

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

JOSEPH PUDDU, MARK GHITIS, VALERY BURLAK, and ADAM BUTTER,
Plaintiffs,

Case No: 15-cv-8061-AJN

v.

6D GLOBAL TECHNOLOGIES, INC., NYGG (ASIA), LTD., BENJAMIN TIANBING WEI A/K/A BENJAMIN WEY, TEJUNE KANG, MARK SZYNKOWSKI, TERRY MCEWEN, AND NYG CAPITAL LLC D/B/A NEW YORK GLOBAL GROUP,
Defendants.

**NOTICE OF PENDENCY AND PROPOSED PARTIAL SETTLEMENT
OF CLASS ACTION AND DERIVATIVE ACTIONS**

If you purchased common stock of 6D Global Technologies, Inc. f/k/a CleanTech Innovations, Inc. (“6D Global” or the “Company”) during the period from June 16, 2014 through September 10, 2015, both dates inclusive (the “Settlement Class Period”), you could get a payment from a class action settlement (the “Settlement”) and if you currently own 6D Global securities and owned them as of October 7, 2019 (“Current 6D Global Shareholder”), your rights may otherwise be affected by the Settlement.

Under law, a federal court has authorized this Notice. This is not attorney advertising.

- If approved by the Court, the Settlement will provide six hundred forty thousand dollars (\$640,000) (the “Settlement Fund”) gross, plus interest as it accrues, minus attorneys’ fees, costs, administrative expenses, Awards to Plaintiffs, and net of any taxes on interest, to pay claims of investors who purchased 6D Global securities during the Settlement Class Period.
- The Settlement would resolve all claims brought in the securities class action, *Castillo IV v. 6D Global Technologies, Inc., et al.*, No. 15-CV-8061-AJN (S.D.N.Y.) (the “Class Action”) as well as the shareholder derivative actions, *Scott v. Wei, Inc., et al.*, No. 15-cv-9691-AJN (S.D.N.Y.) and *Scott v. Wei, et al.*, C.A. No. 2018-0665-TMR (Del. Ch.) (the “Derivative Actions”).
- The Settlement represents an estimated average recovery of \$0.033 per share of 6D Global for the approximately 19.5 million shares outstanding as of September 10, 2015 not held by Defendants. A share may have been traded more than once during the Settlement Class Period. This estimate solely reflects the average recovery per outstanding share of 6D Global securities not held by Defendants.
- Attorneys for Class Action Plaintiffs (“Class Counsel”) will ask the Court to award them fees of up to \$133,333.33 (one-third of the portion of the Settlement Fund that is attributable to the efforts of Class Counsel in the Class Action) plus interest accrued on the Settlement Fund, Class Counsel will also seek reimbursement of no more than \$65,000.00 in litigation expenses incurred by Class Counsel, and an Award to Class Action Plaintiffs not to exceed \$6,000.00 in total (\$1,500.00 each). If approved by the Court, the Award to Class Action Plaintiffs will be paid from the Settlement Fund. Attorneys for the Derivative Plaintiff (“Derivative Counsel”) will ask the Court to award them a total sum for their fees and expenses, which sum Settling Derivative Defendants agreed Derivative Counsel is entitled: \$80,000.00 (one-third of the portion of the Settlement Fund attributable to the efforts of Derivative Counsel in the Derivative Actions), out of which Derivative Counsel will ask the Court for an Award to Derivative Plaintiff of up to \$1,500.00. Collectively, the attorneys’ fees

and expenses and awards to Class Action and Derivative Plaintiffs are estimated to average \$0.014 per outstanding share of 6D Global securities not held by Defendants.

- The average approximate recovery, after deduction of attorneys' fees and interest and expenses approved by the Court, is \$0.019 per outstanding 6D Global securities not held by Defendants. This estimate is based on the assumptions set forth in the preceding paragraphs. This is not an estimate of the actual recovery per share you should expect. Your actual recovery, if any, will depend on the aggregate losses of all Settlement Class Members, the date(s) you purchased and sold 6D Global securities, the purchase and sales prices, and the total number of claims filed.
- The Settlement resolves claims in the Class Action that 6D Global and certain of its officers and directors, Tejune Kang, Mark Szykowski, and Terry McEwen (collectively, "Class Settling Defendants") violated federal securities laws. Class Settling Defendants have denied and continue to deny each, any and all allegations of wrongdoing, fault, liability or damage whatsoever asserted by Class Action Plaintiffs. Class Settling Defendants have also denied, *inter alia*, the allegations that Class Action Plaintiffs or the Settlement Class have suffered damages or that Class Action Plaintiffs or the Settlement Class were harmed by the conduct alleged in the Class Action. Class Settling Defendants continue to believe the claims asserted against them in the Class Action are without merit. The former directors Adam Hartung, David S. Kaufman and Anubhav Saxena are not defendants in the Class Action.
- The Settlement also resolves claims in the Derivative Actions made derivatively on behalf of 6D Global against certain 6D Global officers and directors, Tejune Kang, Mark Szykowski, Terry McEwen, Piotr A. Chrzaszcz, Michael Bannout, and the former outside directors Adam Hartung, David S. Kaufman and Anubhav Saxena (collectively, the "Derivative Individual Defendants," and together with 6D Global, "Derivative Settling Defendants") for breach of fiduciary duty to 6D Global, unjust enrichment, and violations of federal securities laws. Derivative Settling Defendants have denied and continue to deny each, any and all allegations of wrongdoing, fault, liability or damage whatsoever asserted by Derivative Plaintiff. Derivative Settling Defendants have also denied, *inter alia*, the allegations that Derivative Plaintiff or 6D Global has suffered damages or that Derivative Plaintiff or 6D Global was harmed by the conduct alleged in the Derivative Action. Derivative Settling Defendants continue to believe the claims asserted against them in the Derivative Action are without merit.
- The Class Action will continue against all other defendants in the Class Action, including Benjamin Wey a/k/a Benjamin Wei. Claims made in the Derivative Actions made derivatively on behalf of 6D Global will be dismissed without prejudice as to 6D Global and all other defendants in the Derivative Actions who are not Derivative Settling Defendants, including Benjamin Wey a/k/a Benjamin Wei, (the "Non-Settling Defendants"), which means that another derivative action could be filed on behalf of 6D Global against the Non-Settling defendants and that 6D Global may file a direct action against the Non-Settling Defendants.
- Your legal rights will be affected whether you act or do not act. If you do not act, you may permanently forfeit your right to recover on this claim. Therefore, you should read this Notice carefully.

