

# **Electronic Filing Instructions**

## **PLEASE READ:**

**ELECTRONIC FILING APPLIES TO BROKER/DEALERS OR INSTITUTIONS THAT FILE CLAIMS ON BEHALF OF SEVERAL ACCOUNTS, OR CLASS MEMBERS WHO ARE FILING A CLAIM WITH A LARGE NUMBER OF TRANSACTIONS (50+).**

## **Electronic Filing Requirements**

### **1. Proof of Claim Form**

- This claim form serves as a master Proof of Claim form for one or all of the accounts included in your file.
- You may obtain a Proof of Claim form by printing one from our website. Provide the information on Page 1 of the Proof of Claim form as well as the daytime/evening telephone number and E-mail address. Be sure to include the company name, account name/number, and company address. If submitting an electronic file on behalf of several accounts, enter "Numerous Accounts" for the account name/number.
- Read the release language and sign the release on the signature page of the Proof of Claim form.
- The signature on the claim form must reference the capacity of the signatory.
- **If filing on behalf of your clients, you must include a signed letter on letterhead or other document providing your authorization to file/sign on behalf of your clients (affidavit, power of attorney, trust agreements, etc.)**

### **2. Signature Verification Document**

This is a document verifying that the individual who signed the claim form and any supplemental letters is authorized to sign on behalf of his/her company.

- Some examples may include a copy of the company's By-laws (including signature pages), a copy of the company's corporate resolution (including signature pages), a secretary's certificate, a certificate of incumbency, or a notarized affidavit signed by an officer of the institution clearly granting you or a specific individual(s) authorization to act/sign on behalf of the company.

### **3. An Excel spreadsheet or other electronic file containing the account information and transactional data that **MUST** be provided in accordance with our required filing format.**

- The general required filing format is provided below.
- A cover sheet **MUST** be completed and submitted with your electronic file.
- The cover sheet must include the total number of accounts, total number of transactions, and all contact name(s) with phone number(s) and e-mail address(es). A blank cover sheet is attached at the end of these instructions for your reference.
- **YOUR ELECTRONIC FILE MAY BE REJECTED IF NOT IN ACCORDANCE WITH OUR REQUIRED FILING FORMAT.**

### **4. Hard copy supporting documentation.**

- You must submit paper documents with your Proof of Claim form that will support the transactions provided on your file. These documents may include: a) broker confirmations, b) monthly statements,

or c) an affidavit or signed letter on firm letterhead attesting to the truth and accuracy of the information on your file (a signature must reference the capacity and contact information for the signatory, see number 2 above).

- We reserve the right to request additional documentation at any time after your file has been received and loaded.

**Please read the following prior to generating your file:**

- Files MUST be submitted as a tab-delimited text file
  - All fields in the below format MUST be included in your file
  - Any fields that do not apply to your file or the case MUST be left blank (do not delete any fields)
  - Your file MUST be sorted in the following order:
    - Account Number
    - Security Identifier
    - Transaction Date
  - DO NOT exceed maximum character lengths for any field
  - Your file cannot include transactions outside of the relative trade period for the specific case (see Schedule of Transaction pages of Proof of Claim form for trade periods)
  - DO NOT provide any blank rows on your file
  - Any files NOT in accordance with the format below are will be rejected
  - For tab-delimited text files (file must use .txt extension):
    - Your file MUST contain only data rows (do not include header/trailer records)

Field	Max Length	Format*	Notes
Institution Name	100	A100	Name of Institution submitting file
Institution Address1	100	A100	Address1 of Institution submitting file
Institution Address2	80	A80	Address2 of Institution submitting file
Institution City	40	A40	City of Institution submitting file
Institution State	2	AA	State of Institution submitting file
Institution ZIP	10	A10	ZIP or Postal Code of Institution submitting file
Customer Name	100	A100	Name of Account Holder
AccountNumber	20	A20	Account Number of Holder
TaxID	11	A11	Tax Identification Number (### ## #### for individual or ## ####### for Non-Individual)
Security ID	20	A20	CUSIP Number / Option ID
Security Type	1	A	"S" = Common Stock:
Transaction Type	1	A	"B" = Beginning Holdings as of the opening of trading on 08/10/2005 "P" = Purchases made between 08/10/05 and 12/12/08 "S" = Sale made between 08/10/05 and 12/12/08 "U" = Ending Holdings as of close of business 12/12/08 <i>Transfers - For balancing purposes only, transfers are not eligible for payments see Transfer Notes below for detail.</i> "I" = Transfer in between 08/10/05 and 12/12/08 "O" = Transfer Out between 08/10/05 and 12/12/08
Transaction Date	10	MM/DD/YYYY	Day and month must be 2 digits (ie. Use 08/10/05 and not 8/10/2005 for August 10, 2005)
Number of Shares	19.4	N19.4	Number of Shares
Price Per Share	19.4	N19.4	Price of each share exclusive of all commissions, taxes and fees
Transaction Total Amount	19.4	N19.4	Total value of the transaction exclusive of all commissions, taxes and fees
Transaction Result of a Short	1	A	"X" = Result of Transaction related to a short (Applies to Common Stock Only)

