

**UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF PENNSYLVANIA**

In re Innocoll Holdings Public Limited Company  
Securities Litigation

C.A. No. 2:17-cv-00341-GEKP

CLASS ACTION

CLASS ACTION

This Document Relates To:  
All Actions

**DECLARATION OF JONATHAN HORNE IN SUPPORT OF LEAD PLAINTIFFS'  
MOTIONS FOR (1) FINAL APPROVAL OF CLASS ACTION SETTLEMENT AND  
PLAN OF ALLOCATION; AND (2) AN AWARD OF ATTORNEYS' FEES,  
REIMBURSEMENT OF EXPENSES, AND COMPENSATORY AWARDS TO LEAD  
PLAINTIFFS**

Jonathan Horne declares under 28 U.S.C. § 1746:

1. I am a partner in The Rosen Law Firm, P.A. (“Rosen”), Lead Counsel for Lead Plaintiffs Russel Bleiler and Carl Bayney (“Lead Plaintiffs”) in this Action. I submit this declaration in support of Lead Plaintiffs’ motions for: (1) Final Approval of Class Action Settlement and Plan of Allocation; and (2) an Award of Attorneys’ Fees, Reimbursement of Expenses, and Compensatory Awards to Lead Plaintiffs. These motions are filed concurrently herewith.

2. I have personal knowledge of the matters described in this Declaration and am competent to testify thereto. Rosen has been directly involved in all aspects of this litigation.

3. The purpose of this Declaration is to set forth to the Court facts which do not otherwise appear in documents filed in this case or other public sources. A complete description of the nature of the claims asserted and the procedural history of the Action, the reasons why the settlement, plan of allocation, and fee and expense requests should be approved are set out in the memoranda of law in support of the Motions.

4. The Settlement results from extensive arm’s-length negotiations among experienced counsel. Through a formal mediation session, counsel for the Settling Parties vigorously debated the strengths and weaknesses of the claims and defenses in this Action. Lead Counsel’s ability to reach a compromise in light of the many complex issues presented in this litigation evidences the quality of their representation.

## **I. PLEADINGS**

5. To draft their amended complaint, Plaintiffs scoured public sources for information about Innocoll, including its SEC filings and other public statements, hundreds of pages of FDA guidance materials, Innocoll’s patents, FDA regulatory information about other Innocoll products, and stock analyst reports. They spoke with former Innocoll employees and consulted an FDA regulatory expert.

6. In drafting their second amended complaint (“Complaint”), Plaintiffs reviewed all of XaraColl’s international patents as well as patents that related to the method through which Innocoll produced the collagen used in XaraColl. To supplement the allegations, Plaintiffs also identified additional FDA guidance applicable to XaraColl. Finally, Plaintiffs further researched the individual defendants Anthony P. Zook and Lesley Russell.

## **II. DISCOVERY**

7. Innocoll had pursued the approval of the drug XaraColl since 2009. During this time, Innocoll had had numerous communications with the FDA and had regularly discussed its XaraColl approval strategy. Innocoll also discussed XaraColl at length with the investment fund that eventually acquired it.

8. Plaintiffs served their Requests for Production on April 21, 2020. The Parties then spent hours negotiating the parameters of Defendants’ production. They resolved all their many and substantial differences.

9. To make sure they understood the universe of documents, Plaintiffs took Innocoll’s Rule 30(b)(6) deposition. As a result of what they learned, Plaintiffs served a subpoena on a former Innocoll employee who had retained critical documents.

10. Plaintiffs reviewed documents as they were produced. As a result, they quickly absorbed and acted on new information. For example, early in discovery, Defendants produced a document that had been created in 2017 but suggested certain documents that had been created in the 2011/2012 timeframe could be important. Because Plaintiffs reviewed this document as it came in, they were able to negotiate for a targeted production of documents from that time period without delaying discovery. Plaintiffs also served interrogatories and requests for admission based on the documents Defendants produced.

11. Plaintiffs received, reviewed and categorized more than 400,000 pages of documents, devoting further analysis to those that might advance this Action. Plaintiffs also served interrogatories and requests for admission based on the documents Defendants produced.

12. Plaintiffs' Irish counsel quoted total costs of approximately €55,000-140,000 for the first deposition and €25,000-100,000 for each subsequent deposition.

### **III. SETTLEMENT DISCUSSIONS**

13. The Parties first discussed settlement in 2019 after Defendants' motion to dismiss Plaintiffs' Complaint was fully briefed.

14. The Settling Parties held a full-day mediation before Michelle Yoshida, a nationally-recognized mediator, in August 2019. Before this mediation, the Parties exchanged detailed mediation statements, discussing all relevant stages of the litigation, and issues of contention, including issues related to experts.

15. While the mediation was ultimately unsuccessful, the Parties continued settlement discussions in the following weeks, but were unable to bridge the gap between their positions.

16. After the Court denied Defendants' motion to dismiss the Complaint, settlement discussions resumed in earnest. In March and April 2020, and over the summer, the Parties exchanged settlement demands and offers. Because the gap between the Parties' positions remained significant, in late 2020 and early 2021, Plaintiffs proposed two settlement structures designed to force the Parties to make concessions and ultimately agree to a settlement.

17. While Defendants ultimately did not agree to use these structures, the Parties continued to exchange offers and demands. Negotiations accelerated as oral arguments on Plaintiffs' motion for class certification approached. In late June 2021, the Parties agreed to settle this action for \$2.755 million.

18. Even after agreeing on the amount of the settlement fund, the Parties continued to negotiate the terms of the class action settlement for several more months.

19. The Settlement's non-monetary terms are standard for securities class actions.

#### **IV. DAMAGES**

20. Maximum estimated damages are \$22.9 million. For the period beginning December 10, 2015, maximum estimated damages are \$10.8 million.

#### **V. THE PLAN OF ALLOCATION**

21. The Plan of Allocation was formulated by Lead Counsel, in consultation with a well-respected and experienced financial consultant and was designed to ensure that the distribution of the settlement fund was fair and consistent with Lead Plaintiffs' theory of the case; and to ensure that the allocation comported with the federal securities laws, including principles of loss causation and negative causation.

#### **VI. LEAD COUNSEL'S APPLICATION FOR AN AWARD OF ATTORNEYS' FEES AND REIMBURSEMENT OF EXPENSES**

22. To litigate this action, Lead Counsel: (1) conducted two investigations to meet the PSLRA's exacting standards; (2) scoured public records, spoke with former employees, and consulted regulatory and financial experts; (3) deliberated to identify corrective disclosure dates and damages scenarios; (4) drafted and filed a detailed Amended Complaint and Second Amended Complaint (*see* ECF Nos. 21, 48); (5) drafted and filed full briefing on Defendants' Motion to Dismiss (*see* ECF No. 50); (6) participated in oral argument on Defendants' Motion, which in turn led to supplemental briefing; (7) drafted a mediation brief; (8) attended a full-day mediation; (9) conducted extensive discovery, including obtaining and categorizing 400,000 pages of documents; (10) served requests for admission and interrogatories and sought letters rogatory and prepared to take depositions in Ireland; (11) produced, along with defense counsel, expert reports in support

of and in opposition to Plaintiffs' motion for class certification, and collectively deposed both experts, both Plaintiffs, and a Rule 30(b)(6) representative of Innocoll; (12) drafted and negotiated the Stipulation and Agreement of Settlement and exhibits thereto, and filed them alongside Plaintiffs' motion for preliminary approval of the Settlement; and (13) supervised the program to provide notice to the Settlement Class.

23. Rosen's lodestar through June 1, 2022 is \$2,423,348.25. The total amount of time expended by my firm's attorneys and paralegals is 4,451.28 hours.

24. The chart below is a summary of the amount of time expended by each of my firm's partners, attorneys, and professional support staff who were involved in the Action. The lodestar calculations were based on my firm's billing rates. The schedule was prepared from contemporaneous daily time records regularly prepared and maintained by my firm, which are available for inspection at the request of the Court.

<b>Professional (position)*</b>	<b>Years Practiced</b>	<b>Hourly Rate</b>	<b>Hours Worked</b>	<b>Lodestar</b>
Jacob A. Goldberg (P)	34	\$1,025.00	236.4	\$242,310.00
Phillip Kim (P)	20	\$1,025.00	9.8	\$10,045.00
Jonathan Horne (P)	13	\$875.00	857	\$749,875.00
Jonathan Stern (C)	14	\$800.00	6.2	\$4,960.00
Yu Shi (C)	11	\$800.00	1.3	\$1,040.00
Gonen Haklay (A)	27	\$800.00	37	\$29,600.00
Jing Chen (A)	11	\$750.00	0.2	\$150.00
Erica L. Stone (A)	9	\$725.00	56.2	\$40,745.00
Joshua Baker (A)	9	\$725.00	12.6	\$9,135.00
Scott Kim (A)	5	\$625.00	185.4	\$115,875.00
Daniel Sadeh (A)	7	\$550.00	7	\$3,850.00

Ryan Hedrick (A)	3	\$550.00	0.8	\$440.00
Jingjing Lin (PL)	n/a	\$275.00	6.83	\$1,878.25
Aleksandra Ryshina (PL)	n/a	\$275.00	3	\$825.00
Robert E. Meyer	n/a	\$400.00	1591.5	\$636,600.00
Sandra S. Nadel	n/a	\$400.00	345.25	\$138,100.00
Debra Goodman	n/a	\$400.00	377	\$150,800.00
Diane Danois	n/a	\$400.00	717.8	\$287,120.00
<b>TOTAL</b>			<b>4451.28</b>	<b>\$2,423,348.25</b>

\* Partner (P), Counsel (C), Associate (A), Paralegal (PL)

25. The hourly rates above for my firm's partners, attorneys and professional staff are based on the equivalent rates of competitor firms and opposing counsel, including partnership status, education, years of relevant experience, and reputation. For personnel who are no longer employed by my firm, the lodestar calculation is based upon the billing rates for such personnel in his or her final year of employment by my firm.

26. Rosen is requesting a fee of 33.33% of the Settlement Amount, or \$918,333. If the Court grants the fee request, the resulting lodestar multiplier will be .38. The Chart below shows the calculation of the lodestar multiplier:

Settlement Amount	\$ 2,755,000
Requested legal Fee Percentage	33.33%
Requested legal Fee	\$ 918,333
Lodestar Value	\$ 2,423,348.25
Lodestar Multiplier Requested	.38

27. Rosen spent a total of \$296,111.74 in unreimbursed expenses in connection with the prosecution of the Action, as detailed in the chart below.

Category of Expenses	Amount
CourtCall Fees	\$15.24
Court Fees/Filing Fees	\$400.00
Court Reporter/Depositions Fees	\$7,694.34
Copying/Printing	\$119.50
Document Hosting and Analysis	\$55,387.85
FDA Expert Fees	\$4,702.50
Financial Expert Fees	\$190,531.00
Investigator	\$10,984.69
Legal Research and Document Retrieval	\$4,209.61
Letters Rogatory	\$6,672.76
Mediation Fees	\$10,500.00
Overnight/Hand Delivery	\$349.19
Pro Hac Vice/Certificate of Good Standing	\$99.00
Service of Process	\$512.65
Travel/Transportation/Hotels/Meals	\$1,527.26
Miscellaneous (Press Releases and Notice to Class Members)	\$2,406.15
<b>TOTAL EXPENSES:</b>	<b>\$296,111.74</b>

28. The expenses set forth above are reflected in my firm's books and records. These books and records are prepared from expense vouchers, check records, and financial statements prepared in the normal course of business for my firm and are an accurate record of the expenses incurred in the prosecution of the action.

## VII. EXHIBITS

29. Attached to this Declaration are true and correct copies of the following documents:
- Exhibit 1: Declaration of Josephine Bravata Concerning: (A) Mailing of the CAFA Notice; (B) Mailing of the Postcard Notice; (C) Publication of the Publication Notice; and (D) Report on Requests for Exclusion and Objections
- Exhibit 2: Rosen Law Firm Resume
- Exhibit 3: Declaration of Carl Bayney
- Exhibit 4: Declaration of Russel Bleiler

I declare under penalty of perjury that the foregoing is true and correct.

DATED: June 1, 2022

/s/ Jonathan Horne  
Jonathan Horne

**CERTIFICATE OF SERVICE**

I hereby certify that on June 1, 2022, a true and correct copy of the foregoing document was served by CM/ECF to the parties registered to the Court's CM/ECF system.

*/s/ Jonathan Horne* \_\_\_\_\_  
Jonathan Horne

# Exhibit 1

**UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF PENNSYLVANIA**

In re Innocoll Holdings Public Limited  
Company Securities Litigation

C.A. No. 2:17-cv-00341-GEKP

CLASS ACTION

CLASS ACTION

This Document Relates To:  
All Actions

**DECLARATION OF JOSEPHINE BRAVATA  
CONCERNING: (A) MAILING OF THE CAFA NOTICE; (B) MAILING OF THE  
POSTCARD NOTICE; (C) PUBLICATION OF THE PUBLICATION NOTICE; AND (D)  
REPORT ON REQUESTS FOR EXCLUSION AND OBJECTIONS**

I, Josephine Bravata, declare as follows:

1. I am the Quality Assurance Manager of Strategic Claims Services (“SCS”), a nationally recognized class action administration firm. I have over twenty years of experience specializing in the administration of class action cases. SCS was established in April 1999 and has administered over five hundred (500) class action cases since its inception. I have personal knowledge of the facts set forth herein, and if called on to do so, I could and would testify competently thereto.

**MAILING OF CAFA NOTICE**

2. At the request of Defendants’ Counsel, and separate from our engagement as Claims Administrator, on December 3, 2021, SCS mailed a notice of stipulated class action settlement, pursuant to the Class Action Fairness Act of 2005, 28 U.S.C. § 1715 (“CAFA”), to the appropriate federal and state officials, by certified return receipt through the United States Postal Service. The mailing consisted of: (i) a letter regarding the Settlement approved by Defendants’ Counsel describing the mailing (“CAFA Letter”); and (ii) a CD-ROM containing

copies of the documents referenced in the CAFA Letter. Attached as **Exhibit A** is a copy of the CAFA Letter that SCS mailed.

**MAILING OF THE POSTCARD NOTICE**

3. Pursuant to the Court’s Order Granting Lead Plaintiffs’ Unopposed Motion for Preliminary Approval of Class Action Settlement, dated March 10, 2022 (the “Preliminary Approval Order” Dkt. No. 128), SCS was appointed and approved as Claims Administrator in connection with the Settlement of the above-captioned action.<sup>1</sup> I submit this Declaration in order to provide the Court and the Parties information regarding the notifications to potential Settlement Class Members, as well as updates concerning other aspects of the Settlement administration process.

4. To provide actual notice to those persons and entities that purchased or otherwise acquired publicly-traded securities of Innocoll Holdings Public Ltd. Co. (f/k/a Innocoll AG) (“Innocoll”) between July 25, 2014 and December 29, 2016, inclusive (the “Settlement Class Period”), pursuant to the Preliminary Approval Order, SCS printed and mailed the Postcard Notice to potential members of the Settlement Class. A true and correct copy of the Postcard Notice is attached as **Exhibit B**.

5. As in most class actions of this nature, the large majority of potential Settlement Class Members are expected to be beneficial purchasers whose securities are held in “street name” — *i.e.*, the securities are purchased by brokerage firms, banks, institutions and other third-party nominees in the name of the nominee, on behalf of the beneficial purchasers. The names and addresses of these beneficial purchasers are known only to the nominees. SCS maintains a

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<sup>1</sup> All capitalized terms used herein that are not otherwise defined have the meanings ascribed to them in the Stipulation of Settlement dated November 24, 2021 (the “Stipulation”) (Dkt. No. 121-2).

proprietary master list consisting of 973 banks and brokerage companies (“Nominee Account Holders”), as well as 1,217 mutual funds, insurance companies, pension funds, and money managers (“Institutional Groups”). On March 22, 2022, SCS caused a letter to be mailed or e-mailed to the 2,190 nominees contained in the SCS master mailing list. The letter notified them of the Settlement and requested that they, within 10 calendar days from the date of the letter, either send the Postcard Notice or email the Summary Notice of Pendency and Proposed Settlement of Class Action and Final Approval Hearing (“Publication Notice”) or a link to the Notice of Proposed Settlement of Class Action, Motion for Attorneys’ Fees and Expenses, and Settlement Fairness Hearing (“Long Notice”) and Proof of Claim and Release Form (“Claim Form”) (collectively, the “Notice and Claim Form”) to their customers who may be beneficial purchasers/owners or provide SCS with a list of the names, mailing addresses, and email addresses of such beneficial purchasers/owners so that SCS could promptly either mail the Postcard Notice or email the Publication Notice or a link to the Notice and Claim Form directly to them. A copy of the letter sent to these nominees is attached as **Exhibit C**. **Exhibit D** is a copy of the Notice and Claim Form.

6. SCS mailed, by first class mail, postage prepaid, the Postcard Notice to 23 individuals and organizations identified in the transfer records that were provided to SCS. These records reflect persons and entities that purchased Innocoll shares for their own account, or for the account(s) of their clients, during the Settlement Class Period. The transfer record mailing was completed on April 8, 2022.

7. Following these mailings, SCS received additional names and addresses of potential Settlement Class Members from individuals or nominees requesting that a Postcard Notice be mailed by SCS, and SCS received requests from nominees for Postcard Notices so that

the nominees could forward them to their customers. To date, SCS has mailed 3,517 Postcard Notices from nominee requests.

8. Additionally, SCS was notified by two nominees that they mailed 92 of their clients the Postcard Notice and SCS also was notified by another nominee that they emailed 833 of their clients to notify them of this settlement and provide a direct link to the Notice and Claim Form on the settlement website.

9. In total, 4,465 potential Settlement Class Members were notified either by mailed Postcard Notice or emailed a direct link to the Notice and Claim Form.

10. SCS also sent the Depository Trust Company (“DTC”) a Notice and Claim Form for the DTC to publish on its Legal Notice System (“LENS”) on March 22, 2022. LENS provides DTC participants the ability to search and download legal notices as well as receive e-mail alerts based on particular notices or particular CUSIPs once a legal notice is posted.

11. Out of the 3,540<sup>2</sup> Postcard Notices mailed, 105 were returned as undeliverable. Of these, the United States Postal Service provided forwarding addresses for 3, and SCS immediately mailed another Postcard Notice to the updated addresses. The remaining 102 Postcard Notices returned as undeliverable were “skip-traced” to obtain updated addresses and 48 were re-mailed to updated addresses.

### **PUBLICATION OF THE PUBLICATION NOTICE**

12. Pursuant to the Preliminary Approval Order, the Publication Notice was published electronically twice on the *GlobeNewswire* and in print twice in the *Investor’s Business Daily* on March 28, 2022 and April 4, 2022, as shown in the confirmations of publication attached hereto as **Exhibit E**.

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<sup>2</sup> The 3,540 Postcard Notices mailed represent the 23 mailed for the transfer agent list and the 3,517 mailed either by SCS or the nominee.

**TOLL-FREE PHONE LINE**

13. SCS maintains a toll-free telephone number (1-866-274-4004) for Settlement Class Members to call and obtain information about the Settlement and request the Notice and Claim Form. SCS has promptly responded to each telephone inquiry and will continue to address Settlement Class Member inquiries.

**SETTLEMENT WEBSITE**

14. On March 22, 2022, SCS established a webpage on its website at [www.strategicclaims.net](http://www.strategicclaims.net). The webpage is accessible 24 hours a day, 7 days a week. The webpage contains the current status; the case deadlines; the online claim filing link; the online exclusion request form, and important documents such as the Notice and Claim Form, the Preliminary Approval Order, and the Stipulation.

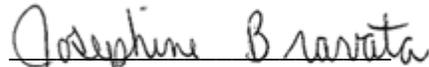
**REPORT ON EXCLUSIONS AND OBJECTIONS**

15. The Long Notice, Publication Notice, Postcard Notice, and the settlement webpage informed potential Settlement Class Members that written requests for exclusion are to be mailed to SCS such that they are received no later than June 15, 2022. SCS has been monitoring all mail delivered for this case. As of the date of this Declaration, SCS has received no exclusion requests.

16. According to the Long Notice and Publication Notice, Settlement Class Members seeking to object to the proposed Settlement, any part of the Settlement, the proposed Plan of Allocation, and/or to Lead Counsel's motion for attorneys' fees and expenses and application for a Compensatory Award to the Lead Plaintiffs must be submitted to Lead Counsel and Counsel for Defendants, as well as filed with the Clerk of the Court, no later than June 22, 2022. As of the date of this Declaration, SCS has not received any objections.

