



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121

Note to Stockholders of Scilex Holding Company (Scilex): In connection with the dividend by Scilex’s controlling stockholder, Sorrento Therapeutics, Inc. (Sorrento), of shares of Scilex common stock held by Sorrento, Sorrento has issued the below “Supplement to Frequently Asked Questions” regarding such dividend. This information is also available on Sorrento’s website at www.sorrentotherapeutics.com.

**SUPPLEMENT TO
FREQUENTLY ASKED QUESTIONS
REGARDING THE DIVIDEND OF SCILEX HOLDING COMPANY COMMON STOCK BY
SORRENTO THERAPEUTICS, INC.**

This supplement is a supplement to the Frequently Asked Questions Regarding the Dividend of Scilex Holding Company Common Stock by Sorrento Therapeutics, Inc. (Sorrento) that was issued by Sorrento on January 29, 2023 (the FAQ), a copy of which can be found under the “Investors” section of its website at www.sorrentotherapeutics.com.

This supplement is being issued to update and supplement the information in the FAQ to notify investors regarding certain matters relating to the dividend and reiterate certain questions and answers from the FAQ. Capitalized terms used in this supplement shall have their respective meanings set forth in the FAQ.

NOTICE OF REMOVAL OF CONTRA-CUSIP BY DTCC

Effective as of February 2, 2023, the Depository Trust and Clearing Corporation (DTCC) has removed the “contra-CUSIP” that it had previously imposed on the Dividend Stock. Any shares of Dividend Stock held by your brokerage firm, bank, dealer or other similar organization for your benefit now bear only Scilex’s CUSIP number, which is 80880W106. If you are entitled to receive Dividend Stock, please contact your brokerage firm, bank, or other similar organization immediately to confirm that the CUSIP number appears on your brokerage statement with respect to your Dividend Stock.

**NOTICE TO BROKERAGE FIRMS, BANKS, DEALERS AND OTHER SIMILAR
ORGANIZATIONS**

If the name of your firm, bank or other similar organization is set forth on Annex B of the FAQ, which Annex B is repeated below for convenience, and your firm, bank or similar organization has not received the Dividend Confirmation that was mailed to your firm, bank or similar organization, please contact Scilex’s transfer agent immediately to obtain a copy of the Dividend Confirmation. Scilex’s transfer agent’s contact information is as follows:

Continental Stock Transfer & Trust Company
Telephone Number: 800-509-5586
Email Address: cstmail@continentalstock.com

Several major brokers have confirmed to Sorrento and Scilex that they are adding the Scilex share positions to the individual brokerage accounts of Sorrento shareholders receiving the Dividend Stock.



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121

SUPPLEMENTAL QUESTION AND ANSWER

Q: If I loaned my shares of Sorrento common stock to short sellers or any other party as of the Record Date, am I still entitled to receive Dividend Stock as of the Payment Date?

A: Only Record Holders as of the Record Date are entitled to receive the Dividend Stock. If you were the Record Holder as of the Record Date and are entitled to receive the Dividend Stock, but have not received the Dividend Stock, you may be entitled to receive Dividend Stock from the short seller or other party who borrowed your shares of Sorrento common stock, whether through the lending programs implemented by your brokerage firm, bank, dealer and other similar organization or otherwise. **If you were a Record Holder as of the Record Date and have not received your Dividend Stock, please consult with your financial advisor, broker or other agent immediately to determine how to receive your Dividend Stock.**

Annex B

Broker List

<u>Broker Name</u>	<u>Broker Address</u>
ABN AMRO CLEARING CHICAGO LLC	175 WEST JACKSON BLVD. CHICAGO IL ILLINOIS 60604 US
AMALGAMATED BANK	275 7TH AVENUE NEW YORK NY NEW YORK 10003 US
APEX CLEARING CORPORATION	2 GATEWAY CENTER 283-299 MARKET ST 16TH FLOOR NEWARK NJ NEW JERSEY 07102-5005 US
BANK OF NEW YORK MELLON	111 SANDERS CREEK PARKWAY 2ND FLOOR 2ND FLOOR EAST SYRACUSE

