behalf of Other Prof. Moelis & Company hjaffe@pashmanstein.com wlbank@troutman.com,Monica.Molitor@troutman.com
Hugh Massey Ray, III	on behalf of Interested Party Robert Half International Inc hugh.ray@pillsburylaw.com bankruptcee@yahoo.com;nancy.jones@pillsburylaw.com;docket@pillsburylaw.com
Hugh Massey Ray, III	on behalf of Interested Party Protiviti Inc. hugh.ray@pillsburylaw.com bankruptcee@yahoo.com;nancy.jones@pillsburylaw.com;docket@pillsburylaw.com
J. Alex Kress	on behalf of Creditor Bank of America N.A. akress@chapman.com
JaKayla DaBera	on behalf of Interested Party Jackson Walker LLP jdabera@krcl.com jdabera@ecf.courtdrive.com;ecf@krcl.com
Jack D Ballard	on behalf of Broker Well Fargo Clearing Services LLC jballard@bressler.com cbell@bressler.com
Jack N. Fuerst	on behalf of Creditor Datasite LLC jfuerst@sbcglobal.net, outsourcedparalegal@gmail.com;fuerst.jackn.r103264@notify.bestcase.com
James H Billingsley	on behalf of Other Prof. Fortis Advisors As Representative JBillingsley@duanemorris.com, KRamos@duanemorris.com
James P. Muenker	on behalf of Interested Party HD Research LLC James.muenker@US.DLAPIPER.COM james-muenker-0904@ecf.pacerpro.com
James P. Muenker	on behalf of Interested Party Lotus Clinical Research LLC James.muenker@US.DLAPIPER.COM james-muenker-0904@ecf.pacerpro.com
James R Prince	on behalf of Other Prof. Baker Botts L.L.P. jim.prince@bakerbotts.com BankruptcyDallas@bakerbotts.com;jim-prince-2090@ecf.pacerpro.com
James Tillman Grogan, III	on behalf of Interested Party Vivasor Inc. James.Grogan@gtlaw.com, jamrokg@gtlaw.com
James Tillman Grogan, III	on behalf of Interested Party Scilex Holding Company James.Grogan@gtlaw.com jamrokg@gtlaw.com

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James Tillman Grogan, III	on behalf of Creditor Paul Hastings LLP James.Grogan@gtlaw.com jamrokg@gtlaw.com
James W Christian	on behalf of Interested Party Scilex Holding Company jchristian@christianattarlaw.com
Jamie Altman Buggy	on behalf of Creditor LLJ Sorrento Industrial LLC jbuggy@harvestllp.com, jkeatingwolk@harvestllp.com,atenreiro@harvestllp.com
Jason Blanchard	on behalf of Plaintiff Sorrento Therapeutics Inc. jason.blanchard@nortonrosefulbright.com
Jason Blanchard	on behalf of Interested Party Liquidating Trustee jason.blanchard@nortonrosefulbright.com
Jason S Brookner	on behalf of Creditor Oramed Pharmaceuticals Inc. jbrookner@grayreed.com lwebb@grayreed.com
Jason S Brookner	on behalf of Interested Party Veronica A. Polnick jbrookner@grayreed.com lwebb@grayreed.com
Jeffrey K. Garfinkle	on behalf of Creditor The Scripps Research Institute jgarfinkle@buchalter.com lverstegen@buchalter.com;docket@buchalter.com
Jennifer Elizabeth Brevorka	on behalf of Interested Party Jackson Walker LLP jbrevorka@rustyhardin.com ebarajas@rustyhardin.com
Jessica Voyce Lewis	on behalf of Creditor LLJ Sorrento Industrial LLC Jessica.lewis@judithwross.com
John David Cornwell	on behalf of Creditor Synova Pesquisa Cientifica LTDA jcornwell@munsch.com hvalentine@munsch.com;CourtMail@munsch.com;crichison@munsch.com
John F Higgins, IV	on behalf of Defendant National Financial Services LLC jhiggins@porterhedges.com emoreland@porterhedges.com;eliana-garfias-8561@ecf.pacerpro.com;mwebb@porterhedges.com
John F Higgins, IV	on behalf of Defendant State Street Bank and Trust Company jhiggins@porterhedges.com emoreland@porterhedges.com;eliana-garfias-8561@ecf.pacerpro.com;mwebb@porterhedges.com
John F Higgins, IV	on behalf of Interested Party Consolidated Audit Trail LLC jhiggins@porterhedges.com, emoreland@porterhedges.com;eliana-garfias-8561@ecf.pacerpro.com;mwebb@porterhedges.com
John F Higgins, IV	on behalf of Interested Party Digisino Technology Ltd. jhiggins@porterhedges.com, emoreland@porterhedges.com;eliana-garfias-8561@ecf.pacerpro.com;mwebb@porterhedges.com
John F Higgins, IV	on behalf of Interested Party State Street Bank and Trust Co. jhiggins@porterhedges.com emoreland@porterhedges.com;eliana-garfias-8561@ecf.pacerpro.com;mwebb@porterhedges.com
John F Higgins, IV	on behalf of Interested Party National Financial Services LLC jhiggins@porterhedges.com emoreland@porterhedges.com;eliana-garfias-8561@ecf.pacerpro.com;mwebb@porterhedges.com
John J. Kane	on behalf of Interested Party Jackson Walker LLP jkane@krcl.com ecf@krcl.com;jkane@ecf.courtdrive.com
John M Turner, III	on behalf of Interested Party EASTGATE BEND TWO jmt@tmsdlaw.com
John R. Knapp, Jr.	on behalf of Creditor PCI Pharma Services john.knapp@millernash.com edgar.rosales@millernash.com
John W Weiss	on behalf of Other Prof. Moelis & Company jweiss@pashmanstein.com
Jolene M Wise	on behalf of Interested Party Jolene Wise United States Securities & Exchange Commission wisej@sec.gov isenmanb@sec.gov
Jon F. Gauthier	on behalf of Interested Party Jon Gauthier jgauthier@ftblaw.com jrobinson@ftblaw.com
Joseph M Coleman	on behalf of Interested Party Jackson Walker LLP jcoleman@krcl.com jcoleman@krcl.com;jcoleman@ecf.courtdrive.com
Joshua W. Wolfshohl	on behalf of Interested Party HCP Life Science Estates Inc. jwolfshohl@porterhedges.com,