I declare under penalty of perjury that the foregoing is true and correct.

Signed this 1<sup>st</sup> day of June 2022, in Media, Pennsylvania.

  
Josephine Bravata



Phone 866.274.4004  
610.565.9202  
Fax 610.565.7985

strategicclaims.net

December 3, 2021

VIA CERTIFIED MAIL

RE: Notice of Proposed Class Action Settlement Pursuant to 28 U.S.C. § 1715

Dear Sir or Madam:

Strategic Claims Services has been retained in the proposed class action lawsuit entitled *In re Innocoll Holdings Public Limited Company Securities Litigation*, Case No. 2:17-cv-00341-GEKP to provide notices required under the Class Action Fairness Act. The Action is pending before the Honorable Gene E.K. Pratter in the United States District Court, Eastern District of Pennsylvania.

In compliance with Section 1715 of the Class Action Fairness Act, 28 U.S.C. §§ 1332(d), 1453, and 1711–1715 (CAFA), this letter is to advise you that a Motion for entry of an order for Preliminary Approval was filed. The Court has not yet ruled on that Motion.

The Defendants deny any and all wrongdoing, deny any liability to Lead Plaintiff or the proposed settlement class, and deny that Lead Plaintiff and the proposed class members have suffered any damages attributable to the Defendants' actions. In compliance with Section 1715(b), the following documents referenced below are included on the CD that is enclosed with this letter:

1. **28 U.S.C. § 1715(b)(1) – Complaint and Related Materials:** A copy of the original Complaints filed in the actions as well as the various amended complaints are provided on the enclosed CD ROM.
2. **28 U.S.C. § 1715(b)(2) – Notice of Any Scheduled Judicial Hearing:** As of the date of this letter, the Court has not set a date for the Final Approval hearing.
3. **28 U.S.C. § 1715(b)(3) – Notification to Class Members:** A copy of the *Notice* is enclosed on the CD ROM entitled "*Ex. B – Long Notice*" as well as the "*Ex. D – Postcard Notice*" and "*Ex. C – Publication Notice*".
4. **28 U.S.C. § 1715(b)(4) – Proposed Class Action Settlement:** A copy of the parties' *Stipulation of Settlement* with Exhibits is provided on the enclosed CD ROM.
5. **28 U.S.C. § 1715(b)(5) – Any Settlement or Other Agreement:** As of the date of this letter, no other settlement or agreement has been entered into by the parties to this action.
6. **28 U.S.C. § 1715(b)(6) – Final Judgment:** As of the date of this letter, no Final Judgment has been issued by the Court.
7. **28 U.S.C. § 1715(b)(7)(A)-(B) – Names of Class Members/Estimated Proportionate Share:** Pursuant to 28 U.S.C. § 1715(b)(7)(A), CAFA also requires a defendant, "if feasible," to provide the names of class members who reside in each State and the estimated proportionate share of the claims of such members to the entire settlement or (B) if the provision of information under subparagraph (A) is not feasible, a reasonable estimate of the number of class members residing in each State and the estimated proportionate share of the claims of such members to the entire settlement. Because the most of securities at issue are mostly held in "street name," it is not feasible to provide the names of all class members who reside in each state, or to provide the

600 North Jackson Street • Suite 205 • Media, PA 19063

estimated proportionate share of the claims of such members to the settlement. For the same reason, it is not feasible at this time to provide a reasonable estimate of the number of class members residing in each state or the estimated proportionate share of the claims of such members to the settlement.

If for any reason, you believe the enclosed information does not fully comply with Section 1715, please contact the Counsel for Defendants identified below, to address any concerns or questions that you may have.

**Counsel for Defendants**

DENTONS US LLP  
Kenneth J. Pfaehler  
1900 K Street, N.W.  
Washington, D.C. 20006

Sincerely,

Strategic Claims Services

By: Matthew Shillady  
Title: Director of Operations

Enclosure – CD ROM

Innocoll Holdings Public Limited Company Securities Litigation  
c/o Strategic Claims Services  
600 N. Jackson Street, Suite 205  
Media, PA 19063

# EXHIBIT B

## **Court-Ordered Legal Notice**

### **Forwarding Service Requested**

*A federal court authorized this notice. This is not a solicitation from a lawyer.*

*This Notice may affect your legal rights.  
You may be entitled to a payment from this securities class action settlement.*

*Please read it carefully.*

*In re Innocoll Holdings Public Limited Company Securities Litigation, Case No. 2:17-cv-00341-GEKP (E.D. Pa)*  
***THIS CARD ONLY PROVIDES LIMITED INFORMATION ABOUT THE SETTLEMENT.***

***PLEASE VISIT [WWW.STRATEGICCLAIMS.NET](http://WWW.STRATEGICCLAIMS.NET) OR CALL 1-866-274-4004 FOR MORE INFORMATION.***

There is a proposed Settlement of all claims against Innocoll Holdings Public Limited Company and two of its officers (“Defendants”). The Settlement resolves a lawsuit in the United States District Court for the Eastern District of Pennsylvania in which Plaintiffs allege that Defendants made public statements regarding Innocoll’s product, XaraColl, that were materially false and misleading or omitted material information, damaging persons who purchased or otherwise acquired Innocoll securities. Defendants deny any wrongdoing.

You received this Notice because you or someone in your family or household may have purchased or otherwise acquired the publicly traded securities of Innocoll Holdings Public Limited Company (“Innocoll”) (f/k/a Innocoll AG) between July 25, 2014 and December 29, 2016, both dates inclusive (“Settlement Class Period”). The Settlement provides that, in exchange for the dismissal of this action and release of claims known and unknown against Defendants, Defendants will pay or cause to be paid into a settlement fund \$2,755,000 in cash (“Settlement Fund”). The Settlement Fund, less attorneys’ fees of no more than one-third of the Settlement Fund, expenses of no more than \$325,000 and a compensatory award to the Plaintiffs who brought this lawsuit of no more than \$10,000 each, or \$20,000 in total, will be divided among all Class Members who submit a valid Proof of Claim and Release Form (“Proof of Claim”). To request further information or for a full description of the Settlement, your rights, and how to make a claim, please view the Stipulation of Settlement and Notice of Proposed Settlement of Class Action, Motion for Attorneys’ Fees and Expenses, and Settlement Fairness Hearing (“Notice”) at [www.strategicclaims.net](http://www.strategicclaims.net) and please request a copy of the Notice and Proof of Claim by contacting the Claims Administrator in any of the following ways: (1) by mail: Innocoll Holdings Public Limited Company Securities Litigation, c/o Strategic Claims Services, 600 N. Jackson St., Ste. 205, P.O. Box 230, Media, PA 19063; (2) by phone: toll free, (866) 274-4004; (3) by fax: (610) 565-7985; or (4) by email: [info@strategicclaims.net](mailto:info@strategicclaims.net); or (5) visit the website: [www.strategicclaims.net](http://www.strategicclaims.net).

To qualify for payment, you must submit a Proof of Claim to the Claims Administrator. A copy of the Proof of Claim can be found on the website. PROOFS OF CLAIM ARE DUE BY JUNE 6, 2022 TO: *INNOCOLL HOLDINGS PUBLIC LIMITED COMPANY SECURITIES LITIGATION, C/O STRATEGIC CLAIMS SERVICES, P.O. BOX 230, 600 N. JACKSON STREET, SUITE 205, MEDIA, PA 19063, OR SUBMITTED ONLINE AT [WWW.STRATEGICCLAIMS.NET](http://WWW.STRATEGICCLAIMS.NET). If you DO NOT want to be legally bound by the Settlement, you must exclude yourself from the Settlement Class by June 15, 2022 or you will not be able to sue the Defendants about the legal claims in this case. If you exclude yourself, you cannot get money from this Settlement. If you stay in the Settlement, you may object to it by June 22, 2022. The Notice and Stipulation of Settlement explain how to opt out or to object.*

The Court will hold a hearing in this case on July 6, 2022 at 2:00 p.m. at the United States District Court for the Eastern District of Pennsylvania, 10613 U.S. Courthouse, 601 Market Street, Courtroom 10-B, Philadelphia, PA 19106, to consider whether to approve the Settlement, the Plan of Allocation, the request for attorneys’ fees and expenses, and the award to Plaintiffs. You may attend the hearing and ask to be heard by the Court, but you do not have to.

**REQUEST FOR NAMES, EMAILS AND ADDRESSES OF CLASS MEMBERS**

STRATEGIC CLAIMS SERVICES  
 600 N. JACKSON STREET, SUITE 205  
 MEDIA, PA 19063

PHONE: (610) 565-9202 EMAIL: info@strategicclaims.net FAX: (610) 565-7985

March 22, 2022

This letter is being sent to all entities whose names have been made available to us, or which we believe may know of potential class members.

**We request that you assist us in identifying any individuals who fit the following description:**

ALL PERSONS OR ENTITIES WHO PURCHASED OR OTHERWISE ACQUIRED PUBLICLY TRADED SECURITIES OF INNOCOLL HOLDINGS PUBLIC LTD. CO. (F/K/A INNOCOLL AG) BETWEEN JULY 25, 2014, AND DECEMBER 29, 2016, BOTH DATES INCLUSIVE.

Excluded from the Settlement Class are Defendants, the officers and directors of Innocoll, members of the Individual Defendants' immediate families and their legal representatives, heirs, successors or assigns and any entity in which Individual Defendants have or had a controlling interest.

**The information below may assist you in finding the above requested information.**

<p><i>Innocoll Holdings Public Limited Company                  Securities Litigation</i>                  C.A. No. 2:17-cv-00341-GEKP                  Claim Filing Deadline: June 6, 2022                  Exclusion Deadline: June 15, 2022                  Objection Deadline: June 22, 2022                  Settlement Hearing: July 6, 2022</p>	<p>Cusip Numbers: 45780Q103 and G4783X105</p>
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**PER COURT ORDER, PLEASE RESPOND WITHIN 10 CALENDAR DAYS FROM THE DATE OF THIS NOTICE**

Please comply in one of the following ways:

1. If you have no beneficial purchasers/owners, please so advise us in writing; or
2. **Supply us with email addresses**, if email addresses are not available, provide us with names and last known addresses of your beneficial purchasers/owners and we will do the emailing of the Publication Notice or a link to the Notice and Proof of Claim and Release Form or mailing of the Postcard Notice. Please provide us this information electronically. If you are not able to do this, labels will be accepted, but it is important that a hardcopy list also be submitted of your clients; or
3. Advise us of how many beneficial purchasers/owners you have, and we will supply you with ample postcards to do the mailing. After the receipt of the Postcard Notice you have ten (10) calendar days to mail them; or
4. Request an electronic copy of the Publication Notice or a link to the Notice and Proof of Claim and Release Form in electronic format and advise us that you will be emailing to your beneficial purchasers/owners within ten (10) days after receipt thereof.

You can bill us for any reasonable expenses actually incurred and **not to exceed:**

**\$0.05 per Publication or Notice and Proof of Claim and Release Form link emailed OR**  
**\$0.05 per name, address and email address** if you are providing us the records OR  
**\$0.05 per name and address, including materials, plus postage at the current pre-sort rate used by the Claims Administrator** if you are requesting the Postcard Notice and performing the mailing.

**All invoices must be received within 30 days of this letter.**

You are on record as having been notified of the legal matter. A copy of the Notice of Proposed Settlement of Class Action, Motion for Attorneys' Fees and Expenses, and Settlement Fairness Hearing and Proof of Claim Form and Release Form and all the important documents are available on our website at <https://www.strategicclaims.net>. You can also request a copy via email at info@strategicclaims.net.

Thank you for your prompt response.

Sincerely,  
 Claims Administrator  
 Innocoll Holdings Public Limited Company Securities Litigation

**UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF PENNSYLVANIA**

In re Innocoll Holdings Public Limited  
Company Securities Litigation

C.A. No. 2:17-cv-00341-GEKP

CLASS ACTION

CLASS ACTION

This Document Relates To:  
All Actions

**NOTICE OF PROPOSED SETTLEMENT OF CLASS ACTION, MOTION FOR ATTORNEYS’  
FEES AND EXPENSES, AND SETTLEMENT FAIRNESS HEARING**

If you purchased or otherwise acquired publicly traded securities of Innocoll Holdings Public Ltd. Co. (f/k/a Innocoll AG) between July 25, 2014, and December 29, 2016, both dates inclusive (“Settlement Class Period” and “Settlement Class Member”), you could get a payment from a proposed class action settlement (“Settlement”).

*A federal court authorized this Notice. This is not attorney advertising.*

- The Settlement resolves the lawsuit captioned *In re Innocoll Holdings Public Limited Company Securities Litigation*, Case No. 2:17-cv-00341-GEKP, pending in the United States District Court for the Eastern District of Pennsylvania in Philadelphia, Pennsylvania (“Action”) concerning whether Innocoll, Anthony P. Zook, and Lesley Russell (collectively “Defendants”) violated federal securities laws by allegedly making misrepresentations and/or omissions of material fact in public statements concerning XaraColl, Innocoll’s pharmaceutical product. Defendants have denied and continue to deny each, any, and all allegations of deception, wrongdoing, fault, liability, or damage whatsoever asserted by Lead Plaintiffs. Defendants have also denied, *inter alia*, the allegations that Lead Plaintiffs or the Settlement Class have suffered damages or that Lead Plaintiffs or the Settlement Class were harmed by the conduct alleged in the Action. Defendants continue to believe the claims asserted against them in the Action are without merit.
- The Court will hold a Settlement Hearing on July 6, 2022 at 2:00 p.m. to decide whether to approve the Settlement. If approved by the Court, the Settlement will provide \$2,755,000 gross (the “Settlement Amount”), plus interest as it accrues, minus attorneys’ fees and expenses, costs, and administrative expenses, net of any taxes on interest, to pay claims of investors who purchased or otherwise acquired Innocoll securities during the Settlement Class Period.
- The Settlement represents an average recovery of \$0.0937 per share of Innocoll securities for the approximately 29.4 million estimated shares that Lead Plaintiffs allege were damaged and declined in value as a result of Defendants’ alleged conduct during the Settlement Class Period. 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 Innocoll securities. This is not an estimate of the actual recovery per share you should expect. Your actual recovery will depend on the aggregate losses of all Settlement Class Members, the date(s) you purchased and sold Innocoll securities, the purchase and sales prices, and the total number of claims filed. See the Plan of Allocation on page 11 below for more detail.

- To claim your share of the Settlement, you must submit a valid Proof of Claim and Release Form (“Proof of Claim”) by June 6, 2022.
- Attorneys for Lead Plaintiffs (“Lead Counsel”) intend to ask the Court to award them fees of up to one-third of the Settlement Amount (\$918,333.33) plus interest and reimbursement of up to \$325,000 in litigation expenses. Since the Action’s inception, Lead Counsel have expended considerable time and effort in this litigation on a contingent-fee basis and have advanced the expenses of the litigation in the expectation that if they were successful in obtaining a recovery for the Settlement Class, they would be paid from such recovery. Lead Counsel also intend to ask the Court to grant a Compensatory Award to Lead Plaintiffs collectively not to exceed \$20,000 (or \$10,000 each). Collectively, the requested attorneys’ fees and litigation expenses and Compensatory Award to Lead Plaintiffs are estimated to average \$0.043 per allegedly damaged share of Innocoll securities. If approved by the Court, these amounts will be paid from the Settlement Fund.
- The estimated average recovery to Settlement Class Members, after the deductions set forth in the preceding paragraph, is \$0.0507 per allegedly damaged share of Innocoll. This estimate is based on the assumptions set forth in the preceding paragraph. Your actual recovery, if any, will depend on the aggregate losses of all Settlement Class Members, the date(s) you purchased and sold Innocoll securities, the purchase and sales prices, and the total number and amount of claims filed.
- The parties disagree on the monetary amount of any potential award of damages if investors prevailed at trial.
- 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.
- While you remain a member of the Settlement Class, you are excluded from recovering any portion of the Settlement Fund if you have a net profit in purchases and sales of Innocoll securities or otherwise suffered no compensable damages during the Settlement Class Period.

<b>YOUR LEGAL RIGHTS AND OPTIONS IN THIS SETTLEMENT</b>	
<b>SUBMIT A CLAIM FORM</b>	The only way to get a payment. Proof of Claim forms must be postmarked or submitted online by June 6, 2022
<b>EXCLUDE YOURSELF</b>	Get no payment. This is the only option that allows you to ever be part of any other lawsuit against the Defendants or any other Released Parties regarding the legal claims in this case. Requests for Exclusion must be received by June 15, 2022
<b>OBJECT</b>	Write to the Court about why you do not like the Settlement, the Plan of Allocation, and/or the request for attorneys’ fees, costs, and expenses. You will still be a member of the Settlement Class. Objections must be received by counsel by June 22, 2022
<b>GO TO THE HEARING</b>	Ask to speak in Court about the fairness of the Settlement. Requests to speak must be received by counsel by June 22, 2022 for the Settlement Hearing on July 6, 2022.
<b>DO NOTHING</b>	Get no payment. Give up your rights.

## INQUIRIES

**Please do not contact the Court regarding this Notice.** All inquiries concerning this Notice, the Proof of Claim and Release Form, or any other questions by Settlement Class Members should be directed to:

Innocoll Holdings Public Limited Company Securities Litigation c/o Strategic Claims Services P.O. Box 230 600 N. Jackson St., Ste. 205 Media, PA 19063 Telephone: (866) 274-4004 Fax: (610) 565-7985 Email: info@strategicclaims.net	or	Jonathan Horne THE ROSEN LAW FIRM, P.A. 275 Madison Avenue, 40 <sup>th</sup> Floor New York, NY 10016 Telephone: (212) 686-1060 Fax: (212) 202-3827 Email: jhorne@rosenlegal.com
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## DEFINITIONS

All capitalized terms not otherwise defined herein shall have the same meanings as set forth in the Stipulation of Settlement, dated November 24, 2021 (the “Settlement Stipulation”).

## BASIC INFORMATION CONCERNING THE SETTLEMENT

### 1. Why did I get the Postcard Notice?

You or someone in your family or household may have purchased or otherwise acquired securities of Innocoll between July 25, 2014 and December 29, 2016, both dates inclusive (the “Settlement Class Period”).

### 2. What is this lawsuit about?

This case is known as *In re Innocoll Holdings Public Limited Company Securities Litigation*, Case No. 2:17-cv-00341-GEKP (E.D. Pa.) (the “Action”). The Court handling the case is the United States District Court for the Eastern District of Pennsylvania, located in Philadelphia, Pennsylvania. The Judge assigned is Gene E.K. Pratter. The Action involves allegations that Defendants violated certain federal securities laws by allegedly making misrepresentations and/or omissions of material fact in public statements concerning XaraColl that omitted to disclose the risk that the FDA would deem XaraColl a drug/device combination rather than a drug, and deny approval or refuse to file the application on that basis. The Second Amended Class Action Complaint for Violations of the Federal Securities Laws alleges that the misstatements or omissions artificially inflated the price of Innocoll securities, and that the securities’ prices dropped in response to Innocoll’s disclosure that it had received a letter from the FDA refusing to file the XaraColl NDA. Defendants have denied and continue to deny each, any and all allegations of deception, wrongdoing, fault, liability, or damage whatsoever asserted in the Action. The Settlement shall in no event be construed as, or deemed to be evidence of, liability, fault, wrongdoing, injury or damages, or of any wrongful conduct, acts or omissions on the part of Defendants or other Released Parties, or of any infirmity of any defense, or of any damages to the Plaintiffs or any other Settlement Class Member. The Settlement resolves all of the claims in the Action, as well as certain other claims or potential claims, whether known or unknown.

### 3. Why is this a class action?

In a class action, one or more persons called plaintiffs sue on behalf of all persons who have similar claims. All of the persons with similar claims are referred to as a class. One court resolves the issues for all class members, except for those who exclude themselves from the class.

**4. Why is there a settlement?**

Lead Plaintiffs and Defendants do not agree regarding the merits of Lead Plaintiffs' allegations and Defendants' defenses with respect to liability or the average amount of damages per share, if any, that would be recoverable if Lead Plaintiffs were to prevail at trial on each claim. The issues on which Lead Plaintiffs and the Defendants disagree include: (1) whether the challenged statements were materially false or misleading or otherwise actionable under federal securities law; (2) whether Defendants had a duty to disclose the allegedly omitted information; (3) whether the Defendants acted in a deceitful manner or otherwise with the requisite scienter; (4) whether the alleged disclosures were corrective disclosures; (5) the causes of the loss in the value of the securities; and (6) the amount of alleged damages, if any, that could be recovered at trial.

