

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

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

Case No: 15-cv-8061-DLC

Plaintiffs,

v.

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

Defendants.

**NOTICE OF PROPOSED SETTLEMENT OF
CLASS ACTION**

If you purchased common stock of 6D Global Technologies, Inc. f/k/a CleanTech Innovations, Inc. (“6D Global” or the “Company”) during the period from June 16, 2014 through September 10, 2015 (the “Settlement Class Period”), you could get a payment from a class action settlement (the “Wey Settlement”).

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

- If approved by the Court, the Wey Settlement will provide two hundred sixty thousand dollars (\$260,000), before any deductions, to pay claims of investors who purchased 6D Global securities during the Settlement Class Period.
- The Settlement would resolve all claims against defendant Benjamin Wey, the only remaining defendant in this securities class action, *Castillo IV v. 6D Global Technologies, Inc., et al.*, No. 15-CV-8061-DLC (S.D.N.Y.) (the “Class Action” or “Action”).
- Previously, there had been a settlement in the Action (“the Partial Settlement”) that resolved claims against the defendants other than defendant Wey. **If you submitted a claim in the Partial Settlement, you do not need to submit another claim.** The Claims Administrator will treat the claims submitted in the Partial Settlement as a claim to recover here as well.
- The following table illustrates (1) the recovery already awarded from the Partial Settlement; (2) the recovery from the Wey Settlement, as Class Counsel proposes here; and (3) the total recovery for both settlements if the Court approves the Wey Settlement and disbursements as proposed by Class Counsel.

	<u>Partial Settlement</u>	<u>Wey Settlement</u>	<u>Total</u>
Settlement	\$640,000	\$260,000	\$900,000
Interest	\$3,978	\$0	\$3,978
Legal Fees	-\$213,333	-\$86,667	-\$300,000
Legal Expenses	-\$52,664	-\$70,000	-\$122,664
Lead Plaintiff Rewards	-\$6,000	-\$7,000	-\$13,000
Administration Costs	<u>-\$65,000</u>	<u>-\$15,000</u>	<u>-\$80,000</u>
Amount Available for Distribution	<u>\$306,981</u>	<u>\$81,333</u>	<u>\$388,314</u>
Recognized Losses	<u>\$3,703,559</u>	<u>\$3,703,559</u>	<u>\$3,703,559</u>
% Recovery	<u>8.29%</u>	<u>2.20%</u>	<u>10.48%</u>

- The Wey Settlement represents an estimated average recovery of \$0.013 per share of 6D Global for the approximately 19.5 million shares outstanding as of September 10, 2015 not held by defendants.
- Attorneys for Class Action Plaintiffs (“Class Counsel”) will ask the Court to award them fees of up to \$86,666.67 (one-third of the Wey Settlement). Class Counsel will also seek reimbursement of no more than \$70,000.00 in litigation expenses incurred by Class Counsel, and an Award to Class Action Plaintiffs not to exceed \$7,000.00 in total (\$1,500.00 each and \$1,000 extra for the Plaintiff who attended the in-person settlement conference on behalf of the Class).
- The average approximate recovery from the Wey Settlement, after deductions which Class Counsel will ask the court to approve, is \$0.05 per outstanding 6D Global securities not held by defendants. This estimate is based on the assumptions set forth in the preceding paragraphs. This is not an estimate of the actual recovery per share you should expect. Your actual recovery, if any, will depend on the aggregate losses of all Settlement Class Members, the date(s) you purchased and sold 6D Global securities, the purchase and sales prices, and the total number of claims filed.
- The Settlement resolves claims in the Class Action that defendant Benjamin Wey (the “Settling Defendant”) violated federal securities laws. Wey has denied and continues to deny all allegations of wrongdoing asserted by Class Action Plaintiffs. Wey continues to believe the claims asserted against him in the Class Action are without merit.
- 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.

INQUIRIES

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

<p>6D Global Technologies, Inc. Securities Litigation c/o Strategic Claims Services P.O. Box 230 600 N. Jackson St., Ste. 205 Media, Pennsylvania 19063 Tel.: 866-274-4004 Fax: 610-565-7985 info@strategicclaims.net</p> <p><i>Claims Administrator</i></p>	<p>or</p>	<p>THE ROSEN LAW FIRM, P.A.</p> <p>Michael Cohen, Esq. 275 Madison Avenue, 40th Floor New York, New York 10016 Telephone: (212) 686-1060 Fax: (212) 202-3827 mcohen@rosenlegal.com</p> <p><i>Class Counsel</i></p>
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DEFINITIONS

All capitalized terms not otherwise defined herein shall have the same meanings as set forth in the Stipulation and Agreement of Settlement, dated February 3, 2023 (the “Settlement Stipulation”).