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egarfias@porterhedges.com;ysanders@porterhedges.com;eliana-garfias-8561@ecf.pacerpro.com

Joshua W. Wolfshohl

on behalf of Interested Party HCP University Center West LLC jwolfshohl@porterhedges.com
egarfias@porterhedges.com;ysanders@porterhedges.com;eliana-garfias-8561@ecf.pacerpro.com

Joshua W. Wolfshohl

on behalf of Interested Party HCP Life Science REIT Inc. jwolfshohl@porterhedges.com,
egarfias@porterhedges.com;ysanders@porterhedges.com;eliana-garfias-8561@ecf.pacerpro.com

Julie Goodrich Harrison

on behalf of Interested Party Liquidating Trustee julie.harrison@nortonrosefulbright.com

Julie Goodrich Harrison

on behalf of Creditor Committee Official Committee of Unsecured Creditors julie.harrison@nortonrosefulbright.com

Justin Walker

on behalf of Defendant Joseph Giglio justin@walkerlawsd.com

Justin William Randall Renshaw

on behalf of Creditor TDC Northridge LLC justin@renshaw-law.com, kim@renshaw-law.com

Katharine Battaia Clark

on behalf of Interested Party Charles River Laboratories Inc. kclark@thompsoncoburn.com,
smeiners@thompsoncoburn.com;lcarranza@thompsoncoburn.com;ldebardeleben@thompsoncoburn.com;dreinhart@thompsoncoburn.com;hfischer@thompsoncoburn.com;lbrasher@thompsoncoburn.com

Katharine Battaia Clark

on behalf of Interested Party Explora Biolabs Inc. kclark@thompsoncoburn.com
smeiners@thompsoncoburn.com;lcarranza@thompsoncoburn.com;ldebardeleben@thompsoncoburn.com;dreinhart@thompsoncoburn.com;hfischer@thompsoncoburn.com;lbrasher@thompsoncoburn.com

Kristhy M Peguero

on behalf of Debtor Sorrento Therapeutics Inc. kpeguero@jw.com,
kgradney@jw.com;dtrevino@jw.com;jpupo@jw.com;steso@jw.com;dduhon@jw.com

Kristhy M Peguero

on behalf of Debtor Scintilla Pharmaceuticals Inc. kpeguero@jw.com,
kgradney@jw.com;dtrevino@jw.com;jpupo@jw.com;steso@jw.com;dduhon@jw.com

Kristie Duchesne

on behalf of Interested Party Goldman Sachs & Co. LLC kristie.duchesne@riatacg.com

Kyler K Burgi

on behalf of Creditor Koenig Oelsner, Taylor, Schoenfeld & Gaddis PC kyler.burgi@davisgraham.com,
paige.finnell@dgsllaw.com

Leah Maxwell Graham

on behalf of Interested Party Jackson Walker LLP lgraham@rustyhardin.com sdominguez@rustyhardin.com

Leanne O'Donnell

on behalf of Creditor CRB Builders LLC leanne.odonnell.esq@gmail.com, christine.deacon@huschblackwell.com