YOUR LEGAL RIGHTS AND OPTIONS IN THIS SETTLEMENT

Submit a Claim Form if You are a Settlement Class Member	Fill out the attached Proof of Claim and Release Form and submit it no later than January 25, 2021 . This is the only way to get a payment.
Exclude Yourself from the Class if You are a Settlement Class Member	Submit a request for exclusion no later than February 2, 2021 . This is the only way you can ever be part of any other lawsuit against the Class Settling Defendants or the other Released Parties about the legal claims in this case. If you exclude yourself, you will receive no payment and cannot object or speak at the hearing.
Object if You are a Settlement Class Member or a Current 6D Global Shareholder	Write to the Court no later than February 2, 2021 about why you do not like the Settlement. You can still submit a claim form if you are a Settlement Class Member. If the Court approves the Settlement, you will be bound by it.
Go to the Hearing if You are a Settlement Class Member or a Current 6D Global Shareholder	Ask to speak in Court about the fairness of the Settlement at the hearing on February 2, 2021 . You can still submit a claim form if you are a Settlement Class Member. If the Court approves the Settlement, you will be bound by it.
Do Nothing if You are a Settlement Class Member or a Current 6D Global Shareholder	If you are a Settlement Class Member, you will get no payment AND give up your right to bring your own individual action or to object to the Settlement. If you are a Current 6D Global Shareholder, you will give up your right to object to the Settlement.

INQUIRIES

Please do not contact the Court regarding this Notice. All inquiries concerning this Notice, the Proof of Claim and Release Form, or the Settlement should be directed to:

<p>6D Global Technologies, Inc. Securities and Derivative Litigation c/o Strategic Claims Services P.O. Box 230 600 N. Jackson St., Ste. 205 Media, Pennsylvania 19063 Tel.: 866-274-4004 Fax: 610-565-7985 info@strategicclaims.net</p>	<p>Or</p>	<p>THE ROSEN LAW FIRM, P.A. Jonathan Horne, Esq. Laurence M. Rosen, Esq. 275 Madison Avenue, 40th Floor New York, New York 10016 Telephone: (212) 686-1060 Fax: (212) 202-3827 info@rosenlegal.com <i>Class Counsel</i></p> <p>THE BROWN LAW FIRM, P.C. Timothy Brown 240 Townsend Square Oyster Bay, New York 11771 Tel: (516) 922-5427 Fax: (516) 344-6204 tbrown@thebrownlawfirm.net <i>Derivative Counsel</i></p>
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DEFINITIONS

All capitalized terms not otherwise defined herein shall have the same meanings as set forth in the Stipulation and Agreement of Settlement, dated October 7, 2019 filed in the Class Action (the "Settlement Stipulation").

COMMON QUESTIONS AND ANSWERS CONCERNING THE SETTLEMENT

1. Why did I get this Notice?

You or someone in your family may be a Settlement Class Member and may have purchased or acquired 6D Global securities from June 16, 2014 through September 10, 2015, both dates inclusive. You or someone in your family may be a Current 6D Global Shareholder if you currently own 6D Global securities and have owned them as of October 7, 2019.

2. What are these lawsuits about?

The Settlement proposes to resolve the Class Action and the two Derivative Actions.

The Class Action is known as *Castillo Iv v. 6D Global Technologies, Inc., et al.*, No. 15-cv-8061-AJN (S.D.N.Y.). The Court in charge of the case is the United States District Court, Southern District of New York.

The Class Action Plaintiffs allege (and the defendants deny) that the defendants failed to disclose and falsely denied that Benjamin Wey beneficially owned almost half of 6D Global's shares. The Complaint alleges that the failure was material because Wey was allegedly a notorious stock promoter. The Complaint alleges that Wey was indicted for securities fraud in the summer of 2016. The Complaint alleges that When Wey's indictment for securities fraud was unsealed, the NASDAQ halted trading in 6D Global's stock. The defendants flatly deny these allegations and characterizations. The Complaint alleges that after the NASDAQ delisted 6D Global's stock, its price fell, damaging investors. The defendants deny all of these allegations and maintain that they did not make any false statements and, further, that the federal criminal case and related SEC civil action against Wey were dropped after a federal judge excluded all the evidence due to an improper search. The Settlement resolves all of the claims against the Class Settling Defendants, as well as certain other claims or potential claims, whether known or unknown. The Settlement resolves all of the claims against the Class Settling Defendants, as well as certain other claims or potential claims, whether known or unknown.

The Derivative Actions are *Scott v. Wei, Inc., et al.*, No. 15-cv-9691-AJN (S.D.N.Y.), in which the Court in charge of the case is the United States District Court, Southern District of New York, and *Scott v. Wei, et al.*, C.A. No. 2018-0665-TMR (Del. Ch.) in which the Court in charge of the case is the Delaware Court of Chancery.

The Derivative Plaintiff alleges (and the defendants deny) that the Defendants breached their fiduciary duty to 6D Global by failing to disclose and causing 6D Global to fail to disclose and by falsely denying and causing 6D Global to falsely deny that Benjamin Wey beneficially owned almost half of 6D Global's shares, as alleged in the Class Action. The Derivative Plaintiff also alleges that the Defendants breached their fiduciary duties to 6D Global by failing to implement and execute adequate financial and internal controls to rein in Wey's alleged abuses, including that Wey allegedly created 6D Global through a fraudulent reverse merger scheme through which he would allegedly maintain control and manipulate trading in 6D Global's shares. The Derivative Plaintiff also alleges that Wey secretly controlled 6D. The Defendants deny all the foregoing allegations and characterizations, and maintain that Wey did not manipulate trading in 6D Global's shares, did not exercise control over 6D Global, or do any of the things alleged by the Derivative Plaintiff. The defendants deny that any of their actions were wrongful. The Derivative Plaintiff also made a claim for unjust enrichment and a claim under Section 14(a) of the federal securities laws, although the Derivative Plaintiff did not oppose Defendants' motion to dismiss that claim. Defendants moved to dismiss Derivative Plaintiff's claims on the merits based on various issues under dispute that are discussed elsewhere herein, as well as based on Defendants' assertion that the Derivative Action pending in the United States District Court for the Southern District of New York should be

dismissed because the Defendants claimed that the only right forum for the derivative claims to be litigated was the Delaware Court of Chancery. Derivative Plaintiff, without conceding that the only forum for the derivative claims to be litigated is the Delaware Court of Chancery, filed a second derivative action in the Delaware Court of Chancery. Defendants then claimed that proceedings in the derivative action filed in the Delaware Court of Chancery should be stayed, that is, should not move forward, because only proceedings in the derivative action filed in the United States District Court for the Southern District of New York should move forward. In light of the settlement, the United States District Court for the Southern District of New York administratively denied Defendants' motions to dismiss. The Delaware Court of Chancery stayed proceedings to allow the parties to work through the settlement documents. The Settlement resolves all of the claims against the Derivative Individual Defendants, as well as certain other claims or potential claims, whether known or unknown.

3. Why is one of these cases a class action lawsuit?

In a class action lawsuit, one or more persons, called plaintiffs, sue on behalf of all persons who have similar claims. All of these persons are referred to collectively as a class, and these individual persons are known as class members. One court resolves all of the issues for all class members, except for those class members who exclude themselves from the class. Only the Class Action is a class action lawsuit.

The Derivative Actions are not class action lawsuit. They are derivative action lawsuits. A derivative action lawsuit is made derivatively by a shareholder on behalf of the company in which the shareholder owns stock. No individual shareholder has the right to be compensated as a result of a settlement of a derivative action lawsuit.