COMMON QUESTIONS AND ANSWERS CONCERNING THE SETTLEMENT

1. Why did I get this Notice?

You or someone in your family may be a Settlement Class Member and may have purchased or acquired 6D Global securities from June 16, 2014 through September 10, 2015, both dates inclusive.

2. What is this lawsuit about?

The Settlement proposes to resolve the securities class action known as *Castillo IV v. 6D Global Technologies, Inc., et al.*, No. 15-cv-8061-DLC (S.D.N.Y.). The Court in charge of the case is the United States District Court, Southern District of New York.

The Plaintiffs allege (and defendant Wey denies) that the defendants failed to disclose and falsely denied that Wey beneficially owned almost half of 6D Global’s shares. Wey was indicted for securities fraud in September of 2015 and the day Wey’s indictment was unsealed, the NASDAQ halted trading in 6D Global’s stock. The Complaint alleges that after the NASDAQ delisted 6D Global’s stock, its price fell, damaging investors.

Defendant Wey denies all allegations of wrongdoing. In August of 2017, the Government voluntarily dismissed the indictment against Wey.

The Settlement resolves all of the claims against defendant Wey, who is the only defendant remaining in the case. Copies of court orders and other important documents in this action are available on the Claims Administrator’s website at www.strategicclaims.net.

3. Why is there a Settlement?

Plaintiffs and defendant Wey do not agree regarding the merits of the action.

Plaintiffs and Class Counsel believe the Settlement is best for all Settlement Class Members because of the risks associated with continued litigation. Among the reasons that Plaintiffs and Class Counsel believe the Settlement is fair is the fact that there is uncertainty about whether they will be able to prove that any challenged statement was false or misleading, that the alleged misstatements and omissions actually caused the Settlement Class any damages, and the amount of damages, if any. Even if Plaintiffs were to win at trial, and also prevail on any appeal, Plaintiffs might not be able to collect some, or all, of any judgment they are awarded.

4. What does the Settlement provide?

a. What is the Wey Settlement?

The proposed Settlement provides for defendant Wey to pay two hundred sixty thousand dollars (\$260,000) into a settlement fund (the “Wey Settlement”). The Wey Settlement is subject to Court approval. Also, subject to the Court’s approval, a portion of the Wey Settlement may be used to pay attorneys’ fees with interest and reasonable litigation expenses to Class Counsel. A portion of the Wey Settlement also will be used to pay taxes due on interest earned by the Wey Settlement, if necessary, and the costs of the claims administration, including the costs of printing and mailing and/or emailing notice and the costs of publishing notice. After deductions from the Wey Settlement have been made, the amount remaining (the “Net Wey Settlement”) will be distributed to Settlement Class Members who submit timely, valid claims, according to the Plan of Allocation to be approved by the Court. If you have already submitted a claim to receive a portion of the Partial Settlement described above, you do not have to submit another claim.

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

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

PROPOSED PLAN OF ALLOCATION OF THE NET WEY SETTLEMENT

The Plan of Allocation was created with the help of a damages expert, and assumes that the price of 6D securities was artificially inflated throughout the Settlement Class Period. To have been damaged by the alleged violations of the federal securities laws, you must have held 6D securities purchased during the Settlement Class Period during a period of time when its price declined from disclosure of information allegedly correcting a misleading statement or omission. No distribution will be made on a claim where the potential distribution amount is less than ten dollars (\$10.00) in cash.

THE BASIS FOR CALCULATING YOUR RECOGNIZED LOSS:

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

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

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

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

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

5. How can I get a payment?

If you submitted a claim in the Partial Settlement, you do not need to submit another claim.

If you did not submit a claim in the Partial Settlement, to qualify for a payment from the Wey Settlement you must send in a form titled “Proof of Claim and Release Form.” This Proof of Claim and Release Form is attached to this Notice. You may also obtain a Proof of Claim and Release Form at www.strategicclaims.net. Read the instructions carefully, fill out the form, and sign it in the location indicated. The Proof of Claim and Release Form may be completed in two ways: (1) by completing and submitting it electronically at www.strategicclaim.net **by 11:59 p.m. EST on September 6, 2023**; or (2) by mailing the claim form together with all documentation requested in the form, **postmarked no later than September 6, 2023**, to:

