

**IN THE UNITED STATES BANKRUPTCY COURT
FOR THE SOUTHERN DISTRICT OF TEXAS
HOUSTON DIVISION**

In re:

ATHENEX, INC., et al.,

Debtors.¹

Chapter 11

Case No. 23-90295 (DRJ)

(Jointly Administered)

CERTIFICATE OF SERVICE

I, ARNOLD NGUYEN, hereby certify that:

1. I am employed as a Case Manager by Epiq Corporate Restructuring, LLC, with their principal office located at 777 Third Avenue, New York, New York 10017. I am over the age of eighteen years and am not a party to the above-captioned action.
2. On May 18, 2023, I caused to be served the “Notice of Stock Procedures,” dated May 16, 2023, a copy of which is annexed hereto as Exhibit A, by causing true and correct copies to be:
 - a. enclosed securely in separate postage pre-paid envelopes and delivered via first class mail to those parties listed on the annexed Exhibit B, and
 - b. delivered via electronic mail to those parties listed on the annexed Exhibit C.
3. All envelopes utilized in the service of the foregoing contained the following legend: “LEGAL DOCUMENTS ENCLOSED. PLEASE DIRECT TO THE ATTENTION OF ADDRESSEE, PRESIDENT OR LEGAL DEPARTMENT.”
4. Additionally, on May 18, 2023, I caused to be delivered by next-day delivery to the brokerage firms, banks and agents (the “Nominees”), identified on the annexed Exhibit D, copies of the Notice of Stock Procedures, with instructions for the Nominees to distribute the Notice of Stock Procedures, to the beneficial owners of the Debtors’ public securities. The Notice of Stock Procedures was also sent via e-mail to the Depositories identified on the annexed Exhibit E.

/s/ Arnold Nguyen
Arnold Nguyen

¹ A complete list of each of the Debtors in these Chapter 11 Cases may be obtained on the website of the Debtors’ proposed claims and noticing agent at <https://dm.epiq11.com/athenex>. The location of Athenex, Inc.’s principal place of business and the Debtors’ service address in these Chapter 11 Cases is 1001 Main Street, Suite 600, Buffalo, NY 14203.

EXHIBIT A

ATTENTION DIRECT AND INDIRECT HOLDERS OF, AND PROSPECTIVE HOLDERS OF, (I) STOCK ISSUED BY ATHENEX, INC. AND (II) CERTAIN CLAIMS AGAINST ATHENEX, INC. OR ITS AFFILIATES:

On May 16, 2023], the United States Bankruptcy Court for the Southern District of Texas (the “Court”), having jurisdiction over the chapter 11 cases of Athenex, Inc. (“ATNX”), and its affiliates (collectively, the “Debtors”), captioned as *In re Athenex, Inc., et al.*, Case No. 23-90295 (DRJ) (the “Chapter 11 Cases”), entered an order establishing procedures (the “Stock Procedures”)¹ with respect to (i) transfers in the beneficial ownership (including directly or indirectly) of, and claiming a worthless stock deduction with respect to the beneficial ownership of, stock of the Debtors (“ATNX Stock”) and options to acquire beneficial ownership of ATNX Stock. *See Order (I) Establishing Notification Procedures and Approving Restrictions on (A) Certain Transfers of Interests in Debtors and (B) Certain Worthless Stock Deduction Claims; and (II) Granting Related Relief* [Docket No. 65] (the “Order”).²