Maegan Quejada

on behalf of Creditor Prospect Medical Holdings Inc. mquejada@sidley.com,
txefilingnotice@sidley.com;maegan-quejada-3302@ecf.pacerpro.com;efilingnotice@sidley.com

Maria Barbara Mokrzycka

on behalf of Creditor Committee Official Committee of Unsecured Creditors maria.mokrzycka@nortonrosefulbright.com

Marianna Udem

on behalf of Creditor TriLink BioTechnologies LLC mudem@askllp.com, lmiskowicz@askllp.com;kcasteel@askllp.com

Mark Shinderman

on behalf of Debtor Sorrento Therapeutics Inc. mshinderman@milbank.com

Martin P Eramo

on behalf of Debtor Sorrento Therapeutics Inc. mperamo@aol.com

Martin P Eramo

on behalf of Attorney Martin Peter Eramo mperamo@aol.com

Matthew Brian Probus

on behalf of Interested Party Scilex Holding Company matthewprobus@theprobustlawfirm.com
sdianiska@w-plaw.com;wtomlinson@w-plaw.com

Matthew D Cavanaugh

on behalf of Debtor Sorrento Therapeutics Inc. mcavanaugh@jw.com,
kgradney@jw.com;steso@jw.com;dtrevino@jw.com;jpupo@jw.com

Matthew D Cavanaugh

on behalf of Debtor Scintilla Pharmaceuticals Inc. mcavanaugh@jw.com,
kgradney@jw.com;steso@jw.com;dtrevino@jw.com;jpupo@jw.com

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Melinda Hardy	on behalf of Interested Party Securities And Exchange Commission hardym@sec.gov
Michael Berthiaume	on behalf of Interested Party Liquidating Trustee michael.berthiaume@nortonrosefulbright.com
Michaela Christine Crocker	on behalf of Interested Party UBS Securities LLC michaela.crocker@katten.com
Michaela Christine Crocker	on behalf of Interested Party UBS AG michaela.crocker@katten.com
Michaela Christine Crocker	on behalf of Interested Party Interactive Brokers LLC michaela.crocker@katten.com
Michaela Christine Crocker	on behalf of Interested Party Nomura International Trust Company michaela.crocker@katten.com
Michaela Christine Crocker	on behalf of Interested Party Apex Clearing Corporation michaela.crocker@katten.com
Michaela Christine Crocker	on behalf of Interested Party Wedbush Securities Inc. michaela.crocker@katten.com
Michaela Christine Crocker	on behalf of Interested Party UBS Financial Services michaela.crocker@katten.com
Michaela Christine Crocker	on behalf of Interested Party ABN AMRO Clearing USA LLC michaela.crocker@katten.com
Michaela Christine Crocker	on behalf of Defendant UBS Securities LLC michaela.crocker@katten.com
Mitchell Murphy	on behalf of Creditor Indena S.p.A. mitch.murphy@klgates.com
Nelly Almeida	on behalf of Debtor Sorrento Therapeutics Inc. ddunne@milbank.com;jbrewster@milbank.com
Patricia B. Tomasco	on behalf of Creditor Immunotherapy NANTibody LLC and NantCell Inc. pattytomasco@quinnemanuel.com, barbarahowell@quinnemanuel.com;elliellanas@quinnemanuel.com
Paul D Moak	on behalf of Creditor Agilent Biosciences (Hangzhou) Co. Ltd. pmoak@reedsmith.com, rrodriguez@reedsmith.com;ahinson@reedsmith.com
Paul M Green	on behalf of Creditor NantWorks LLC paul@paulmgreen.com
Paul M Green	on behalf of Creditor Patrick Soon-Shiong paul@paulmgreen.com
Peeyush Jain	on behalf of Creditor Silex Microsystems AB pj@jains.us
Rachael L Smiley	on behalf of Creditor UNITEDHEALTHCARE INSURANCE COMPANY rsmiley@fbfk.law eglenn@fbfk.law
Rachel Beth Ommerman	on behalf of Other Prof. Vanguard Marketing Corporation Rachel.ommerman@troutman.com brian.callaway@troutman.com
Re'Necia Sherald	on behalf of Other Prof. Moelis & Company renecia.sherald@haynesboone.com kenneth.rusinko@haynesboone.com;jodi.valencia@haynesboone.com
Robert M Hirsh	on behalf of Interested Party JMB Capital Partners Lending LLC robert.hirsh@nortonrosefulbright.com
Ross Firsenbaum	on behalf of Interested Party State Street Bank and Trust Co. ross.firsenbaum@wilmerhale.com
Russell Hardin, Jr	on behalf of Interested Party Jackson Walker LLP rhardin@rustyhardin.com Iriley@rustyhardin.com
Ruth A Van Meter	on behalf of Defendant Joseph Giglio ruth@vanmeterlaw.com mholmes@haywardfirm.com
Ryan E Manns	on behalf of Creditor Committee Official Committee of Unsecured Creditors ryan.manns@nortonrosefulbright.com
Ryan E Manns	on behalf of Trustee David Weinoffer ryan.manns@nortonrosefulbright.com