4. Why is there a Settlement?

Plaintiffs and Class Settling Defendants and Derivative Settling Defendants do not agree regarding the merits of Class Action Plaintiffs' and Derivative Plaintiff's allegations and Class Settling Defendants' and Derivative Settling Defendants' defenses with respect to liability or the amount of damages and average amount of damages per share, if any, that would be recoverable if Class Action Plaintiffs and Derivative Plaintiff were to prevail at trial on each claim. Class Action Plaintiffs and Derivative Plaintiff believe that while they are likely to succeed at trial, the Class Settling Defendants and Derivative Individual Defendants do not have enough money to pay a judgment. The Derivative Settling Defendants believe there is no merit to the claims and filed motions to dismiss, which were pending at the time of settlement.

The issues on which Class Action Plaintiffs and Class Settling Defendants disagree include: (1) whether the challenged statements were materially false or misleading or otherwise actionable under federal securities law; (2) whether Class Settling Defendants acted with scienter; (3) whether the alleged disclosures were corrective disclosures; (4) the causes of the loss in the value of the common stock; and (5) the amount of alleged damages, if any, that could be recovered at trial. The issues on which Derivative Plaintiff and Derivative Settling Defendants disagree include whether Derivative Individual Defendants: (1) breached their fiduciary duties owed to 6D Global; (2) were unjustly enriched; (3) violated the federal securities laws; (4) whether Derivative Plaintiff's failure to make a pre-suit demand on 6D Global's board of directors was excused; (4) whether the directors were exculpated for such claims by the operative corporate documents; (5) whether the claims can overcome the business judgment rule; (6) whether the complaint pleads fraud with particularity against all defendants and whether pleading fraud with particularity is required and (7) the amount of alleged damages, if any, that could be recovered at trial.

These matters have not gone to trial, and the Court has not decided in favor of any of the Parties. Instead, the Parties have agreed to settle the cases. Class Action Plaintiffs and Class Counsel

believe the Settlement is best for all Settlement Class Members because of the risks associated with continued litigation and the nature of the defenses raised by Class Settling Defendants. Among the reasons that Class Action Plaintiffs and Class Counsel believe the Settlement is fair is the fact that there is uncertainty about whether they will be able to prove that any challenged statement was false or misleading, that the alleged misstatements and omissions actually caused the Settlement Class any damages, and the amount of damages, if any. Similarly, Derivative Plaintiff and Derivative Counsel believe the Settlement is the best for 6D Global and its shareholders because of the risks associated with continued litigation and the nature of the defenses that could be raised by the Derivative Settling Defendants, including the pending motions to dismiss.

Even if Class Action Plaintiffs and Derivative Plaintiff were to win at trial, and also prevail on any appeal, Class Action Plaintiffs and Derivative Plaintiff might not be able to collect some, or all, of any judgment they are awarded. Moreover, while litigation of this type is usually expensive, it appears that, even if Class Action Plaintiffs' and Derivative Plaintiff's allegations were found to be true, the total amount of damages to which Settlement Class Members would be entitled could be substantially reduced.

5. How do I know if I am part of the Settlement?

For the Class Action, the Settlement Class consists of all persons and entities, other than Defendants and their affiliates, who purchased publicly traded 6D Global securities from June 16, 2014 through September 10, 2015, both dates inclusive. Excluded from the Settlement Class are: (i) Defendants; (ii) current and former officers and directors of 6D Global and any other Released Party; (iii) the persons expressly excluded from the definition of Released Parties in paragraph 1.31 of the Settlement Stipulation (a) through (o); (iv) the respective spouses, children, or parents of any person or entity excluded under subparagraphs, (i) through (iii) of this paragraph; (v) any person or entity more than 5% owned or directly or indirectly controlled by any person or entity excluded under subparagraphs (i) through (iv) of this paragraph or any trust of which such a person is a beneficiary or of which any person or entity is related or affiliated to a beneficiary or a trustee; (vi) the respective heirs, successors, trustees and assigns of any person excluded under paragraphs (i) through (v); and (vii) those persons who file valid and timely requests for exclusion in accordance with the Court's Order Granting Plaintiffs' Motion for Preliminary Approval of Class Action Settlement ("Preliminary Approval Order").

For the Derivative Action, you must currently own 6D Global securities and have owned them as of October 7, 2019 to have standing to comment or object to the Settlement.

6. Are there exceptions to being included in the Settlement Class?

Yes. Excluded from the Settlement Class are: (i) Defendants; (ii) current and former officers and directors of 6D Global and any other Released Party; (iii) the persons expressly excluded from the definition of Released Parties in paragraph 1.31 of the Settlement Stipulation (a) through (o); (iv) the respective spouses, children, or parents of any person or entity excluded under subparagraphs, (i) through (iii) of this paragraph; (v) any person or entity more than 5% owned or directly or indirectly controlled by any person or entity excluded under subparagraphs (i) through (iv) of this paragraph or any trust of which such a person is a beneficiary or of which any person or entity is related or affiliated to a beneficiary or a trustee; (vi) the respective heirs, successors, trustees and assigns of any person excluded under paragraphs (i) through (v); and (vii) those persons who file valid and timely requests for exclusion in accordance with the Court's Preliminary Approval Order. You may choose to be excluded from the Settlement Class by filing a valid and timely request for exclusion as described below in the response to question 11.

7. I am still not sure whether I am included in the Settlement Class.

If you are still not sure whether you are included in the Settlement Class, you can ask for free help. For more information, you can contact the Claims Administrator, Strategic Claims Services, by phone at (866) 274-4004 or by facsimile at (610) 565-7985, visit the website www.strategicclaims.net, or fill out and return the Proof of Claim and Release Form described in Question 9, to see if you qualify.

8. What does the Settlement provide?

a. What is the Settlement Fund?

The proposed Settlement provides for Defendants' insurers to pay six hundred forty thousand dollars (\$640,000) into a settlement fund (the "Settlement Fund"). \$400,000 of the Settlement Fund is being paid in consideration for the settlement of the Class Action. \$240,000 of the Settlement Fund is being paid in consideration for the settlement of the Derivative Actions. The Settlement is subject to Court approval and settlement of our case is contingent upon approval of settlement of the Derivative Actions. Also, subject to the Court's approval, a portion of the Settlement Fund will be used to pay attorneys' fees with interest and reasonable litigation expenses to Class Counsel and Derivative Counsel. A portion of the Settlement Fund also will be used to pay taxes due on interest earned by the Settlement Fund, if necessary, and the costs of the claims administration, including the costs of printing and mailing and/or emailing notice and the costs of publishing notice. After the foregoing deductions from the Settlement Fund have been made, the amount remaining (the "Net Settlement Fund") will be distributed to Settlement Class Members who submit timely, valid claims, according to the Plan of Allocation to be approved by the Court.

b. What can you expect to receive under the proposed Settlement?