<u>Broker Name</u>	<u>Broker Address</u>
Albert Fried & Company LLC	45 BROADWAY, 24TH FLOOR 24TH FLOOR NEW YORK NY NEW YORK 10006 US
AMERICAN ENTERPRISE INVESTMENT SERVICES INC.	682 AMERIPRISE FINANCIAL CENTER MINNEAPOLIS MN MINNESOTA 55474 US
BANK OF AMERICA, NA/GWIM TRUST OPERATIONS	901 MAIN STREET 12TH FLOOR DALLAS TX TEXAS 23113 US
BARCLAYS CAPITAL INC.	DTC CUSTODY PARTICIPANT- NY WINDOW -570 WASHINGTON BLVD (ATTN: ROSA HICKS-MILLER OR ROBERT



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121



<u>Broker Name</u>	<u>Broker Address</u>
	NY NEW YORK 13057 US.
BARCLAYS CAPITAL INC.	DTC CUSTODY PARTICIPANT- NY WINDOW -570 WASHINGTON BLVD (ATTN: ROSA HICKS- MILLER OR ROBERT MENDEZ JERSEY CITY NJ NEW JERSEY 07310 US
BMO HARRIS BANK NA/TRUST	11270 W PARK PL MILWAUKEE WI WISCONSIN 53224 US
BNP PARIBAS, NEW YORK BRANCH/BNP PARIBAS PRIME BROKERAGE CUSTODIAN	100 WEST 33RD STREET 3RD FLOOR NEW YORK NY NEW YORK 10001
BNY MELLON	PO BOX 392002 500 ROSS STREET PITTSBURGH PA PENNSYLVANIA 15262 US
BNYMELLON	111 SANDERS CREEK PARKWAY 2ND FLOOR 2ND FLOOR EAST SYRACUSE NY NEW YORK 13057 US

<u>Broker Name</u>	<u>Broker Address</u>
	MENDEZ JERSEY CITY NJ NEW JERSEY 07310 US
BMO CAPITAL MARKETS CORP.	3 2ND STREET 12TH FLOOR JERSEY CITY NJ NEW JERSEY 07302 US
BMO Nesbitt Burns Inc., Toronto	250 YONGE STREET, 7TH FLOOR 7TH FLOOR TORONTO ON ONTARIO M5B 2M8 CA CANADA
BNP PARIBAS, NEW YORK BRANCH/BNP PARIBAS PRIME BROKERAGE CUSTODIAN	100 WEST 33RD STREET 3RD FLOOR NEW YORK NY NEW YORK 10001
BNY MELLON/WEALT H MANAGEMENT	1 FREEDOM VALLEY DRIVE OAKS PA PENNSYLVANIA 19456 US
BNYMELLON/RE BARCLAYS CAPITAL SECURITIES LTD.	ONE WALL STREET NEW YORK NY NEW YORK 10286



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121



<u>Broker Name</u>	<u>Broker Address</u>
BNYMELLON/RE CACEIS BANK LUXEMBOURG	500 Grant St. BNY Mellon Center PITTSBURGH PA PENNSYLVANIA 15258
BNYMELLON/RE CHARLES STANLEY AND COMPANY, LIMITED	111 SANDERS CREEK PARKWAY 2ND FLOOR 2ND FLOOR EAST SYRACUSE NY NEW YORK 13057 US
BNYMELLON/RE WINTERFLOOD SECURITIES LTD	500 Grant St. BNY Mellon Center PITTSBURGH PA PENNSYLVANIA 15258
BOFA	4804 Deer Lake Drive East FL9-803-04-04- 4th floor JACKSONVILLE FL FLORIDA 32246 US
BROWN BROTHERS HARRIMAN & CO.	140 BROADWAY ATTN: CORPORATE ACTIONS VAULT NEW YORK NY NEW YORK 10005 US
CALDWELL SECURITIES LTD./CDS**	55 UNIVERSITY AVENUE SUITE 340 TORONTO ON ONTARIO M5J 2H7 CANADA