In certain circumstances, the procedures restrict transactions involving, and require notices of the holdings of and proposed transactions by, any person, group of persons, or entity that either (i) is a Substantial Stockholder of ATNX Stock or (ii) as a result of such a transaction, would become a Substantial Stockholder of ATNX Stock or (iii) claims by any Majority Holder of a worthless stock deduction under section 165 of the Internal Revenue Code with respect to the beneficial ownership of ATNX Stock (a “Worthless Stock Deduction”). For purposes of the Stock Procedures, a “Substantial Stockholder” is any person or entity (within the meaning of applicable U.S. Treasury regulations, including certain persons making a coordinated acquisition) that beneficially owns at least 413,903 shares of ATNX Stock (representing approximately 4.75% of all issued and outstanding common shares as of the Petition Date (approx. 8,713,754 shares)), or and a “Majority Holder” shall mean any person that either (i) beneficially owned at any time since December 31, 2019 at least 1,743,882 shares of ATNX Stock (representing approximately 45.0% of the lowest amount of outstanding shares of ATNX Stock at any time since that date (approx. 3,875,294 shares)), or (ii) would be a “50-percent shareholder” (within the meaning of section 382(g)(4)(D) of the Tax Code) of ATNX Stock if such person claimed a Worthless Stock Deduction on its federal income tax return at any time on or after the Petition Date. ***Any prohibited acquisition or other transfer of, or claim of a Worthless Stock Deduction with respect to, ATNX Stock (including options to acquire beneficial ownership of ATNX Stock) will be null and void ab initio and may lead to contempt, compensatory damages, punitive damages, or sanctions being imposed by the Bankruptcy Court.***

In addition, the Debtors have requested approval of additional Claims Procedures, to be considered at a continuation of the hearing, that set forth certain circumstances under which any person, group of persons, or entity that has acquired or, as a result of a proposed transaction would acquire, beneficial ownership of a substantial amount of claims against the Debtors can be required (i) to file notice of their holdings of such claims and of such proposed transaction, which transaction

¹ The Stock Procedures are annexed to the Order (defined herein) as Exhibit 1.

² Capitalized terms used but not otherwise defined herein shall have the meanings ascribed to such terms in the Order and the Stock Procedures.

may be restricted, and (ii) upon a subsequent order of the Bankruptcy Court, after notice and hearing, to sell, by a specified date following the confirmation of a chapter 11 plan of the Debtors, all or a portion of any claims acquired during the Chapter 11 Cases.

The Stock Procedures, are available on the website of the Debtors' Court-approved claims agent, Epiq Corporate Restructuring, LLC located at <https://dm.epiq11.com/athenex>, and also on docket of the Chapter 11 Cases, Docket No. 23-90259 (DRJ), which can be accessed via PACER at <https://www.pacer.gov>.

PLEASE TAKE FURTHER NOTICE that the continuation of the hearing to consider the Claims Procedures shall be held on **June 15, 2023, at 11:00 a.m. (Central Time)** and any objections or responses to the Motion shall be in writing, filed with the Court and served upon (i) proposed counsel to the Debtors, Pachulski Stang Ziehl & Jones LLP, at 440 Louisiana Ave., Suite 900, Houston Texas, 77002, Attn: Michael D. Warner (mwarner@pszjlaw.com); (ii) the Office of the United States Trustee for the Southern District of Texas, 515 Rusk Street, Suite 3516, Houston, Texas 77002; (iii) counsel for Oaktree Fund Administration, LLC, Sullivan & Cromwell LLP, 125 Broad Street, New York, NY 10004-2498, Attn: Ari B. Blaut (blauta@sullcrom.com), Daniel R. Loeser (loeserd@sullcrom.com), Benjamin S. Beller (bellerb@sullcrom.com), and Bracewell LLP, Attn: Mark E. Dendinger (mark.dendinger@bracewell.com), Jonathan Lozano (jonathan.lozano@bracewell.com); and counsel for any statutory committee of unsecured creditors appointed in these cases in each case so as to be received no later than **4:00 p.m. on June 9, 2023**.

PLEASE TAKE FURTHER NOTICE that the requirements set forth in the Stock Procedures are in addition to the requirements of Bankruptcy Rule 3001(e) and applicable securities, corporate, and other laws, and do not excuse non-compliance therewith.

A direct or indirect holder of, or prospective holder of, ATNX Stock that may be or become a Substantial Stockholder, or a direct or indirect holder of, or prospective holder of, a substantial amount of claims against the Debtors, should consult the Stock Procedures.