**Address Notes**

- For foreign addresses, the two character country code must be provided in column H, all address information (including full country names and provinces) must be included in the two address fields (columns B-C), and the city, state, zip fields (columns D-G) must be left blank.
- URL for all country codes: [http://userpage.chemie.fu-berlin.de/diverse/doc/ISO\\_3166.html](http://userpage.chemie.fu-berlin.de/diverse/doc/ISO_3166.html)

**Claim Balance and Stock Split Notes**

- All securities (except options) for each account must balance. This means that the beginning holdings plus total purchases (including free receives, acquisitions, and stock splits) during the Class Period

MUST EQUAL the total sales (including free deliveries) during the Class Period plus the ending/unsold holdings.

- Transaction types on your file must balance as follows:
  - **B+P+1 = S+O+U**
- Any accounts that have out of balance securities will be deemed deficient and remain eligible to the extent they are in balance.

## **Securities Notes**

Each eligible security **MUST** reference an appropriate security identifier in column L of your file:

- CUSIP, ISIN, or SEDOL number for all securities EXCEPT options
  - DO NOT include any spaces in your CUSIP, ISIN, or SEDOL number

## **Transfer Notes**

Free receive/free deliver (transfer in/out) transactions are **NOT** eligible for payment unless you have additional information regarding the original purchase from the prior account or the ultimate sale or ending holdings from the subsequent account. If you do not have this information, these types of transactions should be included on your file for **balancing purposes only**.

You **MUST** use the following instructions when filing for accounts that have free receive/free deliver (transfer in/out) transactions during the Class Period:

- **If shares were transferred to or from a different institution (the corresponding account is not on your electronic file), you MUST follow these instructions:**
  - Shares Received into Account - You must account for any received shares by providing the beginning holdings or original purchase of these shares from the prior account.
  - Shares Delivered out of Account - You must account for any delivered shares by providing the sale(s) and/or ending holdings from the subsequent account.
  - No Information Available on Original Purchase/Subsequent Sale - You must provide the receive/deliver transactions in their respective claim(s) for **balancing purposes only**. A free receive or transfer in must be reflected as a transaction type "I" and a free deliver or transfer out must be reflected as a transaction type "O" (prices and net amounts must be zero). THESE TRANSACTIONS WILL **NOT** BE CONSIDERED ELIGIBLE AND WILL BE EXCLUDED FROM THE CALCULATION OF YOUR CLAIM.
- **If shares were transferred between accounts on your file, you MUST follow these instructions:**
  - DO NOT claim the same purchase or sale transactions on both accounts.
  - The account that owned the shares most recently should be the account claiming the eligible purchase. These shares should already be accounted for in the sales and/or ending holdings of the most recent account.
  - If shares were transferred between accounts for the same beneficial owner on your file, you must combine these accounts and file all eligible purchases and sales with the most recent account name and number. You must also include all beginning and ending holdings on the most recent account name and number.
  - If you are unable to combine these accounts accordingly, you must provide the receive/deliver transactions in their respective claim(s) for **balancing purposes only**. A free receive or transfer in must be reflected as a transaction type "I" and a free deliver or transfer out must be reflected as a transaction type "O" (prices and net amounts must be zero). THESE TRANSACTIONS WILL **NOT** BE CONSIDERED ELIGIBLE AND WILL BE EXCLUDED FROM THE CALCULATION OF YOUR CLAIM.

## **Submission Notes**

- We prefer to receive your electronic claim submission on a CD ROM or DVD in the mail along with all other documentation requirements outlined in these instructions (use the PO Box address on top of page 1 of the claim form and indicate "To the attention of the Electronic Claims Department").
- If you need to email your file, it may be sent to [ReddylceClassAction@kccllc.com](mailto:ReddylceClassAction@kccllc.com) but you must also attach your documentation requirements in the email as PDF documents.

## **Electronic Filing Cover Sheet**

NAME OF LITIGATION \_\_\_\_\_

FILE SUBMITTED BY \_\_\_\_\_

COMPANY NAME \_\_\_\_\_

COMPANY ADDRESS \_\_\_\_\_

CONTACT NAME \_\_\_\_\_

PHONE NUMBER \_\_\_\_\_

E-MAIL ADDRESS \_\_\_\_\_

FILE SUBMITTED AS: ☐ CD ROM / CD WR

☐ E-Mailed File

TOTAL # OF ACCOUNTS ON FILE \_\_\_\_\_

TOTAL # OF TRANSACTIONS ON FILE \_\_\_\_\_

ENCRYPTION METHOD \_\_\_\_\_