<u>Broker Name</u>	<u>Broker Address</u>
BNYMELLON/RE CACEIS BANK, NETHERLANDS	111 SANDERS CREEK PARKWAY EAST SYRACUSE NY NEW YORK 13057
BNYMELLON/RE ETF - ISHARES DTC/NSCC	111 SANDERS CREEK PARKWAY EAST SYRACUSE NY NEW YORK 13057
BOFA	4804 Deer Lake Drive East FL9-803-04-04- 4th floor JACKSONVILLE FL FLORIDA 32246 US
BOFA SECURITIES INC	4804 Deer Lake Drive East FL9-803-04-04- 4th floor JACKSONVILLE FL FLORIDA 32246 US
BROWN BROTHERS HARRIMAN & CO./ETF	140 BROADWAY NEW YORK NY NEW YORK 10005
CANACCORD GENUITY CORP.	609 GRANVILLE ST VANCOUVER BC BRITISH COLUMBIA V7Y 1H2 CA CANADA



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121

<u>Broker Name</u>	<u>Broker Address</u>
CANTOR, FITZGERALD & CO.	135 E 57TH ST 5TH FL NEW YORK NY NEW YORK 10041 US
CETERA INVESTMENT SERVICES LLC	400 FIRST STREET SOUTH, SUITE 300 SUITE 300 ST. CLOUD MN MINNESOTA 56302-0283 US
CI INVESTMENT SERVICES INC.	199 BAY STREET SUITE 2600 TORONTO ON ONTARIO M5L 1E2 CA CANADA
CITIBANK, N.A./ETF	3800 CITIGROUP CENTER B2/2 TAMPA FL FLORIDA 33610
CITIGROUP GLOBAL MARKETS, INC.	580 CROSSPOINT PARKWAY GETZVILLE NY NEW YORK 14068 US
CLEARSTREET IO	55 BROADWAY (SUITE 2102) CORPORATE ACTIONS NEW YORK NEW YORK 10006 US
COR CLEARING LLC	9300 UNDERWOOD AVE SUITE 400

<u>Broker Name</u>	<u>Broker Address</u>
CDS CLEARING AND DEPOSITORY SERVICES INC.	100 ADELAIDE STREET WEST TORONTO ON ONTARIO M5H 1S3 CA CANADA
CHARLES SCHWAB & CO., INC.	211 MAIN STREET SAN FRANCISCO CA CALIFORNIA 94105 US
CIBC WORLD MARKETS INC./CDS**	161 BAY STREET 10 FL TORONTO ON ONTARIO M5J 2S8 CA CANADA
CITIBANK, NATIONAL ASSOCIATION	3800 CITIBANK CENTER TAMPA BLDG.B FIRST FLOOR ZONE 8 TAMPA FL FLORIDA 33610-9122 US
CLEAR STREET LLC	4 World Trade Center, 45th Floor 150 Greenwich Street NEW YORK NY NEW YORK 10007
COMMERCE BANK	922 WALNUT STREET MAIL STOP TBTS-2 KANSAS CITY MO MISSOURI 64106 US
Credential Securities Inc.	800-1111 WEST GEORGIA STREET VANCOUVER



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121

<u>Broker Name</u>	<u>Broker Address</u>
	OMAHA NE NEBRASKA 68114 US
CREST INTERNATIONAL NOMINEES LIMITED	33 CANNON STREET LONDON EC4M 5SB GB UNITED KINGDOM
D.A. DAVIDSON & CO.	8 3RD STREET NORTH GREAT FALLS MT MONTANA 59401 US
DESJARDINS SECURITIES INC.	1253 McGill College 10TH FLOOR MONTREAL QUEBEC H3B 2Y5 CA CANADA
DEUTSCHE BANK SECURITIES INC.	60 WALL STREET 9TH FLOOR NEW YORK NY NEW YORK 10005 US
E*TRADE CLEARING LLC	HARBORSIDE FINANCIAL CENTER 501 PLAZA 11 JERSEY CITY NJ NEW JERSEY 07311 US
EDWARD D. JONES & CO., L.P.	201 PROGRESS PARKWAY MARYLAND HEIGHTS MO MISSOURI 63043 US