Dated: May 16, 2023

BY ORDER OF THE COURT

EXHIBIT B

Claim Name	Address Information
ACS DOBFAR	MARCO VACCARI, PAOLO VIGEVANI VIALE ADDETTA, 6 TRIBIANO, MI 20067 ITALY
ARNOLD & PORTER	KENNETH HAMILTON 6200 SAVOY DRIVE SUITE 1200 HOUSTON TX 77036
AVET PHARMACEUTICALS INC.	AKEISHA EDWARDS, JULIANA WHITE ONE TOWER CENTER BLVD SUITE 1700 EAST BRUNSWICK NJ 08816
BAYLOR COLLEGE OF MEDICINE	MICHAEL B. DILLING ONE BAYLOR PLAZA HOUSTON TX 77030-3411
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CHONGQING TAIHAO PHARMACEUTICAL	AMY WU C-3 HIGH TECHNOLOGY ZONE 105 CHUANGYE RD. ERLANG CHONGQING 400039 CHINA
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MAIVA PHARMA PRIVATE LIMITED	SELLARAJ PANDIYAN 32, SIPCOT INDUSTRIAL COMPLEX PHASE I HOSUR 635126 INDIA

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Total Creditor count 122

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ANNALISA MARY JENKINS	ADDRESS ON FILE
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AVALON POLYTOM LIMITED	UNITS 11-13 & 15 15/F TOWER 2, GRAND CENTRAL PLAZA 138 SHATIN RURAL COMMITTEE ROAD SHATIN NT HONG KONG
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BETTY A GALLAGHER	ADDRESS ON FILE
BHARAT C THAKRAR	ADDRESS ON FILE
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CARRIE KENNER	ADDRESS ON FILE
CARTER G GANTZ	ADDRESS ON FILE
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CHENG ALBERT FENG	ADDRESS ON FILE
CHIA YU CHANG	ADDRESS ON FILE
CLYDE SALANDRA	ADDRESS ON FILE
CROWLEY FAMILY TRUST	ADDRESS ON FILE
DAN HIGBEE	ADDRESS ON FILE
DAVID A BANGERT	ADDRESS ON FILE
DAVID GUIDO	ADDRESS ON FILE
DAVID J ALTMAN	ADDRESS ON FILE
DEBORAH LIPP	ADDRESS ON FILE
DIANE J MCMAHON	ADDRESS ON FILE
DOUGLAS COX	ADDRESS ON FILE
EDRYCE H CADDEN	ADDRESS ON FILE
EDWARD PIONKE	ADDRESS ON FILE
EDWARD T PLATA	ADDRESS ON FILE
ELIZABETH EVANS	ADDRESS ON FILE
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FRANK H PENSKI	ADDRESS ON FILE
GARTH D GALLAGHER	ADDRESS ON FILE
GEORGE M NARBY	ADDRESS ON FILE
GREGORY P OHARA	ADDRESS ON FILE
GUY PLONKA	ADDRESS ON FILE
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HOLLY JANE EMERSON	ADDRESS ON FILE
HORACE LOH	ADDRESS ON FILE
HUGO WILLIAM AVILA	ADDRESS ON FILE
ILDIKO BEZI	ADDRESS ON FILE
IRENE VASQUEZ	ADDRESS ON FILE
JACOBO SABBAJ & PERLA SABBAJ	ADDRESS ON FILE
JEFFREY W SACKS	ADDRESS ON FILE
JENNIFER A EMBERLY	ADDRESS ON FILE
JENNIFER G VAN HAALL	ADDRESS ON FILE
JENNIFER KURZDORFER	ADDRESS ON FILE