This matter has not gone to trial and the Court has not decided in favor of either Lead Plaintiffs or Defendants. Instead, Lead Plaintiffs and Defendants have agreed to settle the case. Lead Plaintiffs and Lead Counsel believe the Settlement is best for all Settlement Class Members because of the uncertainty, risks, amount of time, and expenses associated with continued litigation and the nature of the defenses raised by the Defendants. Among the reasons that Lead Plaintiffs and Lead 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. Even if Lead Plaintiffs were to win at trial, Defendants could appeal the case to one or more higher courts.

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

**WHO IS IN THE SETTLEMENT**

To see if you will get money from this Settlement, you first have to determine if you are a Class Member.

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

The Settlement Class includes all persons or entities, except those who are excluded as described below, who purchased or otherwise acquired securities of Innocoll between July 25, 2014, and December 29, 2016, both dates inclusive (the "Settlement Class Period").

If you purchased Innocoll securities during the Settlement Class Period, that alone does not make you a Settlement Class Member. You are a Settlement Class Member only if you directly purchased or otherwise acquired Innocoll securities during the Settlement Class Period. Contact your broker to see if you have made any of these transactions.

**6. Are there exceptions to being included?**

Yes. Excluded from the Settlement Class are Defendants, the officers and directors of Innocoll, members of the Individual Defendants' immediate families and their legal representatives, heirs, successors or assigns and any entity in which Individual Defendants have or had a controlling interest, and Opt-Outs *i.e.*, those Persons who timely and validly request exclusion from the Settlement Class in accordance with the requirements set forth below.

While you remain a member of the Settlement class, you are excluded from recovering any portion of the Settlement Fund if you have a net profit in purchases and sales of Innocoll securities or otherwise suffered no compensable damages during the Settlement Class Period.

**7. What if I am still not sure if I am included?**

If you are still not sure whether you are included, you can ask for free help. You can contact the Claims Administrator toll-free at (866) 274-4004 or at [info@strategicclaims.net](mailto:info@strategicclaims.net) or by visiting the website at <https://www.strategicclaims.net>, or you can fill out and return the Proof of Claim form enclosed with this Notice package to see if you qualify.

**THE SETTLEMENT BENEFITS – WHAT YOU GET****8. What does the Settlement provide?**

The proposed Settlement provides for Defendants' insurer to pay \$2,755,000 ("Settlement Amount") into a settlement fund ("Settlement Fund"). The Settlement is subject to Court approval. 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 Lead Counsel, and a Compensatory Award to Lead Plaintiffs for their services representing the Settlement Class. 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 the Postcard 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.

**9. How much will my payment be?**

Your share of the Net Settlement Fund will depend on several factors, including: (i) how many Innocoll securities you purchased or sold during the Settlement Class Period, and the dates and prices of those purchases and sales; (ii) the number of timely and valid claims submitted by other Settlement Class Members, and the purchases and sales of Innocoll securities represented by those claims; (iii) the amount of administrative costs, including the costs of notice; and (iv) the amount awarded by the Court to Lead Counsel for attorneys' fees, costs, and expenses and to Lead Plaintiffs as a Compensatory Award.

The Claims Administrator will determine each Settlement Class Member's *pro rata* share of the Net Settlement Fund based upon each Settlement Class Member's valid "Recognized Loss." The Recognized Loss formula is the basis upon which the Net Settlement Fund will be proportionately allocated to the Settlement Class Members with valid claims. The Recognized Loss formula is not intended to be an estimate of the amount that a Settlement Class Member might have been able to recover after a trial; it also is not an estimate of the amount that will be paid to Settlement Class Members pursuant to the Settlement. You can calculate your Recognized Loss by following the instructions in the Plan of Allocation at page 11 of this Notice.

It is unlikely that you will get a payment for the total of your Recognized Loss. After all Settlement Class Members have sent in their Proof of Claim forms, the payment you get will be a part of the Net Settlement Fund equal to your Recognized Loss divided by the total of everyone's Recognized Losses.

**HOW YOU GET A PAYMENT—SUBMITTING A CLAIM FORM****10. How can I get a payment?**

To qualify for a payment, you should fill out a form online at [www.strategicclaims.net](http://www.strategicclaims.net), the Claims Administrator's website. The Claims Administrator will process your claim and determine whether you are an Authorized Claimant. Read the instructions carefully, fill out the form, and sign it in the location indicated. The Claims Administrator's website also includes instructions on downloading your transaction data directly from your brokerage so that you do not have to manually enter each transaction.

If you are unable to fill out a form online, please print the form entitled “Proof of Claim and Release” available on the Claims Administrator’s website, fill it out, and mail it to the address below.

Innocoll Holdings Public Limited Company Securities Litigation  
c/o Strategic Claims Services  
P.O. Box 230  
600 N. Jackson St., Ste. 205  
Media, PA 19063

Please note that if you choose to print and mail a form, you will need to manually enter each transaction.

Typically, most class members submit electronic claims. Submitting a claim by mail significantly increases the time necessary to process the claim, which both delays payments to all Settlement Class Members and reduces the amount of money that can be distributed to Settlement Class Members.

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

**You must file your claim online by 11:59 PM on June 6, 2022 or mail your claim form so that it is postmarked no later than June 6, 2022.**

**11. When would I get my payment?**

The Court will hold a Settlement Hearing on July 6, 2022 at 2:00 p.m. to decide whether to approve the Settlement. If the Court approves the Settlement, there might be appeals afterwards. It is always uncertain how these appeals will be resolved, and the amount of time any resolution will take, with some appeals taking more than a year. It also takes time for all the Proofs of Claim to be processed. Please be patient.

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

Unless you exclude yourself from the Settlement Class by the June 15, 2022 deadline, you will remain a member of the Settlement Class and will be bound by the release of claims against Defendants and other Released Parties if the Settlement is approved. That means you and all other Settlement Class Members and each of their respective present, former and future direct and indirect 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 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 Defendants and other Released Parties any and all Released Claims Against Defendants. 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 Innocoll securities during the Settlement Class Period. The specific terms of the release, including the nature of all claims that are being released, are included in the Settlement Stipulation. Information about how to access a copy of the Settlement Stipulation is included below.

**EXCLUDING YOURSELF FROM THE SETTLEMENT**

If you do not want a payment from this Settlement and you want to keep any right you may have to sue or continue to sue Defendants or other Released Parties on your own about the claims being released in this Settlement, then you must take steps to remove yourself from the Settlement Class. This is called excluding yourself, or “opting out,” from the Settlement Class.

**13. How do I get out of the proposed Settlement?**

To exclude yourself from the Settlement Class, you must mail a letter stating that you “request exclusion from the Settlement Class in the *In re Innocoll Holdings Public Limited Company Securities Litigation*, Case No. 2:17-cv-00341-GEKP (E.D. Pa.)”. To be valid, the letter must state (A) your name, address, telephone number, and e-mail address (if any), and state that you “request to be excluded from the Settlement Class in *In re Innocoll Holdings Public Limited Company Securities Litigation*, Case No. 2:17-cv-00341-GEKP (E.D. Pa.); (B) the date, number of shares, and dollar amount of all purchases, acquisitions, sales, or dispositions of Innocoll securities made by you or someone acting on your behalf during the Settlement Class Period, and provide documentary proof of each such transaction; and (C) the number of shares of Innocoll securities held by you as of July 25, 2014 and December 29, 2016. Any request for exclusion must be signed and submitted by you, as the beneficial owner, under penalty of perjury, or a representative. If your representative signs the request for exclusion, the representative must provide documents proving that he or she has authority to act for you. You must submit your exclusion request by mail so that it is **received no later than June 15, 2022 at:**

Innocoll Holdings Public Limited Company Securities Litigation  
c/o Strategic Claims Services  
P.O. Box 230  
600 N. Jackson St., Ste. 205  
Media, PA 19063

You may also exclude yourself by filling out a form on the settlement website, provided that the request for exclusion is received **no later than June 15, 2022**.

You cannot exclude yourself from the Settlement Class 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, and you will not be legally bound by the judgment in this case.

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

No. Unless you exclude yourself by following the instructions above, you give up any rights to sue the Defendants or the other Released Parties for the claims being released in this Settlement. If you have a pending lawsuit against the Released Parties or 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. Remember, the exclusion deadline is **June 15, 2022**.

**15. If I exclude myself, can I get money from the proposed Settlement?**

No. If you exclude yourself, you may not send in a Proof of Claim to ask for any money.

**THE LAWYERS REPRESENTING YOU**

**16. Do I have a lawyer in this case?**

The Court has appointed The Rosen Law Firm, P.A., as Lead 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 above.

**17. How will the lawyers be paid?**

Lead Counsel have expended considerable time litigating this Action on a contingent-fee basis, and have paid for the expenses of the case themselves. They have not been paid attorneys’ fees or reimbursed for their expenses in advance of this Settlement. Lead Counsel have worked on this case 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. Lead Counsel will not receive attorneys’ fees or be reimbursed for their litigation expenses except from the Settlement Fund. Therefore, Lead Counsel will file a motion at the Settlement Hearing asking the Court for an award of attorneys’ fees in an amount not greater than one-third of the Settlement Fund, equaling \$918,333.33 plus interest, plus reimbursement of litigation expenses of no more than \$325,000 and a Compensatory Award to Lead Plaintiffs collectively not to exceed \$20,000 (or \$10,000 each). The Court may award less than these amounts. Any amounts awarded by the Court will come out of the Settlement Fund.

**OBJECTING TO THE SETTLEMENT**

**18. How do I tell the Court that I object to the proposed Settlement?**

If you are a Settlement Class Member, you can tell the Court you do not agree with the proposed Settlement, any part of the Settlement, the proposed Plan of Allocation, and/or Lead Counsel’s motion for attorneys’ fees and expenses and application for a Compensatory Award to Lead Plaintiffs. You can write to the Court setting out your objection. The Court will consider your views.

To object, you must send a signed letter saying that you object to the proposed Settlement in *In re Innocoll Holdings Public Limited Company Securities Litigation*, Case No. 2:17-cv-00341-GEKP (E.D. Pa.). Be sure to include (1) your name, address, telephone number, and your signature; (2) the date(s), price(s), and amount(s) of all Innocoll securities that you purchased, otherwise acquired, sold, or otherwise disposed of 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.

You do not need to attend the Settlement Hearing. If you wish to be heard orally at the Settlement Hearing, you must indicate in your written objection that you intend to appear at the Settlement Hearing and identify any witnesses you may call to testify and exhibits you intend to introduce into evidence at the Settlement Hearing.

Be sure to mail or deliver copies of any objections, papers and briefs to **each** of the addresses listed below such that they are **received no later than June 22, 2022**:

Clerk of the Court	Lead Counsel	Counsel For Defendants
United States District Court Eastern District of Pennsylvania 601 Market Street Room 2609 Philadelphia, PA 19106-1797	Jonathan Horne THE ROSEN LAW FIRM, P.A. 275 Madison Avenue 40 <sup>th</sup> Floor New York, NY 10016	Kenneth J. Pfaehler DENTONS US LLP 1900 K Street, N.W. Washington, D.C. 20006

**19. What is the difference between objecting and excluding myself?**

Objecting is simply telling the Court you do not like something about the Settlement or some portion thereof. You can object only if you stay in the Settlement Class. Requesting exclusion is telling the Court

you do not want to be part of the Settlement Class or the Settlement. If you exclude yourself, you cannot object to the Settlement 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.

### THE COURT'S SETTLEMENT HEARING

The Court will hold a hearing to decide whether to approve the proposed Settlement. You may attend, and you may ask to speak, but you do not have to.

#### 20. **When and where will the Court decide whether to approve the proposed Settlement?**

The Court will hold a Settlement Hearing on July 6, 2022 at 2:00 p.m. at the United States District Court for the Eastern District of Pennsylvania, 10613 U.S. Courthouse, 601 Market Street, Courtroom 10-B, Philadelphia, PA, 19106.

At this hearing, the Court will consider whether the proposed Settlement is fair, reasonable, and adequate and should be approved by the Court; whether an Order and Final Judgment as provided in the Settlement Stipulation should be entered; and whether the proposed Plan of Allocation should be approved. 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 should be awarded to Lead Counsel for attorneys' fees and expenses and a Compensatory Award to Lead Plaintiffs for their service to the Settlement Class.

We do not know how long these decisions will take. You should be aware that the Court may change the date and time of the Settlement Hearing without another notice being sent to Class Members. If you want to attend the hearing, you should check with Lead Counsel beforehand to be sure that the date and/or time has not changed.

#### 21. **Do I have to come to the hearing?**

No. Lead 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. You may also pay your own lawyer to attend, but it is not necessary. Settlement Class Members do not need to appear at the hearing or take any other action to indicate their approval.

#### 22. **May I speak at the hearing?**

If you object to the Settlement, you may ask the Court for permission to speak at the Settlement Hearing. To do so, you must include with your objection (see question 18 above) a statement that you "intend to appear in the *In re Innocoll Holdings Public Limited Company Securities Litigation*, Case No. 2:17-cv-00341-GEKP (E.D. Pa.)." Persons who intend to object to the Settlement, the Plan of Allocation, the application for an award of attorneys' fees, costs, and expenses, and/or the Compensatory Award to Lead Plaintiffs and desire to present evidence at the Settlement Hearing, must include in their written objections the identity of any witnesses they may call to testify and exhibits they intend to introduce into evidence at the Settlement Hearing. You cannot speak at the hearing if you exclude yourself.

### IF YOU DO NOTHING

#### 23. **What happens if I do nothing at all?**

If 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 Defendants or the Released Parties about the Released Claims (as defined in the Settlement Stipulation) ever again.

## GETTING MORE INFORMATION

### 24. Are there more details about the proposed Settlement?

This Notice summarizes the proposed Settlement. More details are in the Settlement Stipulation. The Settlement Stipulation is the controlling document describing the proposed Settlement, and its terms govern anything to the contrary in this Notice. You can get a copy of the Settlement Stipulation and obtain answers to common questions regarding the proposed Settlement by visiting <https://www.strategicclaims.net> or by contacting the Claims Administrator toll-free at (866) 274-4004.

### 25. How do I get more information?

For even more detailed information concerning the matters involved in this Action, see the Settlement Stipulation, the pleadings in the Action, the papers filed in support of the Settlement, and the orders entered by the Court, which will be posted on the settlement website <https://www.strategicclaims.net>. For a fee, all papers filed in this Action are also available at [www.pacer.gov](http://www.pacer.gov).

## SPECIAL NOTICE TO BROKERS AND OTHER NOMINEES

If, between July 25, 2014 and December 29, 2016, both dates inclusive, you purchased, otherwise acquired, or sold Innocoll 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 THE NOTICE**, you either (a) provide to the Claims Administrator the name, last known address, and email address, if an email address is available, of each person or organization for whom or which you purchased such Innocoll securities during such time period; (b) request an electronic copy of the Publication Notice or a link to the Notice and Proof of Claim and Release Form and email the Publication Notice or link to the Notice and Proof of Claim and Release Form in electronic format to each beneficial owner for whom you are nominee or custodian within ten (10) days after receipt thereof; or (c) request additional copies of the Postcard Notice, which will be provided to you free of charge, and within ten (10) days of receipt, mail the Postcard Notice directly to the beneficial owners of the Innocoll securities. If you choose to follow alternative procedures (b) or (c), the Court has directed that, upon such mailing or emailing, you send a statement to the Claims Administrator confirming that the mailing or emailing 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 a maximum of \$0.05 plus postage at the pre-sort postage rate used by the Claim Administrator per Postcard Notice mailed; \$0.05 per emailed notice; or \$0.05 per name, address, and email address provided to the Claims Administrator. 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.

Any nominee or custodian who fails timely to comply with this Order must provide the Claims Administrator with an excuse for its neglect, in writing. Failure timely to comply and to provide an excuse for its failure to comply with this Order may cause the Court to deny any request to extend deadlines for exclusion, objection, or filing claims for a nominee's or custodian's beneficial owners. In turn, the nominee's or custodian's failure to timely or otherwise comply may disable its beneficial owners from excluding themselves from the Settlement Class, objecting to the Settlement, and recovering from the Settlement Fund.

**PROPOSED PLAN OF ALLOCATION OF NET SETTLEMENT FUND  
AMONG SETTLEMENT CLASS**

Each Authorized Claimant shall 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. Recognized Losses will be calculated as follows:

- I) For common shares purchased in the initial public offering (IPO), on or about July 25, 2014, the Recognized Loss shall be calculated as follows:
  - A. For shares retained at the end of trading on March 29, 2017, the Recognized Loss shall be 10% of the lesser of:
    - (i) \$1.08 per share; or
    - (ii) the difference between the purchase price per share and \$0.79 per share<sup>1</sup>.
  - B. For shares sold on or before December 29, 2016, the Recognized Loss per share shall be \$0.
  - C. For shares sold between December 30, 2016 and March 29, 2017, inclusive, the Recognized Loss shall be 10% of the lesser of:
    - i) \$1.08 per share; or
    - ii) the difference between the purchase price per share and the average closing price per share as of date of sale provided in Table A below.
  
- II) For common shares purchased after the IPO between July 25, 2014 and March 16, 2016, inclusive, the Recognized Loss shall be calculated as follows:
  - A. For shares retained at the end of trading on March 29, 2017, the Recognized Loss shall be 50% of the lesser of:
    - i) \$1.08 per share; or
    - ii) the difference between the purchase price per share and \$0.79 per share.
  - B. For shares sold on or before December 29, 2016, the Recognized Loss per share shall be \$0.
  - C. For shares sold between December 30, 2016 and March 29, 2017, inclusive, the Recognized Loss shall be 50% of the lesser of:
    - i) \$1.08 per share; or
    - ii) the difference between the purchase price per share and the average closing price per share as of date of sale provided in Table A below.
  
- III) For common shares purchased between March 17, 2016 and December 29, 2016, inclusive, the Recognized Loss shall be calculated as follows:
  - A. For shares retained at the end of trading on March 29, 2017, the Recognized Loss shall be the lesser of:
    - i) \$1.08 per share; or
    - ii) the difference between the purchase price per share and \$0.79 per share

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<sup>1</sup>Pursuant to Section 21(D)(e)(1) of the Private Securities Litigation Reform Act of 1995, "in any private action arising under this title in which the plaintiff seeks to establish damages by reference to the market price of a security, the award of damages to the plaintiff shall not exceed the difference between the purchase or sale price paid or received, as appropriate, by the plaintiff for the subject security and the mean trading price of that security during the 90-day period beginning on the date on which the information correcting the misstatement or omission that is the basis for the action is disseminated." \$0.79 per share was the mean (average) daily closing trading price of the Company's common shares during the 90-day period beginning on December 30, 2016 and ending on March 29, 2017.

- B. For shares sold on or before December 29, 2016, the Recognized Loss per share shall be \$0.
- C. For shares sold between December 30, 2016 and March 29, 2017, inclusive, the Recognized Loss shall be the lesser of:
- i) \$1.08 per share; or
  - ii) the difference between the purchase price per share and the average closing price per share as of date of sale provided in Table A below.