<u>Broker Name</u>	<u>Broker Address</u>
	BC BRITISH COLUMBIA V6E 4T6 CA CANADA
CURVATURE SECURITIES, LLC	39 MAIN STREET CHATHAM NJ NEW JERSEY 07928 US
DEPOSITO CENTRAL DE VALORES S.A., DEPOSITO DE VALORES	AVENIDA APOQUINDO # 4001 FLOOR 12, C.P. 7550162, SANTIAGO CL CHILE
DEUTSCHE BANK AG NY/US CUSTODY	1251 Avenue Of The Americas NEW YORK NY NEW YORK 10020
DRIVEWEALTH, LLC	15 EXCHANGE PLACE 10TH FLOOR JERSEY CITY NEW JERSEY 07302
EDWARD D. JONES & CO., L.P.	12555 MANCHESTER ROAD ST. LOUIS MO MISSOURI 63131-3729 US
FIDELITY CLEARING CANADA ULC/CDS**	483 BAY ST. SOUTH TOWER TORONTO ON ONTARIO M5G2N7 CA CANADA



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121

<u>Broker Name</u>	<u>Broker Address</u>
FIFTH THIRD BANK	5001 KINGSLEY DRIVE MAIL DROP 1MOB28 CINCINNATI OH OHIO 45227 US
FUTU CLEARING INC.	12750 Merit Drive SUITE 475 DALLAS TX TEXAS 75251
GOLDMAN, SACHS & CO. LLC	222 SOUTH MAIN STREET Attn: Mandatory Corporate Actions SALT LAKE CITY UT UTAH 84101 US
HILLTOP SECURITIES INC.	1201 ELM ST. 35TH FLOOR DALLAS TX TEXAS 75270 US
HSBC BANK USA, NA/HSBC CUSTODY & CLEARING SERVICES FOR STOCK LOAN	452 FIFTH AVENUE ATTN: HBUS CCS SETTS NEW YORK NY NEW YORK 10018 US
INTERACTIVE BROKERS LLC	2 PICKWICK PLAZA 2ND FLOOR GREENWICH CT CONNECTICUT 06830 US

<u>Broker Name</u>	<u>Broker Address</u>
FOLIO INVESTMENTS, INC.	8180 GREENSBORO DRIVE 8TH FLOOR MCLEAN VA VIRGINIA 22102 US
GMP SECURITIES L.P.	145 KING STREET WEST, SUITE 300 11TH FLOOR TORONTO ON ONTARIO M5J 1J8 CA CANADA
HAYWOOD SECURITIES INC./CDS**	200 BURRARD ST WATERFRONT CENTRE SUITE 700 VANCOUVER BC BRITISH COLUMBIA V6C 3L6 CANADA
HRT FINANCIAL LLC	150 GREENWICH STREET (ATTN: SETTLEMENT) FOUR WORLD TRADE CENTER 57TH FLOOR NEW YORK NY NEW YORK 10007 US
HSBC BANK USA, NATIONAL ASSOCIATION	452 FIFTH AVENUE ATTN: HBUS CCS SETTS NEW YORK NEW YORK 10018 US
J.P. MORGAN CHASE BANK NA/FBO BLACKROCK CTF	1111 POLARIS PARKWAY COLUMBUS OH OHIO 43240



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121



<u>Broker Name</u>	<u>Broker Address</u>
J.P. MORGAN CLEARING CORP.	FOUR CHASE METROTECH CENTER 3RD FLOOR BROOKLYN NY NEW YORK 11201 US
JEFFERIES LLC	101 HUDSON STREET, 11th Floor NEW JERSEY NJ NEW JERSEY 07302 US
JPMORGAN CHASE BANK/EUROCLEAR BANK	FOUR CHASE METROTECH CENTER 3RD FLOOR BROOKLYN NY NEW YORK 11245 US
KEYBANK NATIONAL ASSOCIATION	4900 TIEDEMAN RD BROOKLYN OH OHIO 44144 US
LPL FINANCIAL LLC	4707 EXECUTIVE DRIVE SAN DIEGO CA CALIFORNIA 92121 US
MANULIFE SECURITIES INCORPORATED	1235 NORTH SERVICE ROAD WEST OAKVILLE ON ONTARIO L6M 2W2 CA CANADA
MERRILL LYNCH, PIERCE, FENNER &	4804 Deer Lake Drive East FL9-803-04-04- 4th floor JACKSONVILLE