Claim Name	Address Information
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JINN WU	ADDRESS ON FILE
JOHN M. VIERLING, MD	ADDRESS ON FILE
JOHN P PATTI JR	ADDRESS ON FILE
JOHNSON LAU	ADDRESS ON FILE
JORGE G GUERRA & ELSA D GUERRA	ADDRESS ON FILE
JOSE LEON ANTONIO ARANGO	ADDRESS ON FILE
JOSEPH VOELKL	ADDRESS ON FILE
JULIE ULRICH	ADDRESS ON FILE
JUNG-TZU HUS	ADDRESS ON FILE
KAREN FRISELLA	ADDRESS ON FILE
KAREN GATEWOOD	ADDRESS ON FILE
KATHLEEN SARDINA	ADDRESS ON FILE
KENT KEATING	ADDRESS ON FILE
KIRIT C THAKRAR	ADDRESS ON FILE
KRISTIN TOMAS	ADDRESS ON FILE
LARRY YUSHIAO	ADDRESS ON FILE
MAIN LIFE CORPORATION LIMITED	9/F WINNING CENTRE 46-48 WYNDHAM STREET CENTRAL HONG KONG HONG KONG
MANDRA HEALTH LIMITED	ATTN BEN TANG 10/F FUNG HOUSE 19-20 CONNAUGHT ROAD CENTRAL HONG KONG
MANSON FOK	ADDRESS ON FILE
MARY ANNE FURLANI	ADDRESS ON FILE
MICHAEL J ENDL	ADDRESS ON FILE
MICHAEL SMOLINSKI	ADDRESS ON FILE
MICHELLE L REDMAN	ADDRESS ON FILE
MIN-FUN RUDOLF KWAN	ADDRESS ON FILE
MONICA H SUSSMAN	ADDRESS ON FILE
MONIKA SOKOLOWSKI	ADDRESS ON FILE
MURRAY JOHN CUTLER	ADDRESS ON FILE
MUSTAFA LADHA	ADDRESS ON FILE
NAME ON FILE	ADDRESS ON FILE
NORMAN J GANTZ	ADDRESS ON FILE
PATRICK GALLAGHER	ADDRESS ON FILE
PERCEPTIVE LIFE SCIENCES MASTER FUND LTD	C/O PERCEPTIVE ADVISORS LLC ATTN STEVE BERGER 51 ASTOR PLACE 10TH FLOOR NEW YORK NY 10003
RAYMOND LYNNWORTH &	ADDRESS ON FILE
RICHARD C STODDARD	ADDRESS ON FILE
RICHARD F LANGAN JR	ADDRESS ON FILE
ROBERT CABANA	ADDRESS ON FILE
ROBERT J. SPIEGEL	ADDRESS ON FILE
ROSARIO DE JESUS CARRILLO	ADDRESS ON FILE
RUSSELL JEFFREY BODNER	ADDRESS ON FILE
SADASHIV S SHENOY	ADDRESS ON FILE
SAMEER URGONKAR	ADDRESS ON FILE
SAMUEL ZWIERZCHOWSKI	ADDRESS ON FILE
STEPHANIE DAVIS	ADDRESS ON FILE
STEPHEN J WALLACE	ADDRESS ON FILE
STEPHEN M MELTZ	ADDRESS ON FILE
STEPHEN M NEWMAN	ADDRESS ON FILE
STEVEN G KAMEN TOD	ADDRESS ON FILE

Claim Name	Address Information
SUSAN S ROBFOGEL	ADDRESS ON FILE
TAMARA B OWEN	ADDRESS ON FILE
THOMAS C UNDERWOOD	ADDRESS ON FILE
THOMAS R ELMER JR TOD	ADDRESS ON FILE
TIFFANY NOLAN	ADDRESS ON FILE
TIMOTHY D COOK	ADDRESS ON FILE
TOM TROMETER	ADDRESS ON FILE
TRIWU PROPERTY MANAGEMENT LLC	ATTN MICHAEL MAZZONE MANAGER 1322 S WABASH AVE UNIT A CHICAGO IL 60605
TSANG BENSON KWAN HUNG	ADDRESS ON FILE
USHA GANATRA	ADDRESS ON FILE
VARDA ULHAQ	ADDRESS ON FILE
WAYNE MERTZ	ADDRESS ON FILE
WILL MURRAY	ADDRESS ON FILE