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

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

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

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

Unless you exclude yourself from the Settlement Class by the September 15, 2023 deadline, you will remain a member of the Settlement Class and will be bound by the release of claims against the Settling Defendant and other Released Parties if the Settlement is approved. That means you and all other Settlement Class Members and each of their respective parent entities, associates, affiliates, subsidiaries, predecessors, successors, assigns, attorneys, immediate family members, heirs, representatives, administrators, executors, devisees, legatees, and estates will release (agreeing never to sue, continue to sue, or be part of any other lawsuit) as against the Settling Defendant and other Released Parties any and all claims which arise out of, are based upon or relate in any way to the purchase or acquisition of 6D Global securities during the Settlement Class Period. It means that all of the Court’s orders will apply to you and legally bind you. That means you will accept a share of the Net Wey Settlement as sole compensation for any losses you suffered in the purchase, acquisitions, sale or ownership of 6D Global securities during the Settlement Class Period. The specific terms of the release are included in the Settlement Stipulation, which you may obtain from the Claims Administrator.

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

If you do not want to receive a payment from this Settlement, and you want to keep any right you may have to sue or continue to sue the Settling Defendant or other Released Parties on your own about the claims being released in this Settlement, then you must take steps to exclude yourself from the Settlement. To exclude yourself from the Settlement, you must mail a letter that (A) clearly indicates your name, address, phone number and e- mail contact information (if any) and states that you “request to be excluded from the Settlement Class in *Castillo IV v. 6D Global Technologies, Inc., et al.*, No. 15-cv-8061- DLC (S.D.N.Y.)” and (B) states the date, number of shares and dollar amount of each 6D Global securities purchase or acquisition during the Settlement Class Period, any sale transactions, and the number of shares of 6D Global securities held by you as of June 16, 2014 and September 10, 2015. In order to be valid, such request for exclusion must be submitted with documentary proof: (i) of each purchase and, if applicable, sale transaction of 6D Global securities during the Settlement Class Period; and (ii) demonstrating your status as a beneficial owner of the 6D Global securities. Any such request for exclusion must be signed and submitted by you, as the beneficial owner, under penalty of perjury. You must mail your exclusion request, to be **received no later than September 15, 2023**, to the Claims Administrator at the following address:

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

If you properly exclude yourself, you will not receive a payment from the Wey Settlement, you cannot object to the Settlement of the Class Action, and you will not be legally bound by the judgment against Wey.

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

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

9. How will the lawyers be paid?

Class Counsel will file a motion asking the Court at the Settlement Hearing to make an award of attorneys' fees in an amount not to exceed one-third of the Wey Settlement (\$86,666.67) plus reimbursement of litigation expenses of no more than \$70,000. Any amounts awarded by the Court will come out of the Wey Settlement.

10. How do I tell the Court that I do not like the Settlement if I am a Settlement Class Member?

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

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

Attendance at the Settlement Hearing is not necessary. Objectors wishing to be heard orally at the Settlement Hearing are required to indicate in their written objection (or in a separate writing that is submitted in accordance with the deadline and after instruction pertinent to the submission of a written objection) that they intend to appear at the Settlement Hearing and identify any witnesses they may call to testify or exhibits they intend to introduce into evidence at the Settlement Hearing. Be sure to serve copies of any objections, papers and briefs to **each** of the addresses listed below, to be **received no later than September 15, 2023**:

Clerk of the Court United States District Court Southern District of New York 40 Foley Square New York, NY 10007 Re: 15 Civ. 8061 (DLC)	<u>CLASS COUNSEL</u> THE ROSEN LAW FIRM, P.A. Michael Cohen 275 Madison Avenue, 40th Floor New York, NY 10016
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11. When and where will the Court decide whether to approve the Settlement?

The Court will hold a Settlement Hearing on **October 6, 2023, at 10:00 a.m.**, at the United States District Court, Southern District of New York, 500 Pearl Street, Courtroom 18B, New York, NY 10007.

At this hearing, the Court will consider whether the Settlement is fair, reasonable, and adequate

and whether to approve the Settlement. If there are objections, the Court will consider them, and the Court will listen to people who have asked to speak at the hearing. The Court may also decide how much to pay Class Counsel for attorneys' fees and expenses and how much if anything to award the Plaintiffs.

12. Do I have to come to the hearing?

No. Class 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.

13. What happens if I do nothing at all?

If you are a Settlement Class Member, but you do nothing, you will not receive a payment from the Wey Settlement unless you already submitted a claim for the Partial 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 Wey or the Released Parties about the claims made in this action ever again.