<u>Broker Name</u>	<u>Broker Address</u>
JANNEY MONTGOMERY SCOTT LLC	1717 ARCH STREET 17TH FLOOR PHILADELPHIA PA PENNSYLVANIA 19103 US
JPMORGAN CHASE BANK, NATIONAL ASSOCIATION	FOUR CHASE METROTECH CENTER 3RD FLOOR BROOKLYN NY NEW YORK 11201 US
JPMORGAN CHASE BANK/IA	FOUR CHASE METROTECH CENTER 3RD FLOOR BROOKLYN NY NEW YORK 11201 US
LAURENTIAN BANK SECURITIES INC.	1981 MCGILL COLLEGE AVE. SUITE 100 MONTREAL QUEBEC H3A 3K3 CA CANADA
MANUFACTURERS AND TRADERS TRUST COMPANY	ONE M&T PLAZA TRUST OPS 8TH FLOOR BUFFALO NY NEW YORK 14203 US
MARSCO INVESTMENT CORPORATION	101 EISENHOWER PARKWAY ROSELAND NJ NEW JERSEY 07068 US
MIRAE ASSET SECURITIES (USA) INC./STOCK	810 SEVENTH AVE 37TH FLOOR NEW YORK



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121

<u>Broker Name</u>	<u>Broker Address</u>
SMITH INCORPORATED	FL FLORIDA 32246 US
MIRAE ASSET SECURITIES (USA), INC.	810 SEVENTH AVE 37TH FLOOR NEW YORK NY NEW YORK 10019
Morgan Stanley	1300 THAMES STREET THAMES STREET WHARF BALTIMORE MD MARYLAND 21231 US
MORGAN STANLEY SMITH BARNEY LLC	1 NEW YORK PLAZA 39TH FLOOR NEW YORK NY NEW YORK 10004 US
NATIONAL FINANCIAL SERVICES LLC	499 WASHINGTON BOULEVARD 5TH FLOOR JERSEY CITY NJ NEW JERSEY 07310 US
NOMURA INTERNATIONAL TRUST COMPANY	309 WEST 49TH STREET 10TH FLOOR NEW YORK NY NEW YORK 10019 US
OPPENHEIMER & CO. INC.	85 BROAD STREET NEW YORK NY NEW YORK 10004 US

<u>Broker Name</u>	<u>Broker Address</u>
LOAN CONDUIT ACCOUNT	NY NEW YORK 10019
MITSUBISHI UFJ TRUST & BANKING CORPORATION, NEW YORK BRANCH	280 PARK AVE 39TH FL-WEST BLDG NEW YORK NY NEW YORK 10017
MORGAN STANLEY & CO. LLC	1300 THAMES ST. BALTIMORE MD MARYLAND
MURIEL SIEBERT & CO., INC.	77 SUMMER STREET 3RD FLOOR BOSTON MA MASSACHUSETTS 02210 US
NBCN INC.	1010 rue De La Gauchetière Mezzanine 100 MONTREAL QUEBEC H3B 5J2 CA CANADA
ODLUM BROWN LIMITED	250 HOWE STREET SUITE 1100 VANCOUVER BC BRITISH COLUMBIA V6C 3R8 CA CANADA
PERSHING LLC	1 PERSHING PLAZA JERSEY CITY NJ NEW JERSEY 07399 US