<b>TABLE A</b>										
<u>Date</u>	<u>Closing Price</u>	<u>Average Closing Price</u>		<u>Date</u>	<u>Closing Price</u>	<u>Average Closing Price</u>		<u>Date</u>	<u>Closing Price</u>	<u>Average Closing Price</u>
12/30/2016	\$0.69	\$0.69		2/1/2017	\$0.55	\$0.65		3/3/2017	\$0.72	\$0.65
1/3/2017	\$0.70	\$0.70		2/2/2017	\$0.60	\$0.65		3/6/2017	\$0.73	\$0.65
1/4/2017	\$0.68	\$0.69		2/3/2017	\$0.59	\$0.64		3/7/2017	\$0.71	\$0.65
1/5/2017	\$0.69	\$0.69		2/6/2017	\$0.60	\$0.64		3/8/2017	\$0.72	\$0.66
1/6/2017	\$0.66	\$0.68		2/7/2017	\$0.59	\$0.64		3/9/2017	\$0.73	\$0.66
1/9/2017	\$0.63	\$0.68		2/8/2017	\$0.58	\$0.64		3/10/2017	\$0.80	\$0.66
1/10/2017	\$0.63	\$0.67		2/9/2017	\$0.58	\$0.64		3/13/2017	\$1.66	\$0.68
1/11/2017	\$0.63	\$0.66		2/10/2017	\$0.66	\$0.64		3/14/2017	\$1.48	\$0.70
1/12/2017	\$0.64	\$0.66		2/13/2017	\$0.69	\$0.64		3/15/2017	\$1.37	\$0.71
1/13/2017	\$0.61	\$0.66		2/14/2017	\$0.63	\$0.64		3/16/2017	\$1.88	\$0.73
1/17/2017	\$0.65	\$0.66		2/15/2017	\$0.64	\$0.64		3/17/2017	\$1.25	\$0.74
1/18/2017	\$0.68	\$0.66		2/16/2017	\$0.68	\$0.64		3/20/2017	\$1.12	\$0.75
1/19/2017	\$0.69	\$0.66		2/17/2017	\$0.68	\$0.64		3/21/2017	\$1.05	\$0.75
1/20/2017	\$0.70	\$0.66		2/21/2017	\$0.67	\$0.64		3/22/2017	\$1.19	\$0.76
1/23/2017	\$0.69	\$0.66		2/22/2017	\$0.67	\$0.64		3/23/2017	\$1.04	\$0.77
1/24/2017	\$0.65	\$0.66		2/23/2017	\$0.64	\$0.64		3/24/2017	\$1.03	\$0.77
1/25/2017	\$0.67	\$0.66		2/24/2017	\$0.62	\$0.64		3/27/2017	\$1.02	\$0.78
1/26/2017	\$0.64	\$0.66		2/27/2017	\$0.68	\$0.64		3/28/2017	\$1.08	\$0.78
1/27/2017	\$0.60	\$0.66		2/28/2017	\$0.69	\$0.64		3/29/2017	\$1.20	\$0.79
1/30/2017	\$0.60	\$0.66		3/1/2017	\$0.81	\$0.65				
1/31/2017	\$0.59	\$0.65		3/2/2017	\$0.72	\$0.65				

### INSTRUCTIONS APPLICABLE TO ALL CLAIMANTS

The payment you receive will reflect your proportionate share of the Net Settlement Fund. Such payment will depend on the number of eligible securities that participate in the Settlement, and when those securities were purchased and sold. The number of claimants who send in claims varies widely from case to case.

If you had a trading gain or “broke even” from your overall transactions in Innocoll securities during the Settlement Class Period, the value of 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 Innocoll securities during the Settlement Class Period, but that trading loss was less than the Recognized Loss calculated above, your Recognized Loss shall be limited to the amount of your actual trading loss.

A purchase or sale of Innocoll securities shall be deemed to have occurred on the “contract” or “trade” date as opposed to the “settlement” or “payment” date.

Acquisition by Gift, Inheritance, or Operation of Law: If you acquired Innocoll securities during the Settlement Class Period by way of gift, inheritance or operation of law, your claim will be computed by

using the date and price of the original purchase and not the date and price of transfer. If those Innocoll securities were originally purchased before the Settlement Class Period, your Recognized Loss for that acquisition will be zero (\$0.00).

Notwithstanding any of the above, your receipt of Innocoll securities during the Settlement Class Period in exchange for securities of any other corporation or entity shall not be deemed a purchase or sale of Innocoll securities.

On the Proof of Claim and Release Form enclosed with this Notice, you must provide all of your purchases, acquisitions, and sales of Innocoll securities during the time period from July 24, 2014 through and including March 29, 2017. Your purchases and sales will be accounted for on a first-in-first-out (“FIFO”) basis. Sales will be matched in chronological order, by trade date, against your the purchases of Innocoll securities stock during the Settlement Class Period.

The date of covering a “short sale” is deemed to be the date of purchase of shares. The date of a “short sale” is deemed to be the date of sale of shares. In accordance with the Plan of Allocation, however, the Recognized Loss on “short sales” is zero.

With respect to Innocoll securities purchased or sold through the exercise of an option, the purchase/sale date of the stock shall be the exercise date of the option and the purchase/sale price of the stock shall be the closing price of Innocoll securities on the date of exercise. Any Recognized Loss arising from purchases of Innocoll securities acquired during the Settlement Class Period through the exercise of an option on Innocoll securities<sup>2</sup> shall be computed as provided for other purchases of Innocoll securities in the Plan of Allocation.

Payment pursuant to the Plan of Allocation approved by the Court shall be conclusive against all Authorized Claimants. No person shall have any claim against Defendants, Defendants’ Counsel, Lead Plaintiffs, Lead Counsel or the Claims Administrator or other agent designated by Lead Counsel based on the distributions made substantially in accordance with the Settlement Stipulation and the Settlement contained therein, the Plan of Allocation, or further orders of the Court. Each Claimant shall be deemed to have submitted to the jurisdiction of the Court with respect to the Claimant’s Proof of Claim form. All persons involved in the review, verification, calculation, tabulation, or any other aspect of the processing of the claims submitted in connection with the Settlement, or otherwise involved in the administration or taxation of the Settlement Fund or the Net Settlement Fund shall be released and discharged from any and all claims arising out of such involvement, and all Settlement Class Members, whether or not they are to receive payment from the Net Settlement Fund, will be barred from making any further claim against the Net Settlement Fund beyond the amount allocated to them as provided in any distribution orders entered by the Court.

If you do not submit an acceptable Proof of Claim, you will not share in the Settlement proceeds. The Settlement Stipulation and the Order and Final Judgment dismissing this Action will nevertheless bind you unless you not submit a request for exclusion and/or submit an acceptable Proof of Claim.

Please contact the Claims Administrator or Lead Counsel if you disagree with any determinations made by the Claims Administrator regarding your Proof of Claim. If you are unsatisfied with the determinations, you may ask the Court, which retains jurisdiction over all Settlement Class Members and the claims administration process, to decide the issue by submitting a written request.

Distributions will be made to Authorized Claimants after all claims have been processed and after the Court has finally approved the Settlement. If any funds remain in the Net Settlement Fund by reason of uncashed distribution checks or otherwise, then, after the Claims Administrator has made reasonable and

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<sup>2</sup> Including (1) purchases of Innocoll securities as the result of the exercise of a call option, and (2) purchases of Innocoll securities by the seller of a put option as a result of the buyer of such put option exercising that put option.

diligent efforts to have Settlement Class Members who are entitled to participate in the distribution of the Net Settlement Fund cash their distributions, any balance remaining in the Net Settlement Fund after at least six (6) months after the initial distribution of such funds will be used in the following fashion: (a) first, to pay any amounts mistakenly omitted from the initial disbursement; (b) second, to pay any additional settlement administration fees, costs, and expenses, including those of Lead Counsel as may be approved by the Court; and (c) finally, to make a second distribution to claimants who cashed their checks from the initial distribution and who would receive at least \$10.00, after payment of the estimated costs, expenses, or fees to be incurred in administering the Net Settlement Fund and in making this second distribution, if such second distribution is economically feasible. These redistributions shall be repeated, if economically feasible, until the balance remaining in the Net Settlement Fund is *de minimis*, and such remaining balance will then be distributed to a non-sectarian, not-for-profit organization identified by Lead Counsel.

DATED: MARCH 10, 2022

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BY ORDER OF THE UNITED STATES DISTRICT  
COURT FOR THE EASTERN DISTRICT OF  
PENNSYLVANIA

**PROOF OF CLAIM AND RELEASE FORM**

**Deadline for Submission: June 6, 2022**

IF YOU PURCHASED OR OTHERWISE ACQUIRED PUBLICLY TRADED SECURITIES OF INNOCOLL HOLDINGS PUBLIC LIMITED COMPANY (“INNOCOLL”) (F/K/A INNOCOLL AG) BETWEEN JULY 25, 2014, AND DECEMBER 29, 2016, BOTH DATES INCLUSIVE (“SETTLEMENT CLASS PERIOD” AND “SETTLEMENT CLASS MEMBER”), YOU MAY BE ELIGIBLE FOR A PAYMENT (EXCLUDED FROM THE SETTLEMENT CLASS ARE DEFENDANTS, THE OFFICERS AND DIRECTORS OF INNOCOLL, MEMBERS OF THE INDIVIDUAL DEFENDANTS’ IMMEDIATE FAMILIES AND THEIR LEGAL REPRESENTATIVES, HEIRS, SUCCESSORS OR ASSIGNS AND ANY ENTITY IN WHICH OFFICER OR DIRECTOR DEFENDANTS HAVE OR HAD A CONTROLLING INTEREST.)

ALSO EXCLUDED FROM THE SETTLEMENT CLASS ARE ALL PUTATIVE MEMBERS OF THE SETTLEMENT CLASS WHO EXCLUDE THEMSELVES BY FILING A VALID AND TIMELY REQUEST FOR EXCLUSION, AND PERSONS WITH NO COMPENSABLE DAMAGES.

MOST CLAIMANTS SUBMIT THEIR PROOF OF CLAIM AND RELEASE FORM ELECTRONICALLY. TO FILE YOUR CLAIM ELECTRONICALLY, YOU MUST COMPLETE AND SUBMIT THE FORM ONLINE AT [WWW.STRATEGICCLAIMS.NET](http://WWW.STRATEGICCLAIMS.NET) NO LATER THAN JUNE 6, 2022.

HOWEVER, YOU MAY ALSO SIGN THIS PROOF OF CLAIM AND RELEASE FORM AND MAIL IT BY FIRST CLASS MAIL, POSTMARKED NO LATER THAN JUNE 6, 2022, TO THE CLAIMS ADMINISTRATOR, AT THE FOLLOWING ADDRESS:

Innocoll Holdings Public Company Limited Securities Litigation  
c/o Strategic Claims Services  
600 N. Jackson St., Ste. 205  
P.O. Box 230  
Media, PA 19063  
Tel.: 866-274-4004  
Fax: 610-565-7985  
[info@strategicclaims.net](mailto:info@strategicclaims.net)

YOUR FAILURE TO SUBMIT YOUR CLAIM BY JUNE 6, 2022 WILL SUBJECT YOUR CLAIM TO REJECTION AND MAY 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 Innocoll AG American Depository Shares (“ADSs”) and/or Innocoll Holdings Public Company Limited (“Innocoll”) common stock during the Settlement Class Period. (Do not submit this Proof of Claim and Release Form if you did not purchase Innocoll 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 Proposed Settlement of Class Action, Motion for Attorneys’ Fees and Expenses, and Settlement Fairness Hearing (the “Notice”), or am (are) acting for such person(s); that I am (we are) not a Defendant in the 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 or acquisition of Innocoll 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 Innocoll 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, dated November 24, 2021 (“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 Stipulation.
10. “Released Claims” has the meaning laid out in the Stipulation.
11. “Unknown Claims” has the meaning laid out in the Stipulation.
12. I (We) acknowledge that the inclusion of “Unknown Claims” in the definition of claims released pursuant to the 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 and/or (b) institutional accounts with large numbers of transactions (“Representative Filers”) must submit information regarding their transactions in an electronic spreadsheet format. If you are a Representative Filer, you must contact the Claims Administrator at [efile@strategicclaims.net](mailto:efile@strategicclaims.net) or visit their website at [www.strategicclaims.net](http://www.strategicclaims.net) to obtain the required file layout. Claims which are not submitted in electronic spreadsheet format and in accordance with the Claims Administrator’s instructions may be subject to rejection. 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. 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](http://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](mailto:info@strategicclaims.net) or (866) 274-4004. If you are not a Representative Filer, but your claim contains a large number of transactions, the Claims Administrator may request that you also submit an electronic spreadsheet showing your transactions to accompany your Proof of Claim and Release Form.

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**I. CLAIMANT INFORMATION**

Beneficial Owner 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 INNOCOLL AG AND/OR INNOCOLL HOLDINGS PUBLIC LIMITED COMPANY (“INNOCOLL”) SECURITIES**

**Beginning Holdings:**

A. State the total number of shares of Innocoll held at the close of trading on July 24, 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 Innocoll securities between July 25, 2014 and March 29, 2017, both dates inclusive, and provide the following information (*must be documented*):

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

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**Sales:**

C. Separately list each and every sale of Innocoll securities between July 25, 2014 and March 29, 2017, 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 Innocoll securities held at the close of trading on March 29, 2017 (*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)	<b>or</b>	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 Stipulation described in the Notice. I (We) also submit to the jurisdiction of the United States District Court for the District of Eastern District of Pennsylvania 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 Innocoll 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

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(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: \_\_\_\_\_

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**THIS PROOF OF CLAIM MUST BE SUBMITTED NO LATER THAN 11:59 P.M. EST ON JUNE 6, 2022, AT WWW.STRATEGICCLAIMS.NET. OR YOU MAY MAIL IT SO THAT IT IS POSTMARKED NO LATER THAN JUNE 6, 2022, TO:**

Innocoll Holdings Public Company Limited Securities 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 June 6, 2022, 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.

The Claims Administrator will acknowledge receipt of your Proof of Claim and Release Form by mail or email within 45 days of receipt. Your claim is not deemed filed until you receive such an acknowledgement. If you do not receive an acknowledgement within 45 days, please contact the Claims Administrator by telephone toll-free at 866-274-4004 or by email at info@strategicclaims.net.

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.

### **REMINDER CHECKLIST**

- Please be sure to sign this Proof of Claim and Release Form on page 20. 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 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 to deliver payment to you.

Innocoll Holdings Public Company Limited Securities Litigation  
c/o Strategic Claims Services  
600 N. Jackson Street, Suite 205  
Media, PA 19063

**IMPORTANT LEGAL NOTICE – PLEASE FORWARD**

# EXHIBIT E



Josephine Bravata <jbravata@strategicclaims.net>

## GlobeNewswire Release Distribution Confirmation: The Rosen Law Firm PA

donotreply@globenewswire.com <donotreply@globenewswire.com>

Mon, Mar 28, 2022 at 9:00 AM

To: jbravata@strategicclaims.net

Cc: jbravata@strategicclaims.net, lrosen@rosenlegal.com



### Release Distribution Confirmation

#### The Rosen Law Firm, P.A. Announces Proposed Securities Class Action Settlement on Behalf of Purchasers of Innocoll publicly traded securities

Cross time: 03/28/22 09:00 AM ET: Eastern Time - [View release on GlobeNewswire.com](#)

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**jbravata@strategicclaims.net**

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## Release Distribution Confirmation

**The Rosen Law Firm, P.A. Announces Proposed Securities Class Action Settlement on Behalf of Purchasers of Innocoll publicly traded securities**

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# INVESTOR'S BUSINESS DAILY

## Affidavit of Publication

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

Name of Publication: IBD Weekly  
 Address: 12655 Beatrice Street  
 City, State, Zip: Los Angeles, CA 90066  
 Phone #: 310.448.6700  
 State of: California  
 County of: Los Angeles

I, Shaun Shen for the publisher of IBD Weekly, published in the city of Los Angeles, state of California, county of Los Angeles hereby certify that the attached notice(s) for INNOCOLL HOLDINGS was printed in said publication on the following date(s):

MARCH 28, 2022 + APRIL 4, 2022

State of California

County of Los Angeles

Subscribed and sworn to (or affirmed) before me on this 4th day of April, 2022, by

[Signature], proved to me on the basis of satisfactory evidence to be the person(s) who appeared before me.

Signature Richard Charles Brand II (Seal)

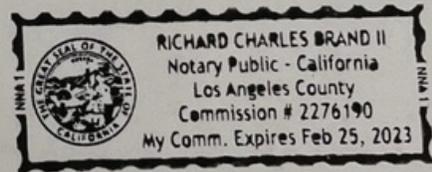


Table: BIG CAP GROWTH ETF (SPYG) VS SMALL CAP GROWTH ETF (SLYG). Columns: Fund Name, Performance (36 Mo, YTD 12Wk, 5Yr, Net Asset NAV), and % Change. Includes line chart comparing performance from April to January.

Table: GROWTH ETF (IUSG) VS VALUE ETF (IUSV). Columns: Fund Name, Performance (36 Mo, YTD 12Wk, 5Yr, Net Asset NAV), and % Change. Includes line chart comparing performance from April to January.

Table: 36 Mo Performance Rating | Fund | % Chg | % After Tax | 5Yr Retn | % After Asset NAV | Net Value | Chg. Lists various funds like CoreR5, Largecap, LargeGrow, etc.

Table: 36 Mo Performance Rating | Fund | % Chg | % After Tax | 5Yr Retn | % After Asset NAV | Net Value | Chg. Lists various funds like Fidelity Select, AmeriCap, etc.

Top Industry & Sector Funds

Best % change in last 4, 8 & 12 weeks on a total return basis. ★ indicates fund is on 3 different weeks' lists.

Table: Top Industry & Sector Funds. Columns: Mutual Fund, % Change, \$ Net Assets. Lists funds like Vanguard EngrlndAdmr, PgmInvest NatlRsrc, etc.

Top Industry & Sector Funds

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U.S. Stock Fund Cash Position

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UNITED STATES DISTRICT COURT, EASTERN DISTRICT OF PENNSYLVANIA. In re Innoceoll Holdings Public Limited Company Securities Litigation. CLASS ACTION. This Document Relates To: All Actions.

UNITED STATES DISTRICT COURT, EASTERN DISTRICT OF PENNSYLVANIA. In re Innoceoll Holdings Public Limited Company Securities Litigation. CLASS ACTION. This Document Relates To: All Actions.

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Advertisement for 'Think & Trade Like A Champion' by Mark Minervini. Features a large image of Minervini and text: 'A MARKET WIZARD TELLS ALL', 'U.S. Investing Champion Mark Minervini Reveals His Proven Superperformance Strategy', 'TRADE LIKE A STOCK MARKET WIZARD', 'Learn the Strategy That Made Him One of America's Most Successful Stock Traders', 'Best Stock Market Books of All Time', 'Book Authority Winner'.

UNITED STATES DISTRICT COURT, EASTERN DISTRICT OF PENNSYLVANIA. In re Innoceoll Holdings Public Limited Company Securities Litigation. CLASS ACTION. This Document Relates To: All Actions.

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Table of financial data with columns for 36 Mo Performance, YTD 12Wk, 5Yr, Net, and various fund names like Neugb Brm Instl, NorthCoastASgmt, etc.

IN THE COURT OF CHANCERY OF THE STATE OF DELAWARE

IN RE COLUMBIA PIPELINE GROUP, INC. MERGER LITIGATION

Consol. C.A. No.: 2018-0484-JTL

SUMMARY NOTICE OF PENDENCY OF STOCKHOLDER CLASS ACTION AND PROPOSED SETTLEMENT, SETTLEMENT HEARING, AND RIGHT TO APPEAR

TO: All public stockholders of Columbia Pipeline Group Inc. ("CPG") at any time from July 6, 2015 through and including July 1, 2016 (the "Class Period")...

PLEASE READ THIS SUMMARY NOTICE CAREFULLY. YOUR RIGHTS WILL BE AFFECTED BY A CLASS ACTION LAWSUIT PENDING IN THIS COURT.

YOU ARE HEREBY NOTIFIED, pursuant to an Order of the Court of Chancery of the State of Delaware (the "Court"), that the above-captioned stockholder class action (the "Action") is pending in the Court.

YOU ARE ALSO NOTIFIED that co-lead plaintiffs Public Employees' Retirement System of Mississippi and Police & Fire Retirement System of the City of Detroit ("Plaintiffs"), on behalf of themselves and the Class, have reached a proposed settlement with defendants Robert C. Skaggs, Jr. and Stephen P. Smith (the "Settling Defendants") for \$79,000,000 in cash (the "Settlement").

A hearing (the "Settlement Hearing") will be held on June 1, 2022, at 9:15 a.m., before The Honorable J. Travis Laster, Vice Chancellor, either in person at the Court of Chancery of the State of Delaware, New Castle County, Leonard L. Williams Justice Center, 500 North King Street, Wilmington, Delaware 19801, or remotely by Zoom (in the discretion of the Court), to among other things: (i) determine whether the Action may be finally maintained as a non-opt-out class action and whether the Class should be finally certified...

If you are a member of the Class, your rights will be affected by the pending Action and the Settlement, and you may be entitled to share in the Net Settlement Fund. If you have not yet received the Notice, you may obtain a copy of the Notice by contacting the Settlement Administrator at Columbia Pipeline Merger Litigation, c/o A.B. Data, Ltd., P.O. Box 173074, Milwaukee, WI 53217, 1-877-316-0167, info@ColumbiaPipelineMergerLitigation.com.

If the Settlement is approved by the Court and the Effective Date occurs, the Net Settlement Fund will be distributed on a pro rata basis to "Eligible Class Members" in accordance with the proposed Plan of Allocation stated in the Notice or such other plan of allocation as is approved by the Court. Under the proposed Plan of Allocation, "Eligible Class Members" consist of Class Members who held shares of CPG common stock at the closing of the July 1, 2016 Merger between CPG and TransCanada Corporation (now known as TC Energy Corp.) and therefore received or were entitled to receive the Merger Consideration for their Eligible Shares.