If you are a Settlement Class Member, your share of the Net Settlement Fund will or may depend on: (i) the number of claims filed by all Settlement Class Members; (ii) the dates you purchased and sold 6D Global securities; (iii) the prices of your purchases and sales; (iv) the amount of administrative costs, including the costs of notice; and (v) the amount awarded by the Court to Class Counsel and Derivative Counsel for attorneys' fees, costs, and expenses and the amounts awarded to the Class Action Plaintiffs and Derivative Plaintiff.

The Net Settlement Fund will be distributed to Settlement Class Members who submit a Proof of Claim and Release Form and whose claims for recovery are allowed by the Claims Administrator pursuant to the terms of the Settlement Stipulation or by order of the Court under the below Plan of Allocation ("Authorized Claimants"), which reflects Class Action Plaintiffs' contention that because of the alleged misrepresentations made by defendants, the price of 6D Global securities was artificially inflated during the relevant period and that certain subsequent disclosures caused changes in the inflated price of 6D Global securities. Class Settling Defendants have denied and continue to deny these allegations and any and all allegations of wrongdoing, fault, liability or damage whatsoever asserted in the Class Action.

PROPOSED PLAN OF ALLOCATION OF THE NET SETTLEMENT FUND

The Plan of Allocation was created with the help of a damages expert, and assumes that the price of 6D securities was artificially inflated throughout the Settlement Class Period. The computation of the estimated alleged artificial inflation in the price of 6D securities during the Settlement Class Period is based on the price change of 6D securities in reaction to the public announcements that allegedly corrected the alleged misrepresentations set out in the complaint. To have been damaged by the alleged violations of the federal securities laws, you must have held 6D securities purchased during the Settlement Class Period during a period of time when its price declined from disclosure of information

allegedly correcting a misleading statement. No distribution will be made on a claim where the potential distribution amount is less than ten dollars (\$10.00) in cash.

The objective of the Plan of Allocation is to equitably distribute the Net Settlement Fund among Authorized Claimants based on their respective alleged economic losses as a result of the alleged fraud, as opposed to losses caused by market and industry-wide factors, or Company specific factors unrelated to the alleged fraud.

THE BASIS FOR CALCULATING YOUR RECOGNIZED LOSS:

Each Authorized Claimant will be allocated a *pro rata* share of the Net Settlement Fund based on his, her or its Recognized Loss as compared to the total Recognized Losses of all Authorized Claimants.

For shares of common stock purchased between June 16, 2014 and September 10, 2015, inclusive¹:

- A. For shares retained at the end of trading on September 10, 2015, the Recognized Loss shall be the lesser of:
 - (1) \$2.70 per share; or
 - (2) the difference between the purchase price per share and \$.20 per share.
- B. For shares sold between June 16, 2014 and September 10, 2015, inclusive, the Recognized Loss shall be zero.

If you had a trading gain or “broke even” from your overall transactions in the Company’s shares during the Settlement Class Period, your Recognized Loss will be zero and you will not be entitled to a share of the Net Settlement Fund. If you suffered a trading loss on your overall transactions in the Company’s shares during the Settlement Class Period, but that trading loss was less than your Recognized Loss calculated above, then your Recognized Loss shall be limited to the amount of your actual trading loss.

To calculate your Recognized Loss, the date of your purchase, acquisition or sale is the “contract” or “trade” date and not the “settlement” or “payment” date. Your receipt or grant by gift, inheritance or operation of law of 6D shares shall not be deemed a purchase, acquisition or sale of shares for the calculation of an Authorized Claimant’s Recognized Loss. The covering purchase of a short sale is not an eligible purchase.

9. How can I get a payment?

To qualify for a payment, you must send in a form titled “Proof of Claim and Release Form.” This Proof of Claim and Release Form is attached to this Notice. You may also obtain a Proof of Claim and Release Form at www.strategicclaims.net. Read the instructions carefully, fill out the form, sign it in the location indicated. The Proof of Claim and Release Form may be completed in two ways: (1) by completing and submitting it electronically at www.strategicclaim.net **by 11:59 p.m. EST on January 25, 2021**; or (2) by mailing the claim form together with all documentation requested in the form, **postmarked no later than January 25, 2021**, to:

6D Global Technologies, Inc. Securities and Derivative Litigation
c/o Strategic Claims Services
P.O. Box 230
600 N. Jackson St., Ste. 205
Media, PA 19063
Fax: (610) 565-7985
info@strategicclaims.net

¹ This includes shares purchased in the private placement offerings on September 29, 2014 and November 21, 2014.

The Claims Administrator will process your claim and determine whether you are an Authorized Claimant.

10. What am I giving up to get a payment or stay in the Settlement Class?

Unless you exclude yourself from the Settlement Class by the February 2, 2021 deadline, you will remain a member of the Settlement Class and will be bound by the release of claims against Class Settling Defendants and other Released Parties if the Settlement is approved. That means you and all other Settlement Class Members and each of their respective parent entities, associates, affiliates, subsidiaries, predecessors, successors, and the officers, directors, attorneys, assigns, legal representatives, and agents of each of them, each of their respective officers, directors, attorneys, legal representatives, and agents, and any person or entity which is or was related to or affiliated with any Releasing Party or in which any Releasing Party has a controlling interest, and each of their respective immediate family members, heirs, representatives, administrators, executors, trustees, successors, assigns, devisees, legatees, and estates will release (agreeing never to sue, continue to sue, or be part of any other lawsuit) as against Class Settling Defendants and other Released Parties any and all claims which arise out of, are based upon or relate in any way to the purchase or acquisition of 6D Global securities during the Settlement Class Period. It means that all of the Court's orders will apply to you and legally bind you. That means you will accept a share of the Net Settlement Fund as sole compensation for any losses you suffered in the purchase, acquisitions, sale or ownership of 6D Global securities during the Settlement Class Period. The specific terms of the release are included in the Settlement Stipulation.

11. How do I get out of the Class Action Settlement?

If you do not want to receive a payment from this Settlement, and you want to keep any right you may have to sue or continue to sue Class Settling Defendants or other Released Parties on your own about the claims being released in this Settlement, then you must take steps to exclude yourself from the Settlement. To exclude yourself from the Settlement, you must mail a letter that (A) clearly indicates your name, address, phone number and e-mail contact information (if any) and states that you "request to be excluded from the Settlement Class in *Castillo IV v. 6D Global Technologies, Inc., et al.*, No. 15-cv-8061-AJN (S.D.N.Y.)" and (B) states the date, number of shares and dollar amount of each 6D Global securities purchase or acquisition during the Settlement Class Period, any sale transactions, and the number of shares of 6D Global securities held by you as of June 16, 2014 and September 10, 2015. In order to be valid, such request for exclusion must be submitted with documentary proof: (i) of each purchase and, if applicable, sale transaction of 6D Global securities during the Settlement Class Period; and (ii) demonstrating your status as a beneficial owner of the 6D Global securities. Any such request for exclusion must be signed and submitted by you, as the beneficial owner, under penalty of perjury. You must mail your exclusion request, to be **received no later than February 2, 2021**, to the Claims Administrator at the following address:

6D Global Technologies, Inc. Securities and Derivative Litigation
c/o Strategic Claims Services
P.O. Box 230
600 N. Jackson St., Ste. 205
Media, PA 19063

You cannot exclude yourself by telephone or by e-mail.