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121



<u>Broker Name</u>	<u>Broker Address</u>
PHILLIP CAPITAL INC.	141 W. JACKSON BLVD. SUITE 3050 CHICAGO IL ILLINOIS 60604 US
PNC BANK, NATIONAL ASSOCIATION	4100 W 150TH STREET ASSET MOVEMENT TEAM 3RD FL, LOCATOR B7-YB17-03-03 CLEVELAND OH OHIO 44135 US
QUESTRADE INC./CDS**	5650 YONGE ST., Suite 1700 TORONTO ON ONTARIO M2M 4G3 CA CANADA
RAYMOND JAMES LTD.	925 WEST GEORGIA STREET SUITE 2200 VANCOUVER BC BRITISH COLUMBIA V6C 3L2 CA CANADA
RBC DOMINION SECURITIES INC	21 COMMERCE COURT SOUTH 2ND FLOOR TORONTO ON ONTARIO M5L 1A7 CANADA
RELIANCE TRUST COMPANY	4900 W. BROWN DEER RD MILWAUKEE WI WISCONSIN 53223 US

<u>Broker Name</u>	<u>Broker Address</u>
PI FINANCIAL CORP.	666 BURRARD ST SUITE 1900 VANCOUVER BC BRITISH COLUMBIA V6C 3N1 CA CANADA
PRINCIPAL BANK	711 HIGH STREET DES MOINES IA IOWA 50392
Raymond James & Associates, Inc.	880 CARILLON PKWY ST. PETERSBURG FL FLORIDA 33733-2749 US
RBC CAPITAL MARKETS, LLC	60 SOUTH 6TH ST. MINNEAPOLIS MN MINNESOTA 55402 US
RELIANCE TRUST COMPANY	1100 ABERNATHY RD. 500 NORTH PARK SUITE 400 ATLANTA GA GEORGIA 30113 US
ROBERT W. BAIRD & CO. INCORPORATED	777 E WISCONSIN AVE 9TH FLOOR MILWAUKEE WI WISCONSIN 53202 US



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121

<u>Broker Name</u>	<u>Broker Address</u>
ROBINHOOD SECURITIES, LLC	500 COLONIAL CENTER PARKWAY SUITE 100 LAKE MARY FL FLORIDA 32746 US
SCOTIA CAPITAL (USA) INC.	150 KING STREET W 5TH FLOOR TORONTO ON ONTARIO M5H 1J9 CA CANADA
SEI PRIVATE TRUST COMPANY	1 FREEDOM VALLEY DRIVE OAKS PA PENNSYLVANIA 19456 US
SSB - BLACKROCK INSTITUTIONAL TRUST	50 California Street San Francisco CA CALIFORNIA 94163
SSB&T CO/CLIENT CUSTODY SERVICES	1776 HERITAGE DRIVE NORTH QUINCY MA MASSACHUSETTS 02171
STATE STREET BANK & TRUST COMPANY / ISHARES EUROPE	1776 HERITAGE DRIVE NORTH QUINCY MA MASSACHUSETTS 02171
STATE STREET BANK AND TRUST COMPANY	30 ADELAIDE ST EAST SUITE 800 TORONTO ON ONTARIO M5C 3G6 CA CANADA

<u>Broker Name</u>	<u>Broker Address</u>
SAFRA SECURITIES LLC	546 5TH AVENUE NEW YORK NY NEW YORK 10036 US
SEI PRIVATE TRUST COMPANY	1 FREEDOM VALLEY DRIVE OAKS PA PENNSYLVANIA 19456 US
SG AMERICAS SECURITIES, LLC	480 WASHINGTON BLVD. 20TH FLOOR JERSEY CITY NJ NEW JERSEY 07310 US
SSB - TRUST CUSTODY	30 ADELAIDE ST EAST SUITE 800 TORONTO ON ONTARIO M5C 3G6 CA CANADA
STATE STREET BANK & TRUST CO	16 WALL STREET 5TH FLOOR NEW YORK NY NEW YORK 10005 US
STATE STREET BANK & TRUST/STATE STREET TOTALETf	1776 Heritage Drive NORTH QUINCY MA MASSACHUSETTS 02717
STIFEL, NICOLAUS & COMPANY, INCORPORATED	501 N BROADWAY ST. LOUIS MO MISSOURI 63102 US