Any objections to the proposed Settlement, the proposed Plan of Allocation, or Plaintiffs' Lead Counsel's application for an award attorneys' fees and expenses in connection with the Settlement must be filed with the Register in Chancery in the Court of Chancery of the State of Delaware and delivered to Plaintiffs' Lead Counsel and Settling Defendants' Counsel such that they are received no later than May 18, 2022, in accordance with the instructions set forth in the Notice.

Please do not contact the Court or the Office of the Register in Chancery regarding this notice. All questions about this notice, the proposed Settlement, or your eligibility to participate in the Settlement should be directed to the Settlement Administrator or Plaintiffs' Lead Counsel.

Requests for the Notice should be made to the Settlement Administrator: Columbia Pipeline Merger Litigation, c/o A.B. Data, Ltd., P.O. Box 173074, Milwaukee, WI 53217, 1-877-316-0167, info@ColumbiaPipelineMergerLitigation.com, www.ColumbiaPipelineMergerLitigation.com

Inquiries, other than requests for the Notice, should be made to Plaintiffs' Lead Counsel: Jeron van Kwawegen or Ned Seiberger, Labaton Sucharow LLP, 1251 Avenue of the Americas, 44th Floor, New York, New York 10020, 1-800-380-8496, settlements@blbglaw.com

BY ORDER OF THE COURT OF CHANCERY OF THE STATE OF DELAWARE

Table of financial data with columns for 36 Mo Performance, YTD 12Wk, 5Yr, Net, and various fund names like A EquityIncl, A USGrowth, A LrgCpGrowth, etc.

UNITED STATES DISTRICT COURT, EASTERN DISTRICT OF PENNSYLVANIA. SUMMARY NOTICE OF PENDENCY AND PROPOSED SETTLEMENT OF CLASS ACTION AND FINAL APPROVAL HEARING. TO: ALL PERSONS OR ENTITIES WHO PURCHASED OR OTHERWISE ACQUIRED PUBLICLY TRADED INNOCOLL SECURITIES BETWEEN JULY 25, 2014, AND DECEMBER 29, 2016, BOTH DATES INCLUSIVE ("SETTLEMENT CLASS PERIOD").

This announcement is neither an offer to purchase nor a solicitation of an offer to sell Shares (as defined below). The Offer (as defined below) is made solely by the Offer to Purchase, dated April 4, 2022, and the related Letter of Transmittal, and any amendments thereto, and is being made to all holders of Shares.

Notice of Offer to Purchase for Cash Up to 2,000,000 Shares of Common Stock of CONSTELLATION ENERGY CORPORATION at \$55.55 Net Per Share by TRC CAPITAL INVESTMENT CORPORATION.

THE OFFER, TRANSACTION PERIOD AND WITHDRAWAL RIGHTS WILL EXPIRE AT 12:01 A.M., NEW YORK CITY TIME, ON MAY 4, 2022, UNLESS THE OFFER IS EXTENDED OR EARLIER TERMINATED.

Shares tendered pursuant to the Offer may be withdrawn at any time prior to 12:01 a.m., New York City time, on May 4, 2022, (the "Expiration Date") unless the Offer is extended, and, if not yet accepted for payment by the Purchaser, may also be withdrawn after May 16, 2022.

If more than 2,000,000 Shares are validly tendered prior to the Expiration Date and not properly withdrawn, the Purchaser will, upon the terms and subject to the conditions of the Offer, accept for payment and pay for only 2,000,000 Shares on a pro rata basis, with adjustments to avoid purchases of fractional Shares.

The information required to be disclosed pursuant to the Securities Exchange Act of 1934, as amended, is contained in the Offer to Purchase and is incorporated herein by reference.

The Offer to Purchase and the related Letter of Transmittal and other relevant materials will be mailed upon request to record holders of Shares and furnished to brokers, dealers, banks, trust companies and similar persons whose names, or the names of those nominees, appear on the Company's shareholder list or, if applicable, who are listed as participants in a clearing agency's security position listing, for subsequent transmittal to beneficial owners of Shares.

The Information Agent for the Offer is: CNRA FINANCIAL SERVICES INC., 801 Eglinton Avenue West, Suite 400, Toronto, Canada M5N 1E3, Call: (416) 861-9446

# Exhibit 2

**THE ROSEN LAW FIRM P.A.  
BIOGRAPHY**

**I. ATTORNEYS**

**LAURENCE ROSEN - MANAGING PARTNER**

Laurence Rosen is a 1988 graduate of New York University School of Law. He earned an M.B.A. in finance and accounting at the University of Chicago Graduate School of Business and a B.A. in Economics from Emory University. Mr. Rosen served as a law clerk to the Honorable Stanley S. Brotman, Senior United States District Judge for the District of New Jersey. Mr. Rosen entered private practice as an associate at the law firm of Skadden Arps Slate Meagher & Flom in New York City where he participated in a number of complex securities class action and derivative litigation matters. He later served as an associate at McCarter & English in Newark, New Jersey where he specialized in securities and business litigation.

After practicing general securities and commercial litigation in New York City with Solton Rosen & Balakhovsky LLP, Mr. Rosen founded The Rosen Law Firm to represent investors exclusively in securities class actions and derivative litigation. Mr. Rosen is admitted to practice law in New York, California, Florida, New Jersey and the District of Columbia. Mr. Rosen is also admitted to practice before numerous United States District Courts throughout the country and the United States Court of Appeals for the Second, Fourth, and Sixth Circuits.

In 2019 and 2020 Lawdragon named Mr. Rosen as one of the 500 Leading Plaintiff Financial Lawyers. Mr. Rosen was also named by law360 as Titan of Plaintiffs' Bar for 2020.

**PHILLIP KIM – PARTNER**

Mr. Kim graduated from Villanova University School of Law in 2002. He received a B.A. in Economics from The Johns Hopkins University in Baltimore, Maryland in 1999. Prior to joining The Rosen Law Firm, Mr. Kim served as Assistant Corporation Counsel for the City of New York

in the Special Federal Litigation Division. In that position, Mr. Kim defended a number of class action lawsuits, litigated numerous individual actions, and participated in more than seven trials. Mr. Kim focuses his practice on securities class actions and shareholder derivative litigation. Mr. Kim is admitted to the bar of the State of New York and admitted to practice in the United States District Courts for the Southern District of New York, the Eastern District of New York, the Northern District of New York, the Western District of New York, and the District of Colorado, and the United States Court of Appeals for the Second Circuit.

In 2019 and 2020 Lawdragon named Mr. Kim as one of the 500 Leading Plaintiff Financial Lawyers.

**JACOB A. GOLDBERG – PARTNER**

Mr. Goldberg is a 1988 graduate of Columbia University. Mr. Goldberg received his J.D., *cum laude*, from the Temple University School of Law in 1992. For over 23 years, Mr. Goldberg has litigated complex cases at the highest levels, championing the rights of investors, employees and consumers. Mr. Goldberg has recovered over \$200 million for investors in securities class actions. In addition to serving in leadership roles in securities class actions, Mr. Goldberg has litigated many cases under state corporations laws, against faithless boards of directors both on behalf of shareholders, in the mergers and acquisitions context, and, derivatively, on behalf of corporations, to remedy harm to the corporation itself. Mr. Goldberg is admitted to practice law in the Commonwealth of Pennsylvania, New York, the United States Supreme Court, the United States Court of Appeals for the Second, Third, Fourth and Sixth Circuits, and various United States District Courts across the country.

In 2019 and 2020 Lawdragon named Mr. Goldberg as one of the 500 Leading Plaintiff Financial Lawyers.

**JONATHAN A. SAIDEL – PARTNER**

Mr. Saidel has had a long and distinguished career in Pennsylvania politics, as well as in the roles of attorney, accountant and author. He served as Philadelphia city controller for four consecutive terms, each time earning reelection by a wide margin, and enacting financial reforms that have saved taxpayers upwards of \$500 million. Later, in 2010 he went on to campaign for lieutenant governor of Pennsylvania, where he was runner-up to Scott Conklin by only a few thousand votes out of almost 1 million cast. A Lifelong resident of Northeast Philadelphia, Mr. Saidel's tireless dedication to fiscal discipline reduced the city's tax burden and spurred economic development. Mr. Saidel also pushed for important business tax incentives and expanded minority and small business lending, all of which have revitalized the city, helping it prosper and come back from the brink of bankruptcy in the early 1990's to become one of the most vibrant cities on the East Coast.

Mr. Saidel's book, "Philadelphia: A New Urban Direction", is widely considered an essential guide for effective government and corporate governance and is required reading at many colleges and universities.

Mr. Saidel received his JD from the Widener University of Law and is a graduate of Temple University. He is also an adjunct lecturer at the University of Pennsylvania Fels Institute of Government, and Drexel University's MBA Program. In addition to being a Certified Public Account, Jonathan is a recipient of the National Association of Local Government Auditor's Knighton Award, the President's Council on Integrity and Efficiency Award for Excellence, multiple special project awards from the National Association of Local Government Auditors, and the "Controller of the Year" award, a peer recognition presented by the Pennsylvania City Controllers Association.

**SARA FUKS – PARTNER**

Ms. Fuks graduated from Fordham University School of Law, *cum laude*, in February 2005, where she was a member of Fordham Law Review. She received her B.A. in Political Science, *magna cum laude*, from New York University in 2001. Ms. Fuks began her practice at Dewey Ballantine, LLP where she focused on general commercial litigation and then went on to prosecute numerous ERISA and securities class actions as an associate at Milberg LLP. Ms. Fuks is admitted to the bar of the State of New York and admitted to practice in the United States Southern and Eastern District Courts of New York.

**JONATHAN HORNE- PARTNER**

Mr. Horne is a 2009 graduate of New York University School of Law, where he received the Lederman/Milbank Law, Economics, and Business fellowship, and holds a B.A. in Economics & Philosophy from the University of Toronto. Mr. Horne began his practice at Kaye Scholer LLP. Mr. Horne specializes in securities litigation. He is admitted to practice in New York and the United States District Courts for the District of Colorado and the Southern and Eastern Districts of New York. Mr. Horne was named a Super Lawyer – Rising Star for the New York Metro Area.

**YU SHI – COUNSEL**

Mr. Shi received his J.D. from Columbia Law School in 2011 and his B.A., *cum laude*, from Columbia University in 2008. He has been selected to *Super Lawyers* New York Metro Rising Stars list each year since 2018. Mr. Shi began his career as a Special Assistant Corporation Counsel in the New York City Law Department’s Economic Development Division. Mr. Shi joined The Rosen Law Firm in 2012 and focuses his practice on securities litigation. He is admitted to practice in the State of New York, the United States District Courts for the Eastern District of New York, Southern Districts of New York, and the District of Colorado, and the United States Court of Appeals for the Second Circuit.

**JONATHAN STERN – COUNSEL**

Mr. Stern graduated from New York University School of Law in May of 2008, where he was a Development Editor of the Annual Survey of American Law. He received his B.A. in Philosophy with Honors from McGill University. Mr. Stern began his practice in the litigation department of Simpson Thacher & Bartlett LLP, and then went on to practice at the litigation boutique of Simon & Partners LLP, where he participated in a Federal trial. Mr. Stern is admitted to the bar of the State of New York and admitted to practice in the United States Southern and Eastern District Courts of New York.

**BRIAN ALEXANDER – ATTORNEY**

Mr. Alexander graduated from Harvard Law School, *cum laude*, in 2008. He received a B.A. from Cornell University, *magna cum laude*, in 2003. Prior to joining the Rosen Law Firm, Mr. Alexander practiced complex commercial litigation at Boies Schiller Flexner LLP and other prominent law firms in New York. He also served as a law clerk to the Honorable Raymond J. Dearie of the United States District Court for the Eastern District of New York. He is admitted to practice in New York and in the United States District Courts for the Eastern and Southern Districts of New York.

**JOSHUA BAKER – ATTORNEY**

Mr. Baker graduated from the New York University School of Law in 2013. He received a B.A. from the University of Maryland in 2009. Prior to joining the Rosen Law Firm, Mr. Baker practiced complex commercial litigation for a New York firm. He is admitted to practice in New York, Massachusetts, and United States District Courts for the Eastern and Southern Districts of New York.

**JING CHEN - ATTORNEY**

Ms. Chen received a Juris Doctor degree from Pace University School of Law in 2011, Juris Master degree from China University of Political Science and Law in Beijing, China and B.A. in English Literature and Linguistics from Shandong University in Jinan, China. She is admitted to practice in New York, New Jersey and China. Prior to joining The Rosen Law Firm, Ms. Chen practiced corporate law, commercial transactions and arbitration for over two years.

**MICHAEL COHEN - ATTORNEY**

Mr. Cohen focuses his practice on securities and shareholder derivative litigation. Prior to joining The Rosen Law Firm in 2021, Mr. Cohen was an associate in the litigation practice of Kramer Levin Naftalis & Frankel LLP, where he advised corporate and individual clients on a wide variety of litigation and regulatory matters in federal and state courts. He has also served as a law clerk to the Honorable Corinne Beckwith of the District of Columbia Court of Appeals. Mr. Cohen is admitted to practice in New York and the United States District Courts for the Eastern and Southern Districts of New York.

**GONEN HAKLAY – ATTORNEY**

Mr. Haklay graduated from Stanford University School of Law in 1995. He received a B.A. in Political Science from The University of Massachusetts at Amherst in 1992. After several years as an associate at a large Philadelphia law firm, Mr. Haklay joined the Philadelphia District Attorney's office. As a prosecutor, he tried over 100 criminal jury cases and handled both capital and non-capital homicide cases. After 12 years as prosecutor, Mr. Haklay joined a prominent plaintiffs' firm where he tried over ten asbestos cases, recovering millions of dollars for his clients. As a young man, Mr. Haklay served as an infantryman in the Israel Defense Forces. Mr. Haklay is admitted to the bars of the Commonwealth of Pennsylvania, the State of New Jersey, the United

States District Court for the Eastern District of Pennsylvania, and the United States Third Circuit Court of Appeals.

**RYAN HEDRICK – ATTORNEY**

Mr. Hedrick received his J.D. from the University of Chicago in 2019. He received his B.A. in Linguistics and Political Science, *summa cum laude*, from The Ohio State University in 2015. Mr. Hedrick joined the Rosen Law Firm in August 2019. Mr. Hedrick is admitted to practice in New York, New Jersey, and the United States District Court for the District of New Jersey

**DANIEL TYRE-KARP – ATTORNEY**

Prior to joining The Rosen Law Firm in May 2018, Mr. Tyre-Karp was a senior associate in the securities litigation and corporate governance group at Weil, Gotshal & Manges, where he advised corporate and individual clients on a variety of high-stakes regulatory and litigation matters in state and federal courts. Mr. Tyre-Karp's extensive experience includes working on several of the largest recent shareholder class action litigations (*In re American International Group, Inc. 2008 Securities Litigation*, Docket No. 08-CV-4772 (S.D.N.Y.) and related opt-out actions; *In re El Paso Corporation Shareholder Litigation*, Docket No. 6949 (Del. Ch.)), participating in complex business and bankruptcy litigations (*In re Lehman Brothers Holdings, Inc., et al*, Docket No. 1:08-bk-13555 (Bankr. S.D.N.Y.)), and advising numerous clients facing FINRA and SEC investigations. Mr. Tyre-Karp graduated with honors from Wesleyan University in 2003 and received his J.D. from New York University School of Law in 2009, where he served as Senior Notes Editor of the *Journal of Legislation and Public Policy*. He is admitted to practice in New York and the United States District Courts for the Southern and Eastern Districts of New York.

**HA SUNG (SCOTT) KIM – ATTORNEY**

Mr. Kim received his J.D. from the Columbia Law School in 2017. He received his B.A., *magna cum laude*, from Wheaton College in 2013. Mr. Kim joined the Rosen Law Firm in January 2020. Mr. Kim is admitted to practice in New York.

**BRENT LAPOINTE – ATTORNEY**

Mr. LaPointe received his J.D., *cum laude*, from the University of Michigan Law School in 2010, where he served as an Articles Editor on both the Michigan Journal of Law Reform and the Michigan Journal of Gender & Law. Mr. LaPointe received a B.B.A. in Accounting & Information Systems and Political Science, *cum laude*, from the University of Massachusetts-Amherst in 2006. Mr. LaPointe focuses his practice on securities litigation.

**LEAH HEIFETZ-LI – ATTORNEY**

Ms. Heifetz-Li is a 2009 graduate of Columbia Law School, and received a B.A. from the University of Pennsylvania. Ms. Heifetz-Li served as a Law Clerk to the Honorable Cynthia S. Kern, New York State Supreme Court, New York County. She has extensive experience in class action litigation, having previously practiced at a large class action firm representing shareholders in merger and acquisition litigation as well as shareholder derivative actions. Ms. Heifetz-Li has worked on case teams that secured significant financial recoveries for stockholders as well as corporate governance reforms in the Delaware Court of Chancery and other courts throughout the country.

**ERICA STONE- ATTORNEY**

Ms. Stone graduated from the Benjamin N. Cardozo School of Law in 2013. She received her B.A. in Political Science and Communications, *cum laude*, from the University of Pennsylvania in 2009. She is admitted to practice in New York, New Jersey, and the United States

District Courts for the Southern District and Eastern District of New York and the District of New Jersey.

## **II. RECENT ACCOMPLISHMENTS OF THE ROSEN LAW FIRM PA**

Christine Asia Co Ltd. v. Alibaba Group Holding Ltd., No. 15-md-2631 (CM) (SDA). The Rosen Law Firm was sole Class Counsel in this multidistrict certified class action in U.S. District Court for the Southern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. The parties settled this action for \$250 million in cash.

Pirnik v. Fiat Chrysler Automobiles, N.V., 15-CV-7199 (JMF). The Rosen Law Firm was co-Class Counsel in this class action in the U.S. District Court for the Southern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading statements about its true business condition. The parties settled this action for \$110 million in cash.

In re Silver Wheaton Corp. Securities Litigation, No. 15-cv-5146-CAS. The Rosen Law Firm was sole Class Counsel in this certified class action in the U.S. District Court for the Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial statements. This parties settled this action for \$41.5 million in cash.

Hayes v. Magnachip Semiconductor Corp., No. 12-CV-1160-JST. The Rosen Law Firm was co-Class Counsel in this certified class action in the U.S. District Court for Northern District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of false financial statements. The parties settled this action for \$29.7 million.

Menaldi v. Och-Ziff Capital Management Group LLC, No. 14-CV-3251 (JPO). The Rosen Law Firm was co-Class Counsel in this certified class action in the U.S. District Court for Southern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. The parties settled this action for \$28.75 million in cash.

Beck v. Walter Investment Management, No. 14-cv-20880-UU. The Rosen Law Firm was co-Lead Counsel in this consolidated class action in the U.S. District Court for Southern District of Florida. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company concealing its true financial condition. The parties settled the action for \$24 million in cash.

Deering v. Galena Biopharma, Inc., No. 3:14-cv-00367-SI. The Rosen Law Firm was co-Lead Counsel in this class action in the U.S. District Court for District of Oregon. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company concealing an undisclosed stock promotion scheme. The parties have agreed to settle the action for \$20.165 million in cash.

Turocy v. El Pollo Loco Holdings, Inc., No. CV-15-1343-DOC. The Rosen Law Firm was co-Class Counsel in this certified class action in the U.S. District Court for the Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. The parties settled the action for \$20 million in cash.

Yang v. Tibet Pharmaceuticals, Inc., No. 14-cv-3538. The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for the District of New Jersey. The complaint alleged violations of the Securities Act of 1933 in connection with material misrepresentations in the Company's Registration Statement and Prospectus. Plaintiffs and the

underwriters have agreed to settle their claims for \$14 million proof of claim in bankruptcy court. Plaintiffs have also agreed to a \$2.075 million settlement with Tibet's auditor.

In re USA Technologies, Inc. Sec. Litig., No. 19-cv-4565-JHS. The Rosen Law Firm was sole lead counsel in this consolidated class action in U.S. District Court for the Eastern District of Pennsylvania. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act and §§11b and 15 arising out of the Company's issuance of materially false and misleading business information. The parties settled the action for \$15.3 million in cash.

In re Silvercorp Metals, Inc. Securities Litigation, No. 12-CV-9456 (JSR). The Rosen Law Firm was counsel to lead plaintiff in this consolidated class action in the U.S. District Court for Southern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial information. The parties agreed to settle this action for \$14 million in cash.