DATED: APRIL 3, 2023

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

PROOF OF CLAIM AND RELEASE FORM

Previously, there had been a partial settlement in the Action (“the Partial Settlement”) that resolved claims against the defendants other than Defendant Wey. **If you submitted a claim in the Partial Settlement, you do not need to submit another claim.** The Claims Administrator will treat the claims submitted in the Partial Settlement as a claim in this matter.

Deadline for Submission: September 6, 2023

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

THE FOLLOWING PERSONS ARE EXCLUDED FROM THE CLASS AND ARE NOT CLASS MEMBERS: (I) DEFENDANTS; (II) CURRENT AND FORMER OFFICERS AND DIRECTORS OF 6D GLOBAL AND ANY OTHER RELEASED PARTY; (III) THE PERSONS EXPRESSLY EXCLUDED FROM THE DEFINITION OF RELEASED PARTIES IN PARAGRAPH 1.29 OF THE STIPULATION OF SETTLEMENT AVAILABLE ON THE WEBSITE; (IV) THE RESPECTIVE SPOUSES, CHILDREN, OR PARENTS OF ANY PERSON OR ENTITY EXCLUDED UNDER SUBPARAGRAPHS, (I) THROUGH (III) OF THIS PARAGRAPH; (V) ANY PERSON OR ENTITY MORE THAN 5% OWNED OR DIRECTLY OR INDIRECTLY CONTROLLED BY ANY PERSON OR ENTITY EXCLUDED UNDER SUBPARAGRAPHS (I) THROUGH (IV) OF THIS PARAGRAPH OR ANY TRUST OF WHICH SUCH A PERSON IS A BENEFICIARY OR OF WHICH ANY PERSON OR ENTITY IS RELATED OR AFFILIATED TO A BENEFICIARY OR A TRUSTEE; (VI) THE RESPECTIVE HEIRS, SUCCESSORS, TRUSTEES AND ASSIGNS OF ANY PERSON EXCLUDED UNDER SUBPARAGRAPHS (I) THROUGH (V); AND (VII) THOSE PERSONS WHO FILE VALID AND TIMELY REQUESTS FOR EXCLUSION IN ACCORDANCE WITH THE COURT’S ORDER GRANTING PLAINTIFFS’ MOTION FOR PRELIMINARY APPROVAL OF CLASS ACTION SETTLEMENT.

IF YOU ARE A SETTLEMENT CLASS MEMBER, YOU MUST COMPLETE AND SUBMIT THIS PROOF OF CLAIM AND RELEASE FORM (“PROOF OF CLAIM AND RELEASE FORM”) IN ORDER TO BE ELIGIBLE FOR ANY SETTLEMENT BENEFITS. ***IF AT ALL POSSIBLE, YOU SHOULD COMPLETE AND SUBMIT THE ELECTRONIC VERSION OF THIS PROOF OF CLAIM AND RELEASE FORM. ELECTRONIC FORMS MAY BE SUBMITTED AT NO COST TO YOU. ELECTRONIC FORMS ARE DUE BY 11:59 P.M. EST ON SEPTEMBER 6, 2023 AT WWW.STRATEGICCLAIMS.NET.***

IF YOU DO NOT COMPLETE AND SUBMIT AN ELECTRONIC VERSION OF THIS PROOF OF CLAIM AND RELEASE FORM, YOU MUST COMPLETE AND SIGN THIS PROOF OF CLAIM AND RELEASE FORM AND MAIL IT BY FIRST CLASS MAIL, POSTMARKED NO LATER THAN SEPTEMBER 6, 2023 TO STRATEGIC CLAIMS SERVICES, THE CLAIMS ADMINISTRATOR, AT THE FOLLOWING ADDRESS:

6D Global Technologies, Inc. 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

YOUR FAILURE TO SUBMIT YOUR CLAIM BY SEPTEMBER 6, 2023 WILL SUBJECT YOUR CLAIM TO REJECTION AND PRECLUDE YOU FROM RECEIVING ANY MONEY IN CONNECTION WITH THE SETTLEMENT OF THIS ACTION. DO NOT MAIL OR DELIVER YOUR CLAIM TO THE COURT OR TO ANY OF THE PARTIES OR THEIR COUNSEL, AS ANY SUCH CLAIM WILL BE DEEMED NOT TO HAVE

BEEN SUBMITTED. SUBMIT YOUR CLAIM ONLY TO THE CLAIMS ADMINISTRATOR. IF YOU ARE A SETTLEMENT CLASS MEMBER AND DO NOT SUBMIT A PROPER PROOF OF CLAIM AND RELEASE FORM, YOU WILL NOT SHARE IN THE SETTLEMENT, BUT YOU NEVERTHELESS WILL BE BOUND BY THE ORDER AND FINAL JUDGMENT OF THE COURT UNLESS YOU EXCLUDE YOURSELF.