Total Creditor count 108

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U.S VIRGIN ISLANDS ATTORNEY GENERAL	info@usvidoj.com
VIZIENT SUPPLY LLC	carlos.barboza@vizientinc.com

EXHIBIT D

Claim Name	Address Information
ABN AMROCC (0695)	ATT PROXY DEPT 175 W. JACKSON BLVD STE 2050 CHICAGO IL 60605
AEIS (0756)	ATT GREG WRAALSTAD/PROXY MGR 901 3RD AVE SOUTH MINNEAPOLIS MN 55474
AXOS CLEARING (0052)	ATT CORPORATE ACTIONS DEPT 1200 LANDMARK CTR, STE. 800 OMAHA NE 68102-1916
BANK OF NEW YORK MELLON (0901)	ATT EVENT CREATION 500 GRANT ST ROOM 151-1700 PITTSBURGH PA 15258
BARCLAYS CAPITAL INC. (0229)	ATT CORPORATE ACTIONS/REORG 745 7TH AV, 3RD FL NEW YORK NY 10019
BMO NESBITT BURNS /CDS (5043)	ATT PHUTHORN PENIKETT 250 YONGE ST., 14TH FL TORONTO ON M5B 2M8 CANADA
BNP PARIBAS, NY BRANCH (2147)	ATT PROXY DEPT 525 WASHINGTON BLVD 9TH FL JERSEY CITY NJ 07310
BOFA SECS (0161)	ATT EARL WEEKS OR PROXY DEPT C/O MERRILL LYNCH CORP ACTIONS 4804 DEER LAKE DR. E. JACKSONVILLE FL 32246
BROADRIDGE	JOB: N88119 51 MERCEDES WAY EDGEWOOD NY 11717
BROWN BROS HARRIMAN & CO(0010)	ATT CORPORATE ACTIONS / VAULT 140 BROADWAY NEW YORK NY 10005
CHARLES SCHWAB & CO. (0164)	ATT CHRISTINA YOUNG/PROXY MGR 2423 EAST LINCOLN DR PHOENIX AZ 85016-1215
CIBC WORLD MKTS. /CDS (5030)	ATT REED JON OR PROXY DEPT 22 FRONT ST. W. 7TH FL TORONTO ON M5J 2W5 CANADA
CITIBANK, N.A. (0908)	ATT SHERIDA SINANAN/PROXY DEPT 3801 CITIBANK CTR B/3RD FL/ZONE 12 TAMPA FL 33610
DEPOSITORY TST CO.	ROBERT GIORDANO 570 WASHINGTON BLVD JERSEY CITY NJ 07310
EDWARD JONES (0057)	ATT DEREK ADAMS OR PROXY DEPT CORPORATE ACTS & DISTRIBUTION 12555 MANCHESTER RD ST. LOUIS MO 63131
ETRADE/APEX (0158/0385)	C/O BROADRIDGE SECS PROCESSING YASMINE CASSEUS, 2 GATEWAY CTR 283-299 MARKET ST - 16TH FL NEWARK NJ 07102
GOLDMAN SACHS (0005)	ATT MEGHAN SULLIVAN/PROXY DEPT 30 HUDSON ST JERSEY CITY NJ 07302
INTERACTIVE BROKERS (0534)	ATT KARIN MCCARTHY/PROXY DEPT 2 PICKWICK PLAZA, 2ND FL GREENWICH CT 06830
J.P. MORGAN/CLEARING (0352)	ATT CORPORATE ACTIONS TEAM 500 STANTON CHRISTIANA RD. NCC5 FL3 NEWARK DE 19713
LPL FIN CORP (0075)	ATT CORPORATE ACTIONS 1055 LPL WAY FORT MILL SC 29715
MEDIANT COMMUNICATIONS	JOB: 2124750 STEPHANY HERNANDEZ 100 DEMAREST DR WAYNE NJ 07470