In re Blue Apron Holdings, Inc. Sec. Litig., No. 17-CV-4846 (WFK)(PK). The Rosen Law Firm is currently serving as co-Lead Counsel in this class action pending in the U.S. District Court for the Eastern District of New York. The complaint alleges violations Sections 11, 12(a)(2), and 15 of the Securities Act arising out of the Company's issuance of materially false and misleading business information. This parties agreed to settle this action for \$13.25 million in cash, pending Court approval.

Kistenmacher v. Atchison (SeaWorld Entertainment Inc.), No. 10437-VCS. The Rosen Law Firm was co-lead counsel in this shareholder derivative action in the Chancery Court for the State of Delaware. The firm secured a \$12.5 million cash payment to SeaWorld along with valuable corporate governance reforms.

Hellum v. Prosper Marketplace, Inc., No. CGC-08-482329. The Rosen Law Firm was class counsel in this certified class action in California Superior Court, San Francisco County

alleging violations of the Securities Act of 1933 and the California Corporations Code in connection with defendants' offer and sale of unregistered securities. Plaintiffs settled this action for \$10 million in cash.

In re Textainer Financial Servs. Corp., No. CGC 05-440303. The Rosen Law Firm was Co-Lead Counsel in this class action in the California Superior Court, San Francisco County alleging breach of fiduciary duty in connection with the sale of the assets of six related publicly traded limited partnerships. After winning the first phase of a multi-phase bench trial, Plaintiffs obtained a \$10 million cash settlement for class members.

Friedman v. Quest Energy Partners LP, et al., No. CIV-08-936-M. The Rosen Law Firm was sole Lead Counsel on behalf of purchasers of Quest Resource Corporation's securities in this consolidated class action filed in the U.S. District Court for the Western District of Oklahoma. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading statements in connection with the Company's former CEO and CFO misappropriating nearly \$10 million. All classes and parties to this litigation settled this action for \$10.1 million in cash.

In re comScore, Inc. Virginia Shareholder Derivative Litigation, No. CL-2016-9465. The Rosen Law Firm was co-lead counsel in this shareholder derivative action in the Virginia state court. The firm helped secure a global settlement of this action and a related federal derivative action consisting of a \$10 million cash payment to comScore along with extensive corporate governance reforms.

Parmelee v. Santander Consumer USA Holdings Inc., No. 3:16-cv-783-K. The Rosen Law Firm was co-Lead Counsel in this class action in the U.S. District Court for the Northern District of Texas. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act

arising out of the Company's issuance of materially false and misleading business information. The parties agreed to settle this case for \$9.5 million in cash.

Meyer v. Concordia International Corp., No. 16-cv-6467 (RMB). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Southern District of New York. The complaint alleged violations of the Securities Exchange Act of 1934 in connection with the Company's issuance of materially false and misleading business information. The parties agreed to settle this case for \$9.25 million in cash.

In re Puda Coal Securities Litigation, No. 11-CV-2598 (DLC) (Partial Settlement). The Rosen Law Firm is currently serving as co-Lead Counsel in this consolidated class action pending in the U.S. District Court for the Southern District of New York. The complaint alleges violations of the Exchange Act and Securities Act arising out of the Company's issuance of materially false and misleading financial statements. The parties agreed to settle Plaintiffs' claims against the underwriters and certain other defendants for \$8.7 million. The case continues against other defendants.

Hufnagle v. RINO International Corporation, No. CV 10-8695-VBF (VBKx). The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for the Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading statements of revenue and earnings. The parties settled this action against the company and its auditor for a total of \$8,685,000 in cash.

In re Montage Technology Group Limited Securities Litigation, No. 3:2014-cv-0722 (SI). The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for the Northern District of California. The complaint alleged violations of §§ 10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of false statements relating

to certain undisclosed related party transactions and the Company's revenue. The parties agreed to settle this action for \$7.25 million in cash.

Blitz v. AgFeed Industries, No. 3:11-0992. The Rosen Law Firm was co-Lead Counsel in this consolidated class action in the U.S. District Court for the Middle District of Tennessee. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial information. The parties agreed to settle this action for \$7 million in cash.

Li v. Aeterna Zentaris, Inc., No. 14-CV-07081 (PGS). The Rosen Law Firm is currently serving as Class Counsel in this certified class action pending in the U.S. District Court for District of New Jersey. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. The parties agreed to settle this action for \$6.5 million in cash, pending Court approval.

Cole v. Duoyuan Printing, Inc., No. 10-CV-7325(GBD). The Rosen Law Firm was Co-Lead Counsel in this class action in the U.S. District Court for the Southern District of New York. The complaint alleged violations of §§ 11, 12(a)(2), and 15 of the Securities Act of 1933 and §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading statements about the Company's true financial condition and adequacy of the Company's internal controls. Plaintiffs and the issuer defendants agreed to a partial settlement of \$4.3 million cash payment to class members. Plaintiffs and the underwriters agreed to a separate \$1,893,750 cash payment to class members. The total settlement was \$6,193,750 in cash.

In re Nature's Sunshine Products, Inc. Securities Litigation, No. 2:06-cv-00267-TS-SA. The Rosen Law Firm was sole Lead Class Counsel in this class action in the U.S. District Court for the District of Utah. The complaint alleged violations of §§ 10b and 20(a) of the Securities Exchange Act arising out of the Company's materially false and misleading statements concerning

its financial statements and business practices. Following the certification of the class and extensive discovery, Plaintiffs agreed to settle this case for \$6 million in cash.

Carmack v. Amaya, Inc., No. 16-cv-1884-JHR-JS. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the District of New Jersey. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. The parties settled this action for \$5.75 million in cash.

Miller v. Global Geophysical Services, No. 14-CV-708. The Rosen Law Firm was Lead Counsel in this consolidated class action in the U.S. District Court for Southern of Texas. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act and Sections 11 and 15 of the Securities Act arising out a financial restatement. The parties settled this case for \$5.3 million in cash.

Bensley v. FalconStor Software, Inc., No. 10-CV-4672 (ERK) (CLP). The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for the Eastern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading statements about the Company's true financial and business condition. The parties agreed to settle this action for \$5 million in cash.

In re Jumia Technologies AG Securities Litigation, No. 19-cv-4397 (PKC). The Rosen Law Firm is co-Lead Counsel in this class action pending in the U.S. District Court for the Southern District of New York. The complaint alleges violations of the Securities Exchange Act of 1934 and the Securities Act of 1933 in connection with the Company's issuance of materially false and misleading financial statements. The collective settlement of this case and related state action is \$5 million in cash, pending Court approval.

Delorosa v. State Street, 17-cv-11155-NMG. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for District of Massachusetts. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. The parties agreed to settle this action for \$4.9 million in cash.

Berry v. KIOR, Inc., No. 13-CV-2443. The Rosen Law Firm was co-Lead Counsel in this class action in the U.S. District Court for the Southern District of Texas. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial statements. The parties settled this action for \$4.5 million in cash.

In re Entropin, Inc. Securities Litigation, Case No. CV 04-6180-RC. The Rosen Law Firm was counsel to Plaintiff in this securities class action in the United States District Court for the Central District of California, and Lead Counsel in the related class action brought in California state court against Entropin, Inc., a defunct pharmaceutical company. These actions alleged violations of §§ 10b and 20(a) of the Securities Exchange Act and violations various state securities laws arising out of allegedly false and misleading statements about the Company's lead drug candidate Esterom, respectively. On the eve of trial, Defendants agreed to settle these cases for a \$4.5 million cash payment to class members.

Fitzpatrick v. Uni-Pixel, Inc., No. 13-CV-01649. The Rosen Law Firm was co-Lead Counsel in this class action pending in the U.S. District Court for the Southern District of Texas. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company concealing its true financial condition. The parties settled this action for \$4.5 million consisting of \$2.35 million in cash and \$2.15 million in stock.

Munoz v. China Expert Technology, Inc., Case No. 07-CV-10531 (AKH). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Southern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of: (a) the Company's issuance of materially false statements of revenues and earnings; and (b) the Company's auditors' issuance of materially false and misleading "clean" audit opinions. The parties settled this action for \$4.2 million cash payment to class members.

In re IDreamSky Technology Limited Securities Litigation, No. 15-cv-2514 (JPO). The Rosen Law Firm was co-Lead Counsel in this consolidated class action in the U.S. District Court for the Southern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act §§ 11 and 20(a) of the Securities Act and arising out of the issuance of misleading business information. The parties settled this case for \$4.15 million in cash.

Snellink v. Universal Travel Group, Inc., Case No.11-CV-2164. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the District of New Jersey. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising the issuance of false statements concerning the Company's true financial condition. The parties settled this action for \$4.075 million in cash.

Checkman v. Allegiant Travel Co., No. 18-cv-1758-APG-BNW. The Rosen Law Firm was sole lead counsel in this class action in U.S. District Court for the District of Nevada. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. The parties settled this action for \$4 million in cash.

Stanger v. China Electric Motor, Inc., Case no. CV 11-2794-R (AGRx). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Central District of California. The complaint alleged violations of §§ 11, 12(a)(2), and 15 of the Securities Act of

1933 in connection with the Company's \$22.5 million initial public offering. The parties settled this action for \$3,778,333.33 in cash.

In re IsoRay, Inc. Securities Litigation, No. 15-cv-5046-LRD. The Rosen Law Firm was co-Lead Counsel in this consolidated class action in the U.S. District Court for Eastern District of Washington. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company misstating certain study results relating to the Company's products. The parties settled this action for \$3,537,500 in cash.

Rose v. Deer Consumer Products, Inc., No. CV11-3701 –DMG (MRWx). The Rosen Law Firm was sole Lead Counsel in this class action pending in the U.S. District Court for the Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising from the issuance of false statements concerning the Company's true financial condition. Plaintiffs settled their claims against Deer and its auditor through two settlements totaling \$3.55 million in cash.

In re L&L Energy, Inc. Securities Litigation, No. 13-CV-6704 (RA). The Rosen Law Firm was co-Lead Counsel in this class action in the U.S. District Court for the Southern District of New York. The complaint alleged violations of §§ 10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of false financial statements. The parties settled this action for \$3.5 million in cash.

Sood v. Catalyst Pharmaceutical Partners, Inc., No. 13-CV-23878-UU. The Rosen Law Firm was sole lead counsel in this class action filed in the U.S. District Court for the Southern District of Florida. The complaint alleged that the Company failed to disclose material facts about its primary drug candidate. The parties settled this action for \$3.5 million in cash.

Cheung v. Keyuan Petrochemicals, Inc., No. 13-cv-6057 (PAC). The Rosen Law firm was sole Lead Counsel in this class action in the U.S. District Court for the Southern District of New

York. The complaint alleged violations of §§ 10b and 20(a) of the Securities Exchange Act of 1934 in connection with the Company's failure to disclose material related party transactions in periodic reports it filed with the SEC. The parties settled this action for \$2.65 million in cash. Separately, in the related case Omanoff v. Patrizio & Zhao LLC, No. 2:14-cv-723-FSH-JBC, The Rosen Law Firm was sole lead counsel in this class action in the U.S. District Court for the District of New Jersey. The complaint alleged that Patrizio & Zhao, LLC, as auditor for Keyuan Petrochemicals, Inc., issued materially false and misleading audit opinions. The parties have settled this action for \$850,000 in cash. The total recovery for Keyuan investors was \$3.5 million.

In re StockerYale, Inc. Securities Litigation, Case No. 1:05-cv-00177. The Rosen Law Firm served as sole Lead Counsel in this consolidated class action in the U.S. District Court for the District of New Hampshire. The complaint alleged violations of §§ 10b, 20(a) and 20A of the Securities Exchange Act arising out of the issuance of allegedly false and misleading press releases regarding certain contracts the Company claimed to have signed. Plaintiffs settled this class action for \$3.4 million cash payment to class members.

Mallozzi v. Industrial Enterprises of America, Inc., Case No. 07-CV-10321 (GBD). The Rosen Law Firm was Co-Lead Counsel in this class action in the U.S. District Court for the Southern District of New York. The complaint alleged violations of §§ 10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading statements of revenues and earnings. During the pendency of the Company's bankruptcy, the parties settled this class action for \$3.4 million in cash.

Napoli v. Ampio Pharmaceuticals, Inc., CV-3474-TJH. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of

the Company's issuance of materially false statements regarding the clinical testing of one its products. The parties settled this action for \$3.4 million in cash.

Kelsey v. Textura Corporation, No. 14 C 7837. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for Northern District of Illinois. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out allegations that the Company misstated its true financial condition. The parties settled this action for \$3.3 million in cash.

Ding v. Roka Bioscience, Inc., No. 14-8020 (FLW). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for District of New Jersey. The complaint alleges violations of §§11 and 15 of the Securities Act arising out of the Company's issuance of materially false and misleading business information. The parties agreed to settle this case for \$3.275 million in cash.

Meruelo Capital Partners 2, LLC et al. v. Wedbush Morgan Securities, Inc., Case no. BC 352498. The Rosen Law Firm was co-counsel to plaintiffs in this action brought in California Superior Court, Los Angeles County for violations of the California State securities laws against the securities issuer and broker-dealer in connection with the sale of \$2.5 million worth of securities. On the eve of trial, plaintiffs settled the claims against the issuer for a cash payment of \$1 million. Following an eight day jury trial, Plaintiffs obtained a jury verdict in their favor and against the underwriter for over \$2.2 million (which included prejudgment interest). In sum, plaintiffs recovered over \$3.2 million, which represented 100% of plaintiffs' principal investment of \$2.5 million and over \$700,000 in prejudgment interest. The verdict was affirmed by the California 2<sup>nd</sup> District Court of Appeal.

Chan v. New Oriental Education & Technology Group Inc., No. 16-CV-9279-KSH. The Rosen Law Firm is currently serving as co-Lead Counsel in this class action pending in the U.S.

District Court for the District of New Jersey. The complaint alleges violations of the Exchange Act in connection with the Company's issuance of materially false and misleading financial statements. This parties have agreed to settle this action for \$3.15 million in cash, pending Court approval.

Ray v. TierOne Corporation, Case No. 10CV199. The Rosen Law Firm was sole Lead Counsel in this class action brought in the U.S. District Court for the District of Nebraska. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading statements of earnings and the Company's banking operations and business. The parties settled this action for \$3.1 million in cash.

Van Wingerden v. Cadiz, Inc., No. CV-15-3080-JAK-JEM. The Rosen Law Firm was co-Lead Counsel in this class action in the U.S. District Court for Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial statements. The parties settled this action for \$3 million in cash.

Pham v. China Finance Online Co. Limited, No. CV 15-CV-7894 (RMB). The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for Southern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial statements. The parties settled this action for \$3 million in cash.

In re Skilled Healthcare Group, Inc. Securities Litigation, Case No. 2:09-CV-5416-DOC (RZx). The Rosen Law Firm was Co-Lead Counsel in this class action in the U.S. District Court for the Central District of California. The complaint alleged violations of the §§ 11, 12(a)(2), and 15 of the Securities Act of 1933 and §§10b and 20(a) of the Securities Exchange Act arising out

of the Company's issuance of materially false and misleading statements of revenue and earnings. Plaintiffs settled this action for \$3 million in cash.

In re Spectrum Pharms. Inc. Securities Litigation, No. 16-cv-2279-RFP-GWF. The Rosen Law Firm was co-Lead Counsel in this consolidated class action in the U.S. District Court for the District of Nevada. The complaint alleged violations of the Exchange Act in connection with the Company's issuance of materially false and misleading business information. Plaintiffs settled this action for \$2.995 million in cash.

Abrams v. MiMedx Group, Inc., No. 1:13-cv-03074-TWT. The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for the Northern District of Georgia. The complaint alleged violations of §§ 10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of false statements relating the regulatory compliance of its products. The parties settled this action for \$2.979 million.

Madden v. Pegasus Communications Corp., Case No. 2:05-cv-0568. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Eastern District of Pennsylvania. The action alleged violations of §§ 10b and 20(a) of the Securities Exchange Act arising out of the issuance of allegedly false and misleading statements concerning the Company's direct broadcast satellite agreement with DirecTV and the Company's reported subscriber growth and totals. Plaintiffs settled this action for a \$2.95 million cash payment to class members.

Gauque v. Albany Molecular Research, No. 14-CV-6637 (FB) (SMG). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Eastern District of New York. The complaint alleged violation of §10b and 20(a) of the Securities Exchange Act out of the Company's misstatements about its true financial condition and prospects. The parties settled this action for \$2.868 million.

In re Lihua International, Inc. Sec. Litig., No. 14-CV-5037 (RA). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Southern District of New York. The complaint alleged violations of the Securities Exchange Act of 1934 in connection with the Company's issuance of materially false and misleading financial statements. The collective settlement of the class action and consolidated derivative actions are \$2.865 million in cash.

In re TVIA, Inc. Securities Litigation, Case No. C-06-06403-RMW. The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for the Northern District of California. The complaint alleged violations of §§ 10b, 20(a), 20A of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial statements by virtue of the Company improper recognition of revenues in violation of GAAP. Plaintiffs settled this action for a \$2.85 million cash payment to class members.

Vaccaro v. New Source Energy Partners LP, No. 15-CV-8954 (KMW). The Rosen Law Firm was co-Lead Counsel in this class action in the U.S. District Court for Southern District of New York. The complaint alleged violations of §§11 and 15 of the Securities Act arising out of the company's issuance of materially false and misleading business information. The parties settled this action for \$2.85 million in cash.

Zagami v. Natural Health Trends Corp., et al., Case No. 3:06-CV-1654-D. The Rosen Law Firm served as sole Lead Counsel in this class action in the U.S. District Court for the Northern District of Texas. The complaint alleged violations of § 10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial statements in violation of GAAP. Plaintiffs settled this case for \$2.75 million cash payment to class members.

In re Sequans Communications Securities Litigation, No. 17-cv-4665 (FB)(SJB). The Rosen Law Firm was Co-Lead Counsel in this class action in the U.S. District Court for the Eastern

District of New York. The complaint alleged violations of §10b and 20(a) of the Securities Exchange Act out of the Company's misstatements about its true financial condition and prospects. The parties settled this action for \$2.75 million in cash.

In re Akari Therapeutics PLC Securities Litigation, No. 17-cv-3577 (KPF). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Southern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading statements about the results of a clinical study. The parties settled this case for \$2.7 million in cash.

Romero v. Growlife, Inc., Case No. 2:14-cv-03015-CAS (JEMx). The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for the Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising the issuance of false statements concerning the Company's true financial condition. The parties settled this action for total consideration of \$2.7 million, comprised of \$700,000 in cash and \$2 million in stock.

Moleski v. Tangoe, Inc., No. 3:17-cv-00146. The Rosen Law Firm was co-Lead Counsel in this class action in the U.S. District Court for the District of Connecticut. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial statements. The parties settled this action for \$2.55 million in cash.

Hosey v. Twitter, Inc., No. 16-CIV-02228. The Rosen Law Firm was co-Lead Counsel in this class action in the Superior Court of the State of California in San Mateo County. The complaint alleged violations of §§11 of the Securities Act arising out of the Company's issuance of materially false and misleading business information. The parties settled this action for \$2.5 million in cash.

Nguyen v. Radiant Pharmaceuticals Corporation, Case No. CV11-0405-DOC (MLGx).

The Rosen Law Firm was sole Lead Counsel in this class in the U.S. District Court for the Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the issuance of false statements concerning the Company's clinical trial involving its principal product. The parties agreed to settle this action for \$2.5 million in cash.

In re Robert T. Harvey Securities Litigation, Case No. SA CV-04-0876 DOC (PJWx). The Rosen Law Firm served as Co-Lead Counsel in this class action in the U.S. District Court for the Central District of California and the related California state court class actions. This action alleged violations of §§ 10b and 20(a) of the Securities Exchange Act arising out of the sale of partnership interests that corresponded to the securities of Chaparral Network Storage and AirPrime, Inc., n/k/a Sierra Wireless, Inc. Plaintiffs settled this and the related state court actions for an aggregate \$2.485 million cash payment to class members.

In re China Education Alliance, Inc. Securities Litigation, No. C 10-9239-CAS (JCx). The Rosen Law Firm was sole Lead Counsel in this consolidated class in the U.S. District Court for the Central District of California. The complaint alleges violations of §§10b and 20(a) of the Exchange Act arising out of the Company's issuance of materially false and misleading statements of revenue and earnings. The parties settled this action for \$2.425 million in cash.