If you properly exclude yourself, you will not receive a payment from the Net Settlement Fund, you cannot object to the Settlement of the Class Action, and you will not be legally bound by the judgment in this case.

12. If I do not exclude myself, can I sue Class Settling Defendants or the other Released Parties for the same thing later?

No. Unless you followed the procedure outlined in the Notice to exclude yourself, you give up any right to sue Class Settling Defendants or other Released Parties for the claims being released in this Settlement. If you have a pending lawsuit related to any Released Claims, speak to your lawyer in that case immediately, since you must exclude yourself from this Settlement Class to continue your own lawsuit.

13. If I am a Settlement Class Member, do I have a lawyer in this case?

The Court appointed The Rosen Law Firm, P.A. as Lead Counsel (“Class Counsel”) to represent you and the other Settlement Class Members. If you want to be represented by your own lawyer, you may hire one at your own expense. Contact information for The Rosen Law Firm, P.A. is provided below.

14. How will the lawyers be paid?

Class Counsel and Derivative Counsel have expended considerable time litigating the Class Action and the Derivative Actions on a contingent fee basis and have paid for the expenses of the cases themselves. They have not been paid attorneys’ fees or reimbursed for their expenses in advance of this Settlement. Class Counsel have done so with the expectation that, if they are successful in recovering money for the Settlement Class, they will receive attorneys’ fees and be reimbursed for their litigation expenses from the Settlement Fund, as is customary in this type of litigation. Class Counsel and Derivative Counsel will not receive attorneys’ fees or be reimbursed for their litigation expenses except from the Settlement Fund. Therefore, Class Counsel will file a motion asking the Court at the Settlement Hearing to make an award of attorneys’ fees in an amount not to exceed one-third of the Settlement Fund allocated to the Class Action (\$133,333.33) plus interest, reimbursement of litigation expenses of no more than \$65,000, an Award to Class Action Plaintiffs not to exceed \$6,000.00 in total. The Court may award less than these amounts. Any amounts awarded by the Court will come out of the Settlement Fund. Derivative Counsel will file a motion asking the Court at the Settlement Hearing to make an award of attorneys’ fees and expenses in an amount equal to one-third of the Settlement Fund allocated to the Derivative Actions (\$80,000.00), which amount the Settling Defendants agreed Derivative Counsel is entitled, and out of which amount Derivative Counsel will ask the Court for an Award to Derivative Plaintiff not to exceed \$1,500.00.

15. How do I tell the Court that I do not like the Settlement if I am a Settlement Class Member or a Current 6D Global Shareholder?

You can tell the Court you do not agree with the Settlement, any part of the Settlement, and/or to the motions for Class Counsel’s and Derivative Counsel’s attorneys’ fees and expenses and application for Awards to Class Action Plaintiffs and Derivative Plaintiff, and that you think the Court should not approve the Settlement.

To object to any aspect of the settlement of the Securities Class Action, if you are a Settlement Class Member, you may do so by mailing a letter to the addresses below stating that you object to the Settlement in the matter of *Castillo IV v. 6D Global Technologies, Inc., et al.*, No. 15-cv-8061-AJN (S.D.N.Y.). Be sure to include: (1) your name, address, and telephone number; (2) a list of all purchases and sales of 6D Global securities during the Settlement Class Period in order to show membership in the Settlement Class; (3) all grounds for the objection, including any legal support known to you or your counsel; (4) the name, address and telephone number of all counsel, if any, who represent you, including your former or current counsel who may be entitled to compensation in connection with the objection; and (5) the number of times you and/or your counsel has filed an objection to a class action settlement in the last five years, the nature of each such objection in each

case, the jurisdiction in each case, and the name of the issuer of the security or seller of the product or service at issue in each case.

To object to any aspect of the settlement of the Derivative Actions, if you are a Current 6D Global Shareholder, you may do so by mailing a letter to the addresses below stating that you object to the Settlement in the matter of *Scott v. Wei, Inc., et al.*, No. 15-cv-9691-AJN (S.D.N.Y.). Be sure to include: (1) name, address, and telephone number, along with a representation as to whether you intend to appear to be heard at the Settlement Hearing; (2) proof of ownership of 6D Global common stock as of October 7, 2019 as well as through the date of the Settlement Hearing, including the number of shares of 6D Global common stock owned and the date of purchase; (3) all grounds for the objection, including any legal support known to you and/or your counsel; (4) any documentation or evidence in support of such objection; (5) the name, address and telephone number of all counsel who represent you, including former or current counsel who may be entitled to compensation in connection with the objection; (6) the identities of any witnesses you intend to call at the Settlement Hearing and a statement as to the subjects of their testimony; and (7) the number of times you and/or your counsel has filed an objection to a class action or derivative settlement in the last three years, the nature of each such objection in each case, the jurisdiction in each case, and the name of the issuer of the security or seller of the product or service at issue in each case.

Attendance at the Settlement Hearing is not necessary. Objectors wishing to be heard orally at the Settlement Hearing are required to indicate in their written objection (or in a separate writing that is submitted in accordance with the deadline and after instruction pertinent to the submission of a written objection) that they intend to appear at the Settlement Hearing and identify any witnesses they may call to testify or exhibits they intend to introduce into evidence at the Settlement Hearing. Be sure to serve copies of any objections, papers and briefs to **each** of the addresses listed below, to be **received no later than February 2, 2021**:

<p>Clerk of the Court United States District Court Southern District of New York 40 Foley Square New York, NY 10007</p>	<p><u>CLASS COUNSEL</u> THE ROSEN LAW FIRM, P.A. Jonathan Horne Laurence M. Rosen 275 Madison Avenue, 40th Floor New York, NY 10016</p> <p><u>DERIVATIVE COUNSEL</u> THE BROWN LAW FIRM, P.C. Timothy Brown 240 Townsend Square Oyster Bay, NY 11171</p>	<p><u>COUNSEL FOR SETTLING DEFENDANTS</u> CATAFAGO FINI LLP Tom M. Fini The Empire State Building 350 Fifth Ave., Suite 7710 New York, NY 10118</p> <p>MANATT, PHELPS & PHILLIPS LLP (Counsel for Derivative Settling Defendants Hartung, Kaufman and Saxena) Andrew L. Morrison 7 Times Square New York, NY 10036</p>
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16. What is the difference between objecting and requesting exclusion?

Objecting is simply telling the Court you do not like something about the Settlement or some portion thereof. You can object to the settlement of the Class Action only if you stay in the Settlement Class. Requesting exclusion from the Settlement Class is telling the Court you do not want to be part of the Settlement Class and Settlement. If you exclude yourself, you cannot object to the settlement of the Class Action because it no longer concerns you. If you stay in the

Settlement Class and object, but your objection is overruled, you will not be allowed a second opportunity to exclude yourself.