MORGAN STANLEY & CO. (0050)	ATT MS PROXY DEPT 1300 THAMES ST WHARF BALTIMORE MD 21231
NATL FIN SVCS. (0226)	ATT SEAN COLE OR PROXY DEPT NEWPORT OFFICE CTR III 499 WASHINGTON BLVD JERSEY CITY NJ 07310
NORTHERN TST CO, THE (2669)	ATT ANDREW LUSSEN OR PROXY MGR 801 S. CANAL ST ATT: CAPITAL STRUCTURES-C1N CHICAGO IL 60607
OPPENHEIMER & CO. INC. (0571)	ATT COLIN SANDY OR PROXY MGR 85 BROAD ST, 4TH FL NEW YORK NY 10004
PERSHING (0443)	ATT JOSEPH LAVARA/PROXY DEPT 1 PERSHING PLAZA JERSEY CITY NJ 07399
QUESTRAD INC./CDS (5084)	ATT AL NANJI OR PROXY MGR 5650 YONGE ST TORONTO ON M2M 4G3 CANADA
RAYMOND JAMES ASSOC INC (0725)	ATT ROBERTA GREEN OR PROXY MGR 880 CARILION PKWY TOWER 2, 4TH FL ST. PETERSBURG FL 33716
RBC CAPITAL MKTS CORP (0235)	ATT STEVE SCHAFER OR PROXY MGR 60 S 6TH ST - P09 MINNEAPOLIS MN 55402-1106
ROBINHOOD SECS, LLC (6769)	ATT MEHDI TAIFI 500 COLONIAL CTR PKWY #100 LAKE MARY FL 32746
SCOTIA CAPITAL /CDS (5011)	ATT EVELYN PANDE OR PROXY DEPT SCOTIA PLAZA 40 KING ST W, 23RD FL TORONTO ON M5H 1H1 CANADA
STATE ST (0997)	ATT PROXY DEPT 1776 HERITAGE DR NORTH QUINCY MA 02171
TD AMERITRADE CLEARING (0188)	ATT MANDI FOSTER OR PROXY MGR 200 S. 108TH AVE OMAHA NE 68154
TDWATERHOUSE CANADA/CDS (5036)	ATT YOUSUF AHMED OR PROXY MGR 77 BLOOR ST WEST 3RD FL TORONTO ON M4Y 2T1 CANADA
TRADESTATION SECS (0271)	ATT CORPORATE ACTIONS 8050 SW 10TH ST, STE 2000 PLANTATION FL 33324
UBS FIN SVCS LLC (0221)	ATT PROXY DEPT - JANE FLOOD 1000 HARBOR BLVD WEEHAWKEN NJ 07086
VANGUARD MARKETING CORP (0062)	ATT BEN BEGUIN OR PROXY MGR 14321 N. NORTHSIGHT BLVD SCOTTSDALE AZ 85260
VELOCITY CLEARING (0294)	ALFRED PENNISI OR PROXY MGR 100 WALL ST 26TH FL NEW YORK NY 10005
VISION FIN MKTS LLC (0595)	ATT OPS DEPT 120 LONG RIDGE RD, 3 NORTH STAMFORD CT 06902
WELLS FARGO CLEARSVCS (0141)	ATT PROXY DEPT H0006-08N 2801 MARKET ST ST. LOUIS MO 63103

Claim Name

Address Information

Total Creditor count 40

EXHIBIT E

ATHENEX
SERVICE LIST

Claim Name	Email Address
CLEARSTREAM BANKING AG (2000)	CA_MANDATORY@CLEARSTREAM.COM
DEPOSITORY TRUST COMPANY	LEGALANDTAXNOTICES@DTCC.COM; MANDATORYREORGANNOUNCEMENTS@DTCC.COM; RGIORDANO@DTCC.COM
EUROCLEAR BANK SA/NV (1970)	EB.CA@EUROCLEAR.COM

Total Creditor count 3