Mikhlin v. Oasmia Pharmaceuticals AB., No. 19-cv-4349 (NGG) (RER). The Rosen Law Firm is currently serving as co-Lead Counsel in this class action pending in the U.S. District Court for the Eastern District of New York. The complaint alleges violations the Securities Exchange Act arising out of the Company's issuance of materially false financial statements. The parties agreed to settle this action for \$2.35 million in cash, pending Court approval.

Chu v. BioAmber, Inc., 17-cv-1531 (ADS) (GRB). The Rosen Law Firm is currently serving as Co-Lead Counsel in this class action pending in the U.S. District Court for Eastern

District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The parties agreed to settle this action for \$2.25 million in cash, pending Court approval.

In re Akers Biosciences, Inc. Sec. Litig., No. 18-cv-10521 (ES) (CLW). The Rosen Law Firm was sole lead counsel in this consolidated class action in U.S. District Court for the District of New Jersey. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. The parties agreed to settle this action for \$2.25 million in cash.

Kubala v. SkyPeople Fruit Juice, No. 11-CV-2700 (PKC). The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for the Southern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act out of the Company's failure to disclose material related party transactions that rendered the Company's financial statements false. The parties agreed to settle this action for \$2.2 million in cash.

Tapia-Matos v. Caesarstone Sdot-Yam Ltd., No. 15-CV-6726 (JMF). The Rosen Law Firm was co-Lead Counsel in this class action in the U.S. District Court for Southern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading statements about the Company's true financial condition and business prospects. The parties agreed to settle this action for \$2.2 million in cash.

In re Fuwei Films Securities Litigation, Case no. 07-CV-9416 (RJS). The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for the Southern District of New York. The complaint alleged violations of §§ 11, 12(a)(2), and 15 of the Securities Act of 1933 in connection with material misrepresentations in the Company's Registration

Statement and Prospectus in connection with the Company's \$35 million IPO. The parties settled this action for \$2.15 million cash payment to class members.

Snellink v. Gulf Resources, Inc., No.CV11-3722-ODW (MRWx). The Rosen Law Firm was co-Lead Counsel in this class action in the U.S. District Court for the Central District of California. The complaint alleged violations of §§ 10b and 20(a) of the Securities Exchange Act arising out of the Company's failure to disclose the related party nature of certain transactions, and the Company's issuance of false financial statements. The parties agreed to settle this action for \$2.125 million in cash.

Crandall v. PTC Inc., No. 16-cv-10471-WGY. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for District of Massachusetts. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act and certain violations of the Securities Act arising out of the Company's issuance of materially false and misleading statements about the Company's true financial condition. The parties agreed to settle this action for \$2.1 million in cash.

In re DS Healthcare Group, Inc. Sec. Litig., No. 16-60661-CIV-DIMITROULEAS. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Southern District of Florida. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. The parties agreed to settle this action for \$2.1 million in cash.

Henning v. Orient Paper, Inc., No. CV 10-5887-VBF (AJWx). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Central District of California. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act and certain violations of the Securities Act arising out of the Company's issuance of materially

false and misleading statements about the Company's true financial condition and business prospects. The parties settled this action for \$2 million in cash.

Pena v. iBio, Inc., 14-CV-1343-RGA. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the District of Delaware. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out misstatements and omissions relating to the Company's purported involvement with an Ebola treatment. The parties settled this action for \$1.875 million in cash.

Campton v. Ignite Restaurant Group, Inc., No. 12-CV-2196. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Southern District of Texas. The complaint alleged violations of the Securities Act of 1933 in connection with material misrepresentations in the Company's Registration Statement and Prospectus issued for the company's IPO. The parties settled this action for \$1.8 million in cash.

Petrie v. Electronic Game Card, Inc., No. SACV 10-0252-DOC (RNBx). The Rosen Law Firm was sole Lead Counsel in this class action in the United States District Court for the Central District of California. Following dismissal of the complaint by the district court, the Rosen Firm obtained a reversal of the dismissal from U.S. Court of Appeals for the Ninth Circuit. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial statements in violation of Generally Accepted Accounting Principles and the Company's publicly stated internal policies. The parties settled this case for \$1.755 million in cash.

Ford v. Natural Health Trends Corp., No. 16-00255 TJH (AFM). The Rosen Law Firm was co-Lead Counsel in this class action in the U.S. District Court for the Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act

arising out of the company's issuance of materially false and misleading business information. The parties agreed to settle this action for \$1.75 million in cash.

Hayden v. Wang, et al., No. Civ. 518333. The Rosen Law Firm was sole lead counsel in this class action in the California Superior Court of San Mateo County brought on behalf of purchasers of Worldwide Energy & Manufacturing USA, Inc. common stock in two private placements. The Complaint alleged that the offering documents were materially false. The parties settled this action for \$1,615,000 in cash.

Burritt v. Nutracea, Inc., Case No.CV-09-00406-PHX-FJM. The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for the District of Arizona. This action alleged violations of §§ 10b and 20(a) of the Securities Exchange Act of 1934 and the Arizona securities laws in connection with the Company's issuance of materially false and misleading statements of earnings and revenues. During the pendency of the Company's bankruptcy, Plaintiffs settled this action for \$1.5 million in cash and a remainder interest of 50% of the issuer's directors' and officers' liability insurance policy.

Press v. Delstaff LLC, No. MSC 09-01051. The Rosen Law Firm was sole Lead Counsel in this class action in the California Superior Court for Contra Costa County, brought in connection with a "going private" transaction valued at \$1.25/share for the 6.4 million shares implicated in the transaction. The parties settled this action for \$1,642,500 in additional compensation to shareholders.

Shapiro v. Alliance MMA, Inc., No. 17-CV-2583 (RBK)(AMD). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the District of New Jersey. The complaint alleged violations of §§11b and 15(a) of the Securities Act arising out of the company's issuance of materially false and misleading financial statements in connection with the company's initial public offering. The parties settled this action for \$1.55 million in cash.

In re Lightinthebox Holding Co., Ltd., 13-CV-6016 (PKC). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for Southern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company concealing its true financial condition. The parties agreed to settle this action for \$1.55 million in cash.

Hrasok v. Kraton Corporation, No. 18-CV-591. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Southern District of Texas. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the company's issuance of materially false and misleading business information. The parties agreed to settle this action for \$1.5 million in cash.

Weinstein v. RMG Networks Holding Corporation, C.A. 2018-0210-AGB. The Rosen Law Firm was sole Lead Counsel in this class action in the Court of Chancery of State of Delaware, brought in connection with a "going private" transaction. The parties settled this action for \$1,500,000 in additional compensation to shareholders.

Pankowski v. BlueNRGY Group Ltd, f/k/a CBD Energy Ltd., No. 4:15-cv-1668. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Southern District of Texas. The complaint alleged violations Securities Act and Exchange Act arising out of the Company's issuance of materially false financial statements. The parties agreed to settle this action for \$1.5 million in cash.

Guimetla v. Ambow Education Holding Ltd., No. CV-12-5062-PSG (AJWx). The Rosen Law Firm was sole Lead Counsel in this class action filed in the U.S. District Court for the Central District of California. The complaint alleged violations of the Securities Exchange Act of 1934 in connection with the Company's issuance of materially false and misleading financial statements. The parties agreed to settle this action for \$1.5 million.

Lee v. Active Power, Inc., No. 1:13-cv-00797. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Western District of Texas. The complaint alleged violations of §§ 10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of false statements relating to a purported distribution agreement with a major information technology provider. The parties agreed to settle this action for \$1.5 million.

In re Northfield Laboratories, Inc. Securities Litigation, Case No. 06 C 1493. The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for the Northern District of Illinois. The complaint alleged violations of §§ 10b and 20(a) of the Securities Exchange Act arising out of the Company's materially false and misleading statements concerning its PolyHeme blood substitute product and business prospects. Following extensive class discovery and litigation activity in bankruptcy court, the parties agreed to settle this action for \$1.5 million in cash.

In re PartsBase.com, Inc. Securities Litigation, Case No. 01-8319. The Rosen Law Firm was Co-Lead Counsel in this class action in the U.S. District Court for the Southern District of Florida. The action arose from a \$45.5 million initial public offering of common stock by the defendant issuer and a syndicate of underwriters including Roth Capital Partners and PMG Capital Corp. Plaintiffs settled this action for \$1.5 million in cash.

Vandavelde v. China Natural Gas, Inc., No. 10-728-SLR. The Rosen Law Firm was sole Lead Counsel in the class action pending in the U.S. District Court for the District of Delaware. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the issuance of materially false and misleading financial statements. Plaintiffs settled this action for \$1.5 million in cash.

Simmons v. FAB Universal Corp., No. 13-CV-8216 (RWS). The Rosen Law Firm was co-Lead Counsel in this consolidated class action in the U.S. District Court for Southern District

of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company concealing its true financial condition. The parties agreed to settle this action for \$1.5 million in cash.

Springer v. Code Rebel Corp., No. 16-cv-3492 (AJN). The Rosen Law Firm was co-Lead Counsel in this class action pending in the U.S. District Court for the Southern District of New York and counsel in a related case in California Superior Court. The actions alleged violations of the Exchange Act and Securities Act violations, respectively. Following the bankruptcy of the Company, the parties settled both actions for \$1.415 million.

In re Emphyrean Bioscience Securities Litigation, Case No. 1:02CV1439. This class action in which the Rosen Law Firm was sole Lead Counsel was filed in the U.S. District Court for the Northern District of Ohio. The action alleged violations of §§10b and 20(a) of the Securities Exchange Act based on misrepresentations in defendants' SEC filings and press releases concerning the clinical testing of the Company's GEDA Plus microbicide gel. After the court denied defendants' motion to dismiss the complaint, the parties briefed the issue of whether the securities were traded in an efficient market. Prior to a decision on market efficiency, Plaintiffs settled the case for a \$1.4 million payment to class members.

Balon v. Agria, Inc., No. 16-8376 (SDW). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the District of New Jersey. The complaint alleged violation of §10b and 20(a) of the Securities Exchange Act out of the Company's manipulation of its stock price. The parties settled this case for \$1.3 million in cash.

Pepe v. CoCrystal Pharma, Inc., No. 18-cv-14091-KM-JBC. The Rosen Law Firm is serving as sole lead counsel in this class action pending in U.S. District Court for the District of New Jersey. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information and

stock manipulation. The parties settled this case for \$1.265 million in cash, pending Court approval.

Desta v. Wins Financial Holdings, Inc., 17-cv-2983-CAS-AGR. The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for Central District of California. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The parties have agreed to settle this case for \$1.26 million in cash, pending Court approval.

Tran v. ERBA Diagnostics, Inc., No. 15-cv-24440. The Rosen Law Firm was co-Lead Counsel in this class action on appeal with the U.S. Court of Appeals for the Eleventh Circuit. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial statements. While on appeal following the dismissal of the case, the parties settled the action for \$1.215 million in cash.

Knox v. Yingli Green Energy Holding Co. Ltd., No. 2:15-cv-4003. The Rosen Law Firm was sole Lead Counsel in this class action in the United States District Court for the Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false financial statements. While on appeal following the dismissal of the case, the parties agreed to settle the action for \$1.2 million in cash.

In re Himax Technologies, Inc. Securities Litigation, Case No. C 07-4891-DDP. The Rosen Law Firm served as Co-Lead Counsel in this consolidated class action in the U.S. District Court for the Central District of California, Western Division. The complaint alleged violations of §§ 11 and 15 of the Securities Act arising out of the Company's IPO. Plaintiffs agreed to settle this case for \$1.2 million cash payment to class members.

In re Flight Safety Technologies, Inc. Securities Litigation, Case No. 3:04-cv-1175. The Rosen Law Firm was sole Lead Counsel in this consolidated class action in the U.S. District Court for the District of Connecticut. The action alleged violations of §§ 10b and 20(a) of the Securities Exchange Act arising out of the defendants alleged failure to disclose material adverse information concerning the Company's products under development and misrepresenting the amount of time it would take to commercialize the products. Plaintiffs settled the case for a \$1.2 million cash payment to class members.

In re: M.H. Meyerson & Co. Securities Litigation, Case No. 02-CV-2724. This class action, in which the Rosen Law Firm was sole Lead Counsel, was filed in U.S. District Court for District of New Jersey. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act based on allegedly false and misleading SEC filings related to the planned launch of an online brokerage business, and other material misrepresentations, which allegedly inflated the price of Meyerson stock during the class period. Plaintiffs settled the case for a \$1.2 million payment to class members.

Perez v. Izea, Inc., No. 18-cv-2784-SVW-GJS. The Rosen Law Firm was Co-Lead Counsel in this class action in the U.S. District Court for the Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial information. The parties agreed to settle this action for \$1.2 million in cash.

In re OPUS360 Corp. Securities Litigation, Case No. 01-Civ-2938. The Rosen Law Firm was Co-Lead Counsel for this action brought in the Southern District of New York alleging violations of the federal securities laws arising from a \$75.0 million initial public offering of common stock by the defendant issuer and a syndicate of underwriters including JP Morgan and

Robertson Stephens, Inc. The Court certified the action as a class action and approved a final settlement.

Ansell v. National Lampoon, Inc., Case No. CV10-9292-PA (AGR<sub>x</sub>). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of a market manipulation scheme involving National Lampoon's common stock. The parties agreed to settle this action for \$1 million in cash.

Garcia v. Lentuo International, Inc., CV-15-1862-MWF (MRW<sub>x</sub>). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Central District of California. The complaint alleged violations of the Exchange Act arising out of the Company's issuance of materially false and misleading financial statements. The parties settled this action for \$1 million in cash.

Fouladian v. Busybox.com, Inc., Case No. BC 248048. The Rosen Law Firm was Co-Lead Counsel in this class action brought in California Superior Court, Los Angeles County. The action arose from a \$12.8 million initial public offering of securities by the defendant issuer and underwriter. California and federal securities laws claims (Cal. Corp. Code §25401 and §11 of 1933 Act) were brought on behalf of a nationwide class of public offering investors. The Court approved a \$1.0 million cash settlement to a nationwide class of investors.

Singh v. Tri-Tech Holding, Inc., No. 13-CV-9031 (KMW). The Rosen Law Firm was co-Lead Counsel in this class action in the U.S. District Court for Southern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company concealing its true financial condition. The parties settled this action for \$975,000 in cash.

Xu v. ChinaCache International Holdings, Ltd., No. CV 15-7952-CAS. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for Central District of California. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. While on appeal following the dismissal of the case, the parties agreed to settle the action for \$950,000 in cash.

Howard v. Chanticleer Holdings, Inc., No. 12-CV-81123-JIC. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Southern District of Florida. The complaint alleged violations of the Securities Act of 1933 in connection with material misrepresentations in the Company's Registration Statement and Prospectus issued for the Company's public offering of common stock and warrants. The parties agreed to settle this action for \$850,000 in cash.

Pollock v. China Ceramics Co. Ltd., No. 1:14-cv-4100 (VSB). The Rosen Law Firm was co-Lead Counsel in this consolidated class action in the U.S. District Court for Southern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's lack of internal controls. The parties settled this action for \$850,000, consisting of \$310,000 in cash and \$540,000 in stock.

Grand Clam Capital Master Fund, Ltd. v. Rosen, No. 19-cv- 5362 (PGG). The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for the Southern District of New York brought on behalf of Fusion Connect, Inc. investors. The complaint alleges violations of the Exchange Act in connection with the Company's issuance of materially false and misleading financial statements. The parties settled this action for \$850,000, pending Court approval.

Katz v. China Century Dragon Media, Inc., Case no. CV 11-02769 JAK (SSx). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Central District of California. The complaint alleged violations of §§ 11, 12(a)(2), and 15 of the Securities Act of 1933 and §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial statements. Following entry of default against the issuer and certification of the class, the non-issuer defendants and Plaintiffs agreed to resolve their claims against the non-issuer defendants for \$778,333.33.

Allen v. Pixarbio Corp., No. 2:17-cv-496-CCC-SM. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for District of New Jersey. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. The parties agreed to settle this case for \$750,000 in cash.

Hartmann v. Verb Technology Company, Inc., No. CV-19-5896-GW-(MAAx). The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for the Central District of California. The complaint alleges violations of the Exchange Act in connection with the Company's issuance of materially false and misleading business information. The parties agreed to settle this case for \$640,000 in cash, pending Court approval.

In re Stemline Therapeutics, Inc. Securities Litigation, 17-cv-832 (PAC). The Rosen Law Firm was co-Lead Counsel in this class action in the U.S. District Court for the Southern District of New York. Following the dismissal of the action and while on appeal with the U.S. Court of Appeals for the Second Circuit, the parties settled this action for \$625,000 in cash.

In re China Intelligent Lighting and Electronics, Inc. Securities Litigation, No. 2:11-CV-02768 PSG (SSx). The Rosen Law Firm was co-Lead Counsel in this consolidated class action in the U.S. District Court for the Central District of California. The complaint alleged violations of

§§ 11, 12(a)(2), and 15 of the Securities Act of 1933 and §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial statements. The parties agreed to partially settle this action for \$631,600 in cash. A default judgment was obtained against the issuer.

Gianoukas v. Tullio and Riiska, Case No. 02CC18223. The Rosen Law Firm was lead counsel to a group of twenty-one plaintiffs that brought claims of fraud and negligent misrepresentation in California Superior Court, Orange County against the former Chief Executive and Chief Financial Officers of a publicly traded software company, NQL Inc. The complaint alleged that the officers issued a series of false and misleading press releases concerning the business of NQL for the purpose of inducing the purchase and retention of NQL securities. Plaintiffs settled the action favorably for a confidential amount.

The BoxLot Company v. InfoSpace, Inc., Case No. GIC 779231. The Rosen Law Firm was plaintiff's counsel for this action filed in California Superior Court, San Diego County which arose from the aborted merger agreement and ultimate sale of The BoxLot Company's assets to InfoSpace. The action alleged violations of California securities laws (Cal. Corp. Code §25400 & §25401) and common laws and sought damages of \$92.8 million from InfoSpace and its CEO, Naveen Jain. The case settled favorably for plaintiffs for a confidential amount.

Hull v. Global Digital Solutions, Inc., No. 16-5153 (FLW). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for District of New Jersey. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. The parties agreed to settle this action for \$595,000 in cash.

Scalfani v. Misonix Inc., No. 16-cv-5215 (ADS) (AKT). The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the Eastern District of New York.

The complaint alleged violations of §§ 10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of false financial statements. The parties have settled this action for \$500,000 in cash—resulting in a recovery of nearly 100% of damages.

Teague v. Alternate Energy Holdings, Inc., No. 10-CV-634-BLW. The Rosen Law Firm was sole Lead Counsel in this class action in the U.S. District Court for the District of Idaho. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial statements and business condition. The parties settled this action for \$450,000.

Huttenstine v. Mast, Case No. 4:05-cv-152 F(3). The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for the Eastern District of North Carolina. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's material misstatements and omissions concerning the nature of certain sales contracts it had entered into. Plaintiffs have preliminarily agreed to settle this action for a \$425,000 cash payment to class members.

In re Forcefield Energy, Inc. Securities Litigation, No. 15-cv-3020 (NRB). The Rosen Law Firm was Lead Counsel in this class action in the U.S. District Court for Southern District of New York. The complaint alleged violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading information. The parties agreed to settle this case for \$414,500.

Kinzinger v. Paradigm Medical Industries, Inc., Case No. 03-0922608. The Rosen Law Firm served as sole Lead Counsel in this class action filed in Utah state court alleged violations of the Utah Securities Act against Paradigm Medical arising out of false and misleading statements made to investors in a \$5.0 million private placement of securities. The court approved a \$625,000 settlement on behalf of the private placement purchasers.

**III. SECURITIES CLASS ACTIONS IN WHICH THE ROSEN LAW FIRM P.A. IS CURRENTLY LEAD COUNSEL**

In re Puda Coal Securities Litigation, No. 11-CV-2598 (DLC). The Rosen Law Firm is currently serving as co-Lead Counsel in this consolidated class action pending in the U.S. District Court for the Southern District of New York. The complaint alleges violations of the Exchange Act and Securities Act arising out of the Company's issuance of materially false and misleading financial statements. The class is certified and this action is in discovery.

In re Omega Healthcare Investors, Inc. Litigation, 17-cv-8983 (NRB). The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for the Southern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The firm obtained reversal of the District Court's dismissal from the U.S. Court of Appeals for the Second Circuit. The action is in discovery.

Van Dorp v. Indivior PLC, No. 19-CV-10792-ES-MAH. The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for the District of New Jersey. The complaint alleges violations of the Exchange Act in connection with the Company's issuance of materially false and misleading business information. This action is at the pleading stage.