17. When and where will the Court decide whether to approve the Settlement?

The Court will hold a Settlement Hearing on **February 23, 2021, at 2:00 p.m.**, at the United States District Court, Southern District of New York, 40 Foley Square, Courtroom 906, New York, NY, 10007.

At this hearing, the Court will consider whether the Settlement is fair, reasonable, and adequate and whether to approve the Settlement. If there are objections, the Court will consider them, and the Court will listen to people who have asked to speak at the hearing. The Court may also decide how much to pay Class Counsel and Derivative Counsel for attorneys' fees and expenses and how much to award Class Action Plaintiffs and Derivative Plaintiff.

18. Do I have to come to the hearing?

No. Class Counsel and Derivative Counsel will answer any questions the Court may have. However, you are welcome to attend at your own expense. If you send an objection, you do not have to come to Court to talk about it. As long as you mail your written objection on time, the Court will consider it.

19. What happens if I do nothing at all?

If you are a Settlement Class Member, but you do nothing, you will not receive a payment from the Settlement. However, unless you exclude yourself, you will not be able to start a lawsuit, continue with a lawsuit, or be part of any other lawsuit against Class Settling Defendants or the Released Parties about the claims made in the Class Action ever again.

SPECIAL NOTICE TO BROKERS AND OTHER NOMINEES

If, between June 16, 2014 through September 10, 2015 inclusive, you purchased, otherwise acquired, or sold 6D Global securities for the beneficial interest of a person or organization other than yourself, the Court has directed that, **WITHIN TEN (10) DAYS OF YOUR RECEIPT OF NOTICE**, you either (a) provide to the Claims Administrator the name, email address, and last known address of each person or organization for whom or which you purchased such 6D Global securities during such time period or (b) request additional copies of the Postcard Notice, which will be provided to you free of charge, and within ten (10) days mail the Postcard Notice directly to the beneficial owners of the 6D Global securities. If you choose to follow alternative procedure (b), the Court has directed that, upon such mailing, you send a statement to the Claims Administrator confirming that the mailing was made as directed. You are entitled to reimbursement from the Settlement Fund of your reasonable out-of-pocket expenses actually incurred in connection with the foregoing up to \$0.05 for providing names, addresses and email addresses to the Claims Administrator; up to a maximum of \$0.05 per Postcard Notice mailed by you, plus postage at the rate used by the Claims Administrator; or \$0.05 per notice sent by email. Those expenses will be paid upon request and submission of appropriate supporting documentation. All communications regarding the foregoing should be addressed to the Claims Administrator at the address listed on page 3 above.

DATED: OCTOBER 1, 2020

BY ORDER OF THE UNITED STATES
DISTRICT COURT FOR THE
SOUTHERN DISTRICT OF NEW YORK

PROOF OF CLAIM AND RELEASE FORM

Deadline for Submission: January 25, 2021

IF YOU PURCHASED PUBLICLY TRADED 6D GLOBAL TECHNOLOGIES, INC. F/K/A CLEANTECH INNOVATIONS, INC. (“6D GLOBAL” OR THE “COMPANY”) SECURITIES FROM JUNE 16, 2014 THROUGH SEPTEMBER 10, 2015, BOTH DATES INCLUSIVE (THE “SETTLEMENT CLASS PERIOD”) AND WERE ALLEGEDLY DAMAGED THEREBY, YOU ARE A “SETTLEMENT CLASS MEMBER” AND YOU MAY BE ENTITLED TO SHARE IN THE SETTLEMENT PROCEEDS.

THE FOLLOWING PERSONS ARE EXCLUDED FROM THE CLASS AND ARE NOT CLASS MEMBERS: (I) DEFENDANTS; (II) CURRENT AND FORMER OFFICERS AND DIRECTORS OF 6D GLOBAL AND ANY OTHER RELEASED PARTY; (III) THE PERSONS EXPRESSLY EXCLUDED FROM THE DEFINITION OF RELEASED PARTIES IN PARAGRAPH 1.31 (A) THROUGH (O) OF THE STIPULATION AND AGREEMENT OF SETTLEMENT AVAILABLE ON THIS WEBSITE; (IV) THE RESPECTIVE SPOUSES, CHILDREN, OR PARENTS OF ANY PERSON OR ENTITY EXCLUDED UNDER SUBPARAGRAPHS, (I) THROUGH (III) OF THIS PARAGRAPH; (V) ANY PERSON OR ENTITY MORE THAN 5% OWNED OR DIRECTLY OR INDIRECTLY CONTROLLED BY ANY PERSON OR ENTITY EXCLUDED UNDER SUBPARAGRAPHS (I) THROUGH (IV) OF THIS PARAGRAPH OR ANY TRUST OF WHICH SUCH A PERSON IS A BENEFICIARY OR OF WHICH ANY PERSON OR ENTITY IS RELATED OR AFFILIATED TO A BENEFICIARY OR A TRUSTEE; (VI) THE RESPECTIVE HEIRS, SUCCESSORS, TRUSTEES AND ASSIGNS OF ANY PERSON EXCLUDED UNDER PARAGRAPHS (I) THROUGH (V); AND (VII) THOSE PERSONS WHO FILE VALID AND TIMELY REQUESTS FOR EXCLUSION IN ACCORDANCE WITH THE COURT’S ORDER GRANTING PLAINTIFFS’ MOTION FOR PRELIMINARY APPROVAL OF CLASS ACTION SETTLEMENT.

IF YOU ARE A SETTLEMENT CLASS MEMBER, YOU MUST COMPLETE AND SUBMIT THIS PROOF OF CLAIM AND RELEASE FORM (“PROOF OF CLAIM AND RELEASE FORM”) IN ORDER TO BE ELIGIBLE FOR ANY SETTLEMENT BENEFITS. *IF AT ALL POSSIBLE, YOU SHOULD COMPLETE AND SUBMIT THE ELECTRONIC VERSION OF THIS PROOF OF CLAIM AND RELEASE FORM. ELECTRONIC FORMS MAY BE SUBMITTED AT NO COST TO YOU. ELECTRONIC FORMS ARE DUE BY 11:59 P.M. EST ON JANUARY 25, 2021 AT WWW.STRATEGICCLAIMS.NET.*

IF YOU DO NOT COMPLETE AND SUBMIT AN ELECTRONIC VERSION OF THIS PROOF OF CLAIM AND RELEASE FORM, YOU MUST COMPLETE AND SIGN THIS PROOF OF CLAIM AND RELEASE FORM AND MAIL IT BY FIRST CLASS MAIL, POSTMARKED NO LATER THAN JANUARY 25, 2021 TO STRATEGIC CLAIMS SERVICES, THE CLAIMS ADMINISTRATOR, AT THE FOLLOWING ADDRESS:

6D Global Technologies, Inc. Securities and Derivative Litigation
c/o Strategic Claims Services
600 N. Jackson St., Ste. 205
P.O. Box 230
Media, PA 19063
Fax: (610) 565-7985
info@strategicclaims.net