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121



<u>Broker Name</u>	<u>Broker Address</u>
STONEX FINANCIAL INC.	2 PERIMETER PARK SOUTH SUITE 100 W BIRMINGHAM AL ALABAMA 35243 US
TD WATERHOUSE CANADA INC ATTN: MANDATORY CORPORATE ACTIONS	77 BLOOR STREET WEST 3RD FLOOR TORONTO ON ONTARIO M5S 1M2 CA CANADA
THE BANK OF NEW YORK MELLON	500 GRANT STREET 27TH FLOOR PITTSBURGH PA PENNSYLVANIA 15258 US
THE NORTHERN TRUST COMPANY	333 South Wabash Ave, 32nd Floor Attn: Trade Securities Processing CHICAGO IL ILLINOIS 60603 US
U.S. BANCORP INVESTMENTS, INC.	60 LIVINGSTON AVE EP-MN-WN1B ST. PAUL MN MINNESOTA 55107-1419 US
U.S. BANK NATIONAL ASSOCIATION	1555 NORTH RIVERCENTER DRIVE, SUITE 302 SUITE 302 MILWAUKEE WI WISCONSIN 53212 US

<u>Broker Name</u>	<u>Broker Address</u>
TD AMERITRADE CLEARING, INC.	200 S 108TH AVE OMAHA NE NEBRASKA 68154 US
TEXAS TREASURY SAFEKEEPING TRUST COMPANY	208 E 10TH ST AUSTIN TX TEXAS 78701 US
THE HUNTINGTON NATIONAL BANK	7 EASTON OVAL EA4E62 COLUMBUS OH OHIO 43209 US
TRADESTATION SECURITIES, INC.	120 RIVERSIDE PLAZA SUITE 1650 CHICAGO IL ILLINOIS 60606 US
U.S. BANK N.A./ETF	1555 N RIVER CENTER DRIVE MILWAUKEE WI WISCONSIN 53212
UBS AG	480 WASHINGTON BLVD. 12TH FLOOR JERSEY CITY NJ NEW JERSEY 07310 US



sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121

<u>Broker Name</u>	<u>Broker Address</u>
UBS FINANCIAL SERVICES INC.	1000 HARBOR BOULEVARD WEEHAWKEN NJ NEW JERSEY 07086 US
UMB BANK, NATIONAL ASSOCIATION	928 GRAND BLVD KANSAS CITY MO MISSOURI 64106 US
VELOCITY CLEARING, LLC	1301 Route 36 Suite 109 (Attn: Chris Felicetti) HAZLET NEW JERSEY 7730 US
VIRTU AMERICAS LLC	ONE LIBERTY PLAZA, 165 BROADWAY 5TH FLOOR NEW YORK NY NEW YORK 10006 US
WEDBUSH SECURITIES INC	1000 WILSHIRE BLVD 8TH FLOOR LOS ANGELES CA CALIFORNIA 90017 US
WELLS FARGO BANK, N.A./SIG	733 MARQUETTE AVE 4TH FLOOR MAC N9306-04D MINNEAPOLIS MN MINNESOTA 55402 US
WELLS FARGO SECURITIES, LLC	1525 WEST W T HARRIS BLVD CHARLOTTE NC NORTH CAROLINA 28262 US

<u>Broker Name</u>	<u>Broker Address</u>
UBS SECURITIES LLC	677 WASHINGTON BLVD STAMFORD CT CONNECTICUT 06901 US
VANGUARD MARKETING CORPORATION	100 VANGUARD BLVD MALVERN PA PENNSYLVANIA 19355 US
VELOX CLEARING LLC	2400 E. KATELLA AVENUE SUITE 725A ANAHEIM CA CALIFORNIA 92806 US
VISION FINANCIAL MARKETS LLC	4 HIGH RIDGE PARK SUITE 100 STAMFORD CT CONNECTICUT 06905 US
WEDBUSH SECURITIES INC.	1000 WILSHIRE BLVD. LOS ANGELES CA CALIFORNIA 90017 US
WELLS FARGO CLEARING SERVICES LLC	1 NORTH JEFFERSON MAIL CODE: H0006-094 ST. LOUIS MO MISSOURI 63103 US
WILSON-DAVIS & CO., INC.	236 SOUTH MAIN STREET SALT LAKE CITY UT UTAH 84101 US

sorrento

sorrentotherapeutics.com

4955 Directors Place
San Diego, CA 92121