Sell v. Acer Therapeutics, Inc., No. 19-CV-6137 (GHW). The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for the Southern District of New York. The complaint alleges violations of the Exchange Act in connection with the Company's issuance of materially false and misleading business information. The action is in discovery.

Yangtze River Port and Logistics Limited, No. 19-CV-24 (DLI) (LB). The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for the Eastern District of New York. The complaint alleges violations of the Exchange Act in connection with the Company's issuance of materially false and misleading financial statements. The action is at the pleading stage.

Luo v. Qiao Xing Universal Resources, Inc., No. 12-45-WAL-GWC. The Rosen Law Firm is currently serving as sole Lead Counsel in this consolidated class action pending in the U.S. District Court of the Virgin Islands, St. Croix Division. The complaint alleges violations of the Exchange Act in connection with the Company's issuance of materially false and misleading financial statements. The action is at the pleading stage.

Machniewicz v. Uxin Limited, No. 19-CV-822 (MKB)(VMS). The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for the Eastern District of New York. The complaint alleges violations of the Securities Act in connection with the Company's issuance of materially false and misleading financial statements. The action is at the pleading stage.

Pepicelli v. Innocoll Holdings Public Ltd., No. 17-341. The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for the Eastern District of Pennsylvania. The complaint alleges violations of the Exchange Act in connection with the Company's issuance of materially false and misleading business information. This action is in discovery.

Ito-Stone v. DBV Technologies S.A., No. 19-CV-525-MCA-LDW. The Rosen Law Firm is currently serving as co-Lead Counsel in this class action pending in the U.S. District Court for the District of New Jersey. The complaint alleges violations of the Exchange Act in connection

with the Company's issuance of materially false and misleading business information. This action is at the pleading stage.

Tchatchou v. India Globalization Capital, Inc., No. 18-cv-3396-PWG. The Rosen Law Firm is currently serving co-Lead Counsel in this class action pending in the U.S. District Court for the District of Maryland. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The action is at the pleading stage.

Ortiz v. Canopy Growth Corporation, No. 19-CV-20543-KM-ESK. The Rosen Law Firm is currently serving as co-Lead Counsel in this class action pending in the U.S. District Court for the District of New Jersey. The complaint alleges violations of the Exchange Act in connection with the Company's issuance of materially false and misleading business information. This action is at the pleading stage.

Duane & Virginia Lanier Trust v. Sandridge Energy, Inc., et al. The Rosen Law Firm is currently serving as co-Lead Counsel in this class action pending in the U.S. District Court for the Western District of Oklahoma. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act and Sections 11, 12(a)(2), and 15 of the Securities Act arising out of the Company's issuance of materially false and misleading business information. This action is in discovery.

In re Zillow Group, Inc. Sec. Litig., No. C17-1387-JCC. The Rosen Law Firm is currently serving sole Class Counsel in this certified class action pending in the U.S. District Court for the Western District of Washington. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is in discovery.

Lai v. PPDAI Group Inc., No. 18-cv-6716 (FB)(JC). The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for Eastern District of New York. The complaint alleges violations the Securities Exchange Act and Securities Act arising out of the Company's issuance of materially false and business information. The case is at the pleading stage.

Davis v. Katanga Mining Limited, No. 17-cv-12188-CCC-JBC. The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for the District of New Jersey. The complaint alleges violations of the Exchange Act in connection with the Company's issuance of materially false and misleading business information. This action is at the pleading stage.

Barney v. Nova Lifestyle, Inc., No. CV 18-10725-AB-AFM. The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for Central District of California. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The action is in discovery.

In re Maiden Holdings, Ltd. Securities Litigation, No. 19-CV-5296-RMB-JS. The Rosen Law Firm is currently serving as co-Lead Counsel in this class action pending in the U.S. District Court for the District of New Jersey. The complaint alleges violations of the Exchange Act in connection with the Company's issuance of materially false and misleading business information. This action is at the pleading stage.

Renner v. Teladoc Health, Inc., No. 18-cv-11603 (GHW). The Rosen Law Firm is currently serving as co-Lead Counsel in this class action pending in the U.S. District Court for Southern District of New York. The complaint alleges violations of §§10b and 20(a) of the

Securities Exchange Act arising out of the Company's issuance of materially false and business information. The case is at the pleading stage.

Acerra v. Trulieve Cannabis Corp., No. 20-cv-186-RH-MJF. The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for the Northern District of Florida. The complaint alleges violations of the Exchange Act in connection with the Company's issuance of materially false and misleading business information. This action is at the pleading stage.

In re ChinaCast Education Corporation Sec. Litig., No. CV 12-4621- JFW (PLAx). The Rosen Law Firm is currently serving as co-Lead Counsel in this consolidated class action. Following dismissal of the complaint by the district court, the U.S. Court of Appeals for the Ninth Circuit overturned the dismissal. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company overstating its assets and cash balances and misstating the Company's internal controls. The action is in discovery.

Feierstein v. Corrrevio Pharma Corp., No. 19-cv-11361 (VEC). The Rosen Law Firm is currently serving as co-Lead Counsel in this class action pending in the U.S. District Court for Southern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The case is at the pleading stage.

Oh v. Hanmi Financial Corporation, No. CV 20-2844-AB (JCx). The Rosen Law Firm is currently serving as sole Lead Counsel in this class action. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading financial information. This case is at the pleading stage.

In re RCI Hospitality Holdings Inc. Securities Litigation, No. 19-cv-1841-AHB. The Rosen Law Firm is serving as co-lead counsel in this class action pending in U.S. District Court

for the Southern District of Texas. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

In re Global Brokerage, Inc. f/k/a FXCM, Inc. Sec. Litig., 17-cv-916 (RA). The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for Southern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The case is in discovery.

Willard v. UP Fintech Limited, 19-cv-10326 (JMF). The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for Southern District of New York. The complaint alleges violations of §§11, and 15 of the Securities Act arising out of the Company's issuance of materially false and business information. The case at the pleading stage.

Marchand v. Momo, Inc., 19-CV-4433 (GBD). The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for Southern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The case at the pleading stage.

Vataj v. Johnson (PG&E), No. 19-cv-6996-HSG. The Rosen Law Firm is currently serving as co-Lead Counsel in this class action pending in the U.S. District Court for Northern District of California. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The case at the pleading stage.

Ma v. Wells Fargo & Company, No. 20-CV-3697-RS. The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for Northern District of California. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The case at the pleading stage.

Hashem v. NMC Health Plc, No. CV-20-2303-CBM (MAAx). The Rosen Law Firm is currently serving as co-Lead Counsel in this class action pending in the U.S. District Court for Central District of California. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The case at the pleading stage.

In re Sundial Growers, Inc. Securities Litigation, 19-cv-8913 (ALC). The Rosen Law Firm is currently serving as co-Lead Counsel in this class action pending in the U.S. District Court for Southern District of New York. The complaint alleges violations of §§11, 12(a)(2) and 15 of the Securities Act arising out of the Company's issuance of materially false and business information. The case at the pleading stage.

In re The RealReal, Inc. Securities Litigation, The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for Northern District of California. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act and §§11 and 15 of the Securities Act arising out of the Company's issuance of materially false and business information. The case at the pleading stage.

Correa v. Liberty Oilfield Services, Inc., 20-CV-946-RBJ. The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for District of Colorado. The complaint alleges violations of §§11 and 15 of the Securities Act arising

out of the Company's issuance of materially false and business information. The case at the pleading stage.

Kumar v. SAExploration Holdings, Inc., No. 4:19-cv-3089. The Rosen Law Firm is serving as co-lead counsel in this class action pending in U.S. District Court for the Southern District of Texas. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

Kim v. Allakos, Inc., No. 20-cv-1720-JSW. The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for Northern District of California. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The case at the pleading stage.

White v. Just Energy Group Inc., No. H-20-590. The Rosen Law Firm is serving as sole lead counsel in this class action pending in U.S. District Court for the Southern District of Texas. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

He v. China Zenix Auto International, No. 18-cv-15530 (JLL) (JAD). The Rosen Law Firm is serving as sole lead counsel in this consolidated class action pending in U.S. District Court for the District of New Jersey. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is in discovery.

Horowitz v. Sunlands Technology Group, No. 19-CV-3744 (FB)(SMG). The Rosen Law Firm is serving as sole lead counsel in this class action pending in U.S. District Court for the

Eastern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

Kasilingam v. Tilray, Inc., No. 20-CV-3459 (PAC). The Rosen Law Firm is serving as sole lead counsel in this class action pending in U.S. District Court for the Southern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

Salim v. Mobile TeleSystems PJSC, No. 19-cv-1589 (AMD) (RLM). The Rosen Law Firm is serving as sole lead counsel in this class action pending in U.S. District Court for the Eastern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

Jun v. 500.com Limited, No. 20-cv-806 (SJF) (SMG). The Rosen Law Firm is serving as sole lead counsel in this class action pending in U.S. District Court for the Eastern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

Brandel v. Sibanye Gold Limited, No. 18-cv-3721 (KAM) (PK). The Rosen Law Firm is currently serving as Co-Lead Counsel in this class action pending in the U.S. District Court for Eastern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information. The case is at the pleading stage.

In re XP Inc. Securities Litigation, No. 20-cv-1502 (BMC). The Rosen Law Firm is serving as co-lead counsel in this class action pending in U.S. District Court for the Eastern District of New York. The complaint alleges violations of §§11, 12(a)(2) and 15 Securities Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

In re Tupperware Brands Corporation Securities Litigation, No. 20-cv-357-GJK. The Rosen Law Firm is serving as sole lead counsel in this class action pending in U.S. District Court for the Middle District of Florida. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

In re Aceto Corporation Sec. Litig., No. 18-CV-2425 (JFB)(AYS). The Rosen Law Firm is currently serving as sole Lead Counsel in this consolidated class action pending in the U.S. District Court for Eastern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false financial information. The case is at the pleading stage.

Thomas v. China Techfaith Wireless, 19-CV-134-FB-CLP. The Rosen Law Firm is currently serving as sole Lead Counsel in this class action pending in the U.S. District Court for Eastern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false financial information. The case is at the pleading stage.

In re Akazoo S.A. Securities Litigation, No. 20-cv-1900 (BMC). The Rosen Law Firm is serving as co-lead counsel in this class action pending in U.S. District Court for the Eastern District of New York. The complaint alleges violations of Securities Exchange Act and Securities Act

arising out of the Company's issuance of materially false and misleading financial and business information. This case is at the pleading stage.

Gordon v. Tencent Music Entertainment Group, No. 19-CV-5465 (LDH) (SMG). The Rosen Law Firm is currently serving as sole Lead Counsel in this consolidated class action pending in the U.S. District Court for Eastern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act and §§11 and 15 of the Securities Act arising out of the Company's issuance of materially false financial information. The case is at the pleading stage.

Lee v. IQIYI, Inc., No. 20-cv-1830 (LDH)(JO). The Rosen Law Firm is serving as co-lead counsel in this class action pending in U.S. District Court for the Eastern District of New York. The complaint alleges violations of Securities Exchange Act and Securities Act arising out of the Company's issuance of materially false and misleading financial and business information. This case is at the pleading stage.

Luo v. Sogou, Inc., No. 19-cv-230 (JPO). The Rosen Law Firm is serving as co-Lead counsel in this class action pending in U.S. District Court for the Southern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

In re NIO, Inc. Securities Litigation, No. 19-CV-1424 (NGG) (VMS). The Rosen Law Firm is currently serving as sole Lead Counsel in this consolidated class action pending in the U.S. District Court for Eastern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act and §§11 and 15 of the Securities Act arising out of the Company's issuance of materially false business information. The case is at the pleading stage.

Kupfner v. Altice USA Inc., No. 18-cv-6601-FB-PK. The Rosen Law Firm is serving as sole lead counsel in this class action pending in U.S. District Court for the Eastern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act and §§11, and 15 of the Securities Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

Castillo v. 6D Global Technologies, Inc., No. 15-cv-8061 (RWS). The Rosen Law Firm is serving as sole Lead Counsel in this class action that is pending in U.S. District Court for the Southern District of New York. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false statements about the improper stock manipulation. After successfully appealing the dismissal of this action with the Second Circuit Court of Appeals, this case is in discovery.

City of Taylor General Employees Retirement System v. Astec Industries, Inc., No. 1:19-cv-PLR-CHS. The Rosen Law Firm is serving as sole lead counsel in this class action pending in U.S. District Court for Eastern District of Tennessee. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

Vanderhoef v. China Auto Logistics, Inc., No. 18-cv-10174-CCC. The Rosen Law Firm is serving as sole lead counsel in this class action pending in U.S. District Court for the District of New Jersey. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

Miller v. Sonus Networks, Inc., No. 18-12344-GAO. The Rosen Law Firm is serving as co-lead counsel in this class action pending in U.S. District Court for District of Massachusetts. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of

the Company's issuance of materially false and misleading business information. This case is at the pleading stage.

Sgarlata v. PayPal Holdings, Inc., No. 17-CV-6956-EMC. The Rosen Law Firm is currently serving as co- Lead Counsel in this class action on appeal with the U.S. Court of Appeals for the Ninth Circuit. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and business information.

Wochos v. Tesla, Inc., No. 3:17-cv-5828-CRB. The Rosen Law Firm is currently serving as sole Lead Counsel in this class action currently on appeal with the U.S. Court of Appeals for the Ninth Circuit. The complaint alleges violations of §§10b and 20(a) of the Securities Exchange Act arising out of the Company's issuance of materially false and misleading business information.

# Exhibit 3

**UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF PENNSYLVANIA**

In re Innocoll Holdings Public Limited Company  
Securities Litigation

C.A. No. 2:17-cv-00341-GEKP

CLASS ACTION

CLASS ACTION

This Document Relates To:  
All Actions

**DECLARATION OF CARL BAYNEY**

Pursuant to 28 U.S.C. § 1746, Carl Bayney declares:

1. I am above the age of 18 and fully competent to make this declaration. If called as a witness, I would testify as follows:

2. I submit this declaration in support of: (1) Plaintiffs’ Motion for Final Approval of Class Action Settlement and the Plan of Allocation; (2) Lead Counsel’s request for attorney’s fees and reimbursement of expenses; and (3) my application for the \$10,000 compensatory award relating to my representation of the Class.

3. I am one of the Lead Plaintiffs, along with Russel Bleiler, in the above-captioned action.

4. I live in Escondido, California.

5. I am a Customer Support Engineer. I work for the company that develops, builds, and sells the high-end semiconductor manufacturing machines that the world’s leading semiconductor companies use for manufacturing. Each of these machines costs approximately \$100

million. When these machines break down in a manner that affects production, I provide the customers with analysis and solutions.

6. I approved the Settlement of this case for \$2,755,000. I believe that this is an excellent result achieved by counsel when considering the strengths of the case in light of the risks and expense of continued litigation.

7. I understand that the PSLRA, 15 U.S.C. § 78u-4(a)(4), provides for the reimbursement of costs and expenses (including lost wages) incurred or otherwise absorbed by a representative plaintiff in connection with services rendered in the course of litigation.

8. As one of the Lead Plaintiffs and a proposed class representative for settlement purposes, I was involved with the litigation and regularly kept abreast of developments in this case as to satisfy my fiduciary obligation to the Class. My responsibilities included:

- a. Receiving and reviewing documents;
- b. Following developments in this case;
- c. Following news about Innocoll Holdings Public Limited Company;
- d. Preparing for and sitting for a deposition;
- e. Producing documents;
- f. Discussing the settlement with counsel; and
- g. Communicating regularly with counsel.

9. I fulfilled my fiduciary duty to the Class to work with counsel to make sure the Class received fair and adequate representation. I have done my best to promote the interests of the Class vigorously and to obtain the largest recovery possible under all of the circumstances.

10. I estimate that I have spent 73 hours in this case fulfilling my obligations as a lead plaintiff, including 10 hours speaking with lead counsel. The time that I devoted to the

representation of the Class in this Action was time that I otherwise would have spent on other activities and, thus, represented a cost to me. Further, I took two paid vacation days to prepare for and then attend my deposition.

11. I believe that the time and effort I devoted to this litigation was necessary to help achieve the Settlement for the Class.

12. Accordingly, I respectfully request that the Court approve a payment to me in the amount of \$10,000 as reimbursement for the time I spent, and efforts I made, on behalf of the Class. It is my belief that this request for reimbursement is fair and reasonable.

13. I understand Plaintiffs' Counsel will be seeking an award of attorneys' fees in the amount of one third of the Settlement Amount. I support Lead Counsel's request for attorneys' fees.

14. I also support Lead Counsel's request for reimbursement of litigation expenses.

15. In sum, I respectfully request that the Court approve the Settlement; award me the \$10,000 compensatory award for the time I spent on this case and representing the Class; and approve Lead Counsel's request for attorneys' fees and expenses.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on: 5/28/2022

**DocuSigned by:**  
  
\_\_\_\_\_  
Carl Bayney 974EA72E96D2491...

# Exhibit 4

**UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF PENNSYLVANIA**

In re Innocoll Holdings Public Limited Company  
Securities Litigation

C.A. No. 2:17-cv-00341-GEKP

CLASS ACTION

CLASS ACTION

This Document Relates To:  
All Actions

**DECLARATION OF RUSSEL BLEILER**

Pursuant to 28 U.S.C. § 1746, Russel Bleiler declares:

1. I am above the age of 18 and fully competent to make this declaration. If called as a witness, I would testify as follows:

2. I submit this declaration in support of: (1) Plaintiffs’ Motion for Final Approval of Class Action Settlement and the Plan of Allocation; (2) Lead Counsel’s request for attorney’s fees and reimbursement of expenses; and (3) my application for the \$10,000 compensatory award relating to my representation of the Class.

3. I am one of the Lead Plaintiffs, along with Carl Bayney, in the above-captioned action.

4. I have lived predominantly in Philadelphia since May 2018.

5. I am a 2022 graduate of Drexel University School of Law. I have worked as a financial advisor. During law school, I interned at the Securities and Exchange Commission.

6. In June 2021, I approved the Settlement of this case for \$2,755,000. I believed that this was an excellent result in light of the strengths, risks, delays, and expense of continued litigation. I continue to believe that it is an excellent result.

7. I fulfilled my fiduciary duty to the Class to work with counsel to make sure the Class received fair and adequate representation. I have done my best to promote the interests of the Class vigorously and to obtain the largest recovery possible under all of the circumstances.

8. I understand that the PSLRA, 15 U.S.C. § 78u-4(a)(4), provides for the reimbursement of costs and expenses (including lost wages) incurred or otherwise absorbed by a representative plaintiff in connection with services rendered in the course of litigation.

9. As one of the Lead Plaintiffs and a proposed class representative for settlement purposes, I was involved with the litigation and regularly kept abreast of developments in this case as to satisfy my fiduciary obligation to the Class. My responsibilities included:

- a. Receiving and reviewing documents;
- b. Following developments in this case;
- c. Preparing for and sitting for a deposition;
- d. Producing documents;
- e. Discussing the settlement with counsel; and
- f. Communicating regularly with counsel.

10. I estimate that I devoted at least 90 hours on this litigation, including 20 hours in preparing for and attending my deposition. I estimate that I have communicated with my counsel approximately 150 times during this lawsuit. I sought and received updates at least monthly, and sometimes much more frequently.

11. I believe that the time and effort I devoted to this litigation was necessary to achieve the Settlement for the Class.

12. Accordingly, I respectfully request that the Court approve a payment to me in the amount of \$10,000 as reimbursement for the time I spent, and efforts I made, on behalf of the Class. It is my belief that this request for reimbursement is fair and reasonable.

13. In November 2021, five months after approving the Settlement and attorneys' fee request, and based on my experience in this case, I approached Brian Schall of the Schall Law Firm, who has been serving as co-counsel to plaintiffs in this case, to discuss the possibility of my working for him in an unpaid internship for school credit. Mr. Schall and I confirmed with ethics counsel that the internship would be appropriate. I did not receive any compensation in connection with the internship. The internship lasted from January 2022 until May 2022. It is my understanding that neither Mr. Schall nor his firm will receive any portion of the attorneys' fees awarded in this action.

14. I understand Plaintiffs' Counsel will be seeking an award of attorneys' fees in the amount of one third of the Settlement Amount. I approved and continue to support Lead Counsel's request for attorneys' fees.

15. I approved and continue to support Lead Counsel's request for reimbursement of litigation expenses.

16. In sum, I respectfully request that the Court approve the Settlement; award me a \$10,000 compensatory award for the time I spent on this case and representing the putative Class; and approve Lead Counsel's request for attorneys' fees and expenses.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on: 6/1/2022

DocuSigned by:

*Russel Bleiler*

Russel Bleiler

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