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Ryan E Manns	on behalf of Interested Party Liquidating Trustee ryan.manns@nortonrosefulbright.com
Ryan E Manns	on behalf of Creditor Synova Pesquisa Cientifica LTOA ryan.manns@nortonrosefulbright.com
Ryan S Killian	on behalf of Creditor Mayo Clinic Inc. rkillian@shb.com, smrodriguez@shb.com,ryan-killian-6371@ecf.pacerpro.com
Ryan S Killian	on behalf of Creditor Mayo Foundation for Medical Education and Research rkillian@shb.com smrodriguez@shb.com,ryan-killian-6371@ecf.pacerpro.com
Sean Mack	on behalf of Other Prof. Moelis & Company smack@pashmanstein.com
Sean Thomas Wilson	on behalf of Creditor Kilroy L.P. KDWBankruptcyDepartment@kelleydrye.com;mvicinanza@ecf.inforuptcy.com
Sean Thomas Wilson	on behalf of Creditor Kilroy Realty L.P. KDWBankruptcyDepartment@kelleydrye.com;mvicinanza@ecf.inforuptcy.com
Shari L Heyen	on behalf of Creditor Committee Official Committee of Equity Securities Holders heyens@gtlaw.com jamrokg@gtlaw.com
Shari L Heyen	on behalf of Other Prof. Special Committee of Sorrento Therapeutics Inc. heyens@gtlaw.com, jamrokg@gtlaw.com
Shari L Heyen	on behalf of Interested Party Eagle Rock Capital Management Atlas Fundamental Advisors, HZ Investments, LLC, Invictus Global Management, LLC, Kenneth Grossman, Kevin Barnes, Michael Connell and Adam Gui heyens@gtlaw.com, jamrokg@gtlaw.com
Shawn M Christianson	on behalf of Creditor Oracle America Inc. schristianson@buchalter.com, cmcintire@buchalter.com
Simon Richard Mayer	on behalf of Interested Party J.P. Morgan Securities LLC Simon.Mayer@troutman.com Autodocket@lockelord.com
Simon Richard Mayer	on behalf of Defendant J.P. Morgan Securities LLC Simon.Mayer@troutman.com Autodocket@lockelord.com
Simon Richard Mayer	on behalf of Interested Party JPMorgan Chase Bank N.A. Simon.Mayer@troutman.com, Autodocket@lockelord.com
Stephen Matthew Pezanosky	on behalf of Other Prof. Moelis & Company stephen.pezanosky@haynesboone.com kim.morzak@haynesboone.com
Susan Tran Adams	on behalf of Debtor Sorrento Therapeutics Inc. stran@ts-llp.com, stran@ts-llp.com;corraltransinghllp@jubileebk.net;ecf@mpatellaw.com
Susan Alexander Logsdon	on behalf of Broker Edward D. Jones & Company L.P. slogsdon@bressler.com
Susan Alexander Logsdon	on behalf of Broker Well Fargo Clearing Services LLC slogsdon@bressler.com
Susan Alexander Logsdon	on behalf of Broker TradeStation Securities Inc. slogsdon@bressler.com
T. Josh Judd	on behalf of Creditor JB Pacific Inc. jjudd@andrewsmyers.com, sray@andrewsmyers.com
T. Josh Judd	on behalf of Defendant JB Pacific Inc. jjudd@andrewsmyers.com, sray@andrewsmyers.com
Timothy Culberson	on behalf of Interested Party Timothy Culberson tim@culbersonlaw.com
US Trustee	USTPRegion07.HU.ECF@USDOJ.GOV
Veronica Ann Polnick	on behalf of Plaintiff Sorrento Therapeutics Inc. vpolnick@jw.com kgradney@jw.com;dtrevino@jw.com;jpupo@jw.com;steso@jw.com;dduhon@jw.com
William Smelko, II	on behalf of Creditor Procopio Cory, Hargreaves & Savitch LLP bill.smelko@procopio.com, kristina.terlaga@procopio.com;CalendaringBankruptcy@procopio.com
William James Hotze	on behalf of Creditor FTI Consulting Technology LLC whotze@dykema.com

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Total Noticed: 69

William L Siegel

on behalf of Interested Party Shanghai Escugen Biotechnology Co. Ltd bsiegel@cowlesthompson.com,
brodela@cowlesthompson.com

William Steven Bryant

on behalf of Interested Party China Oncology Focus Limited steven.bryant@troutman.com

TOTAL: 173