YOUR FAILURE TO SUBMIT YOUR CLAIM BY JANUARY 25, 2021 WILL SUBJECT YOUR CLAIM TO REJECTION AND PRECLUDE YOU FROM RECEIVING ANY MONEY IN CONNECTION WITH THE SETTLEMENT OF THIS ACTION. DO NOT MAIL OR DELIVER YOUR CLAIM TO THE COURT OR TO ANY OF THE PARTIES OR THEIR COUNSEL, AS ANY SUCH CLAIM WILL BE DEEMED NOT TO HAVE BEEN SUBMITTED. SUBMIT YOUR CLAIM ONLY TO THE CLAIMS ADMINISTRATOR. IF YOU ARE A SETTLEMENT CLASS MEMBER AND DO NOT SUBMIT A PROPER PROOF OF CLAIM AND RELEASE FORM, YOU WILL NOT SHARE IN THE SETTLEMENT, BUT YOU NEVERTHELESS WILL BE BOUND BY THE ORDER AND FINAL JUDGMENT OF THE COURT UNLESS YOU EXCLUDE YOURSELF.

SUBMISSION OF A PROOF OF CLAIM AND RELEASE FORM DOES NOT ASSURE THAT YOU WILL SHARE IN THE PROCEEDS OF THE SETTLEMENT.

CLAIMANT'S STATEMENT

1. I (we) purchased publicly traded 6D Global Technologies, Inc. f/k/a CleanTech Innovations, Inc. (“6D Global”) securities during the Settlement Class Period. (Do not submit this Proof of Claim and Release Form if you did not purchase 6D Global securities during the Settlement Class Period.)
2. By submitting this Proof of Claim and Release Form, I (we) state that I (we) believe in good faith that I am (we are) a Settlement Class Member(s) as defined above and in the Notice of Pendency and Proposed Partial Settlement of Class Action and Derivative Actions (the “Notice”), or am (are) acting for such person(s); that I am (we are) not a Defendant in the Class Action or anyone excluded from the Settlement Class; that I (we) have read and understand the Notice; that I (we) believe that I am (we are) entitled to receive a share of the Net Settlement Fund, as defined in the Notice; that I (we) elect to participate in the proposed Settlement described in the Notice; and that I (we) have not filed a request for exclusion. (If you are acting in a representative capacity on behalf of a Settlement Class Member [e.g., as an executor, administrator, trustee, or other representative], you must submit evidence of your current authority to act on behalf of that Settlement Class Member. Such evidence would include, for example, letters testamentary, letters of administration, or a copy of the trust documents.)
3. I (we) consent to the jurisdiction of the Court with respect to all questions concerning the validity of this Proof of Claim and Release Form. I (we) understand and agree that my (our) claim may be subject to investigation and discovery under the Federal Rules of Civil Procedure, provided that such investigation and discovery shall be limited to my (our) status as a Settlement Class Member(s) and the validity and amount of my (our) claim. No discovery shall be allowed on the merits of the Action or Settlement in connection with processing of the Proof of Claim and Release Form.
4. I (we) have set forth where requested below all relevant information with respect to each purchase of 6D Global securities, and each sale, if any, of such securities. I (we) agree to furnish additional information to the Claims Administrator to support this claim if requested to do so.
5. I (we) have enclosed photocopies of the stockbroker’s confirmation slips, stockbroker’s statements, or other documents evidencing each purchase and sale of 6D Global securities listed below in support of my (our) claim. (IF ANY SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN A COPY OR EQUIVALENT DOCUMENTS FROM YOUR BROKER OR TAX ADVISOR BECAUSE THESE DOCUMENTS ARE NECESSARY TO PROVE AND PROCESS YOUR CLAIM.)
6. I (we) understand that the information contained in this Proof of Claim and Release Form is subject to such verification as the Claims Administrator may request or as the Court may direct, and I (we) agree to cooperate in any such verification. (The information requested herein is designed to provide the minimum amount of information necessary to process most simple claims. The Claims Administrator may request additional information as required to efficiently and reliably calculate your Recognized Loss. In some cases, the Claims Administrator may condition acceptance of the claim based upon the production of additional information, including, where applicable, information concerning transactions in any derivatives securities such as options.)
7. Upon the occurrence of the Court’s approval of the Settlement, as detailed in the Notice, I (we) agree and acknowledge that my (our) signature(s) hereto shall effect and constitute a full and complete release, remise and discharge by me (us) and my (our) heirs, joint tenants, tenants in common, beneficiaries, executors, administrators, predecessors, successors, attorneys, insurers and assigns (or, if I am (we are) submitting this Proof of Claim and Release Form on behalf of a corporation, a partnership, estate or one or more other persons, by it, him, her or them, and by its, his, her or their heirs, executors, administrators, predecessors, successors, and assigns) of each of the “Released Parties” of all “Released Claims,” as those terms are defined in the Stipulation and Agreement of Settlement (the “Settlement Stipulation”).
8. Upon the occurrence of the Court’s approval of the Settlement, as detailed in the Notice, I (we) agree and acknowledge that my (our) signature(s) hereto shall effect and constitute a covenant by me (us) and my (our) heirs, joint tenants, tenants in common, beneficiaries, executors, administrators, predecessors, successors, attorneys, insurers and assigns (or, if I am (we are) submitting this Proof of Claim and Release Form on behalf of a corporation, a partnership, estate or one or more other persons, by it, him, her or them, and by its, his, her or their heirs, executors, administrators, predecessors, successors, and assigns) to permanently refrain from prosecuting or attempting to prosecute any Released Claims against any of the Released Parties.
9. “Released Parties” has the meaning laid out in the Settlement Stipulation.
10. “Released Claims” has the meaning laid out in the Settlement Stipulation.
11. “Unknown Claims” has the meaning laid out in the Settlement Stipulation.

12. I (We) acknowledge that the inclusion of “Unknown Claims” in the definition of claims released pursuant to the Settlement Stipulation was separately bargained for and is a material element of the Settlement of which this release is a part.
13. NOTICE REGARDING INSTITUTIONAL FILERS: Representatives with authority to file on behalf of (a) accounts of multiple Settlement Class Members or (b) institutional accounts with large numbers of transactions (“Representative Filers”) may request, or be requested, to submit information regarding their transactions in an electronic spreadsheet format. All Representative Filers MUST also submit a manually signed Proof of Claim and Release Form, as well as proof of authority to file (see Item 2 of the Claimant’s Statement), along with the electronic spreadsheet format. If you are a Representative Filer who wishes to file using the electronic spreadsheet format, you must contact the Claims Administrator at efile@strategicclaims.net or visit their website at www.strategicclaims.net to obtain the required file layout. No claims submitted in electronic spreadsheet format will be considered to have been properly submitted unless the Claims Administrator issues to the Claimant a written acknowledgment of receipt and acceptance of electronically submitted data.
14. NOTICE REGARDING ONLINE FILING: Claimants who are *not* Representative Filers may submit their claims online using the electronic version of the Proof of Claim and Release Form hosted at www.strategicclaims.net. If you are not acting as a Representative Filer, you do not need to contact the Claims Administrator prior to filing; you will receive an automated e-mail confirming receipt once your Proof of Claim and Release Form has been submitted. If you are unsure if you should submit your claim as a Representative Filer, please contact the Claims Administrator at info@strategicclaims.net or (866) 274-4004.

I. CLAIMANT INFORMATION

Name		
Address		
City	State	ZIP
Foreign Province	Foreign Country	
Day Phone	Evening Phone	
Email		
Social Security Number (for individuals):	OR	Taxpayer Identification Number (for estates, trusts, corporations, etc.):

II. SCHEDULE OF TRANSACTIONS IN 6D GLOBAL TECHNOLOGIES, INC. F/K/A CLEANTECH INNOVATIONS, INC. SECURITIES

Beginning Holdings:

A. State the total number of shares of 6D Global Technologies, Inc. f/k/a CleanTech Innovations, Inc. (“6D Global”) securities held at the close of trading on June 15, 2014 (*must be documented*). If none, write “zero” or “0.”

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Purchases/Acquisitions:

B. Separately list each and every purchase or acquisition of 6D Global securities between June 16, 2014 and September 10, 2015, both dates inclusive, and provide the following information (*must be documented*):

Trade Date (List Chronologically) (Month/Day/Year)	Number of Shares Purchased	Price per Share	Total Cost (Excluding Commissions, Taxes, and Fees)

Sales:

C. Separately list each and every sale of 6D Global securities between June 16, 2014 and September 10, 2015, both dates inclusive, and provide the following information (*must be documented*):

Trade Date (List Chronologically) (Month/Day/Year)	Number of Shares Sold	Price per Share	Amount Received (Excluding Commissions, Taxes, and Fees)

Ending Holdings:

D. State the total number of shares of 6D Global securities held at the close of trading on September 10, 2015 (*must be documented*).

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If additional space is needed, attach separate, numbered sheets, giving all required information, substantially in the same format, and print your name and Social Security or Taxpayer Identification number at the top of each sheet.

III. SUBSTITUTE FORM W-9

Request for Taxpayer Identification Number:

Enter taxpayer identification number below for the Beneficial Owner(s). For most individuals, this is your Social Security Number. The Internal Revenue Service (“I.R.S.”) requires such taxpayer identification number. If you fail to provide this information, your claim may be rejected.

Social Security Number (for individuals)	or	Taxpayer Identification Number (for estates, trusts, corporations, etc.)
_____		_____

IV. CERTIFICATION

I (We) submit this Proof of Claim and Release Form under the terms of the Settlement Stipulation described in the Notice. I (We) also submit to the jurisdiction of the United States District Court for the Southern District of New York with respect to my (our) claim as a Settlement Class Member(s) and for purposes of enforcing the release and covenant not to sue set forth herein. I (We) further acknowledge that I am (we are) bound by and subject to the terms of any judgment that may be entered in this Action. I (We) have not submitted any other claim covering the same purchases or sales of 6D Global securities during the Settlement Class Period and know of no other Person having done so on my (our) behalf.

I (We) certify that I am (we are) NOT subject to backup withholding under the provisions of Section 3406 (a)(1)(c) of the Internal Revenue Code because: (a) I am (We are) exempt from backup withholding; or (b) I (We) have not been notified by the I.R.S. that I am (we are) subject to backup withholding as a result of a failure to report all interest or dividends; or (c) the I.R.S. has notified me (us) that I am (we are) no longer subject to backup withholding.

NOTE: If you have been notified by the I.R.S. that you are subject to backup withholding, please strike out the language that you are not subject to backup withholding in the certification above.

UNDER THE PENALTIES OF PERJURY UNDER THE LAWS OF THE UNITED STATES, I (WE) CERTIFY THAT ALL OF THE INFORMATION I (WE) PROVIDED ON THIS PROOF OF CLAIM AND RELEASE FORM IS TRUE, CORRECT AND COMPLETE.

Signature of Claimant (If this claim is being made on behalf of Joint Claimants, then each must sign):

(Signature)

(Signature)

(Capacity of person(s) signing, e.g. beneficial purchaser(s), executor, administrator, trustee, etc.)

Check here if proof of authority to file is enclosed.
(See Item 2 under Claimant's Statement)

Date: _____

IF AT ALL POSSIBLE, YOU SHOULD COMPLETE AND SUBMIT THE ELECTRONIC VERSION OF THIS PROOF OF CLAIM AND RELEASE FORM. ELECTRONIC FORMS MAY BE SUBMITTED AT NO COST TO YOU. ELECTRONIC FORMS ARE DUE BY 11:59 P.M. EST ON JANUARY 25, 2021 AT WWW.STRATEGICCLAIMS.NET. IF YOU PREFER, YOU MAY ALSO SUBMIT THIS PROOF OF CLAIM AND RELEASE FORM BY MAIL NO LATER THAN JANUARY 25, 2021 AND MAIL IT TO:

6D Global Technologies, Inc. Securities and Derivative Litigation
c/o Strategic Claims Services
600 N. Jackson St., Ste. 205
P.O. Box 230
Media, PA 19063
Fax: (610) 565-7985
info@strategicclaims.net

A Proof of Claim and Release Form received by the Claims Administrator shall be deemed to have been submitted when posted, if mailed by January 25, 2021 and if a postmark is indicated on the envelope and it is mailed first class and addressed in accordance with the above instructions. In all other cases, a Proof of Claim and Release Form shall be deemed to have been submitted when actually received by the Claims Administrator.

You should be aware that it will take a significant amount of time to process fully all of the Proof of Claim and Release Forms and to administer the Settlement. This work will be completed as promptly as time permits, given the need to investigate and tabulate each Proof of Claim and Release Form. Please notify the Claims Administrator of any change of address.

6D Global Technologies, Inc. Securities and Derivative Litigation
c/o Strategic Claims Services
600 N. Jackson St., Ste. 205
Media, PA 19063

IMPORTANT LEGAL NOTICE – PLEASE FORWARD

REMINDER CHECKLIST

- Please be sure to sign this Proof of Claim and Release Form on page 19. If this Proof of Claim and Release Form is submitted on behalf of joint claimants, then each claimant must sign.
- Please remember to attach supporting documents. Do NOT send any stock certificates. Keep copies of everything you submit.
- Do NOT use highlighter on the Proof of Claim and Release Form or any supporting documents.
- If you submit your Proof of Claim and Release Form online through the electronic version hosted at www.strategicclaims.net, you will be sent an automatic e-mail confirmation when your claim has been received. If you mail your Proof of Claim and Release Form and desire an acknowledgment of receipt, please send it Certified Mail, Return Receipt Requested, or its equivalent.
- If you move or change your address, telephone number or email address, please submit the new information to the Claims Administrator, as well as any other information that will assist us in contacting you. NOTE: Failure to submit updated information to the Claims Administrator may result in the Claims Administrator's inability to contact you regarding issues with your claim or deliver payment to you.