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

CLAIMANT'S STATEMENT

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

Proof of Claim and Release Form on behalf of a corporation, a partnership, estate or one or more other persons, by it, him, her or them, and by its, his, her or their heirs, executors, administrators, predecessors, successors, and assigns) of each of the “Released Parties” of all “Released Claims,” as those terms are defined in the Stipulation and Agreement of Settlement (the “Settlement Stipulation”).

8. Upon the occurrence of the Court’s approval of the Settlement, as detailed in the Notice, I (we) agree and acknowledge that my (our) signature(s) hereto shall effect and constitute a covenant by me (us) and my (our) heirs, joint tenants, tenants in common, beneficiaries, executors, administrators, predecessors, successors, attorneys, insurers and assigns (or, if I am (we are) submitting this Proof of Claim and Release Form on behalf of a corporation, a partnership, estate or one or more other persons, by it, him, her or them, and by its, his, her or their heirs, executors, administrators, predecessors, successors, and assigns) to permanently refrain from prosecuting or attempting to prosecute any Released Claims against any of the Released Parties.
9. “Released Parties” has the meaning laid out in the Settlement Stipulation.
10. “Released Claims” has the meaning laid out in the Settlement Stipulation.
11. “Unknown Claims” has the meaning laid out in the Settlement Stipulation.
12. I (We) acknowledge that the inclusion of “Unknown Claims” in the definition of claims released pursuant to the Settlement Stipulation was separately bargained for and is a material element of the Settlement of which this release is a part.
13. NOTICE REGARDING INSTITUTIONAL FILERS: Representatives with authority to file on behalf of (a) accounts of multiple Settlement Class Members or (b) institutional accounts with large numbers of transactions (“Representative Filers”) may request, or be requested, to submit information regarding their transactions in an electronic spreadsheet format. All Representative Filers MUST also submit a manually signed Proof of Claim and Release Form, as well as proof of authority to file (see Item 2 of the Claimant’s Statement), along with the electronic spreadsheet format. If you are a Representative Filer who wishes to file using the electronic spreadsheet format, you must contact the Claims Administrator at efile@strategicclaims.net or visit their website at www.strategicclaims.net to obtain the required file layout. No claims submitted in electronic spreadsheet format will be considered to have been properly submitted unless the Claims Administrator issues to the Claimant a written acknowledgment of receipt and acceptance of electronically submitted data.
14. NOTICE REGARDING ONLINE FILING: Claimants who are *not* Representative Filers may submit their claims online using the electronic version of the Proof of Claim and Release Form hosted at www.strategicclaims.net. If you are not acting as a Representative Filer, you do not need to contact the Claims Administrator prior to filing; you will receive an automated e-mail confirming receipt once your Proof of Claim and Release Form has been submitted. If you are unsure if you should submit your claim as a Representative Filer, please contact the Claims Administrator at info@strategicclaims.net or (866) 274-4004.

I. CLAIMANT INFORMATION

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

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

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

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Purchases/Acquisitions:

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

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

Sales:

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

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

Ending Holdings:

D. State the total number of shares of 6D Global securities held at the close of trading on September 10, 2015 (*must be documented*). If none, write “zero” or “0.”

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

III. SUBSTITUTE FORM W-9

Request for Taxpayer Identification Number:

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

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

IV. CERTIFICATION

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

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

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

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

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

(Signature)

(Signature)

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

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

Date: _____

IF AT ALL POSSIBLE, YOU SHOULD COMPLETE AND SUBMIT THE ELECTRONIC VERSION OF THIS PROOF OF CLAIM AND RELEASE FORM. ELECTRONIC FORMS MAY BE SUBMITTED AT NO COST TO YOU. ELECTRONIC FORMS ARE DUE BY 11:59 P.M. EST ON SEPTEMBER 6, 2023 AT WWW.STRATEGICCLAIMS.NET. IF YOU PREFER, YOU MAY ALSO SUBMIT THIS PROOF OF CLAIM AND RELEASE FORM BY MAIL NO LATER THAN SEPTEMBER 6, 2023 AND MAIL IT TO:

6D Global Technologies, Inc. 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 September 6, 2023 and if a postmark is indicated on the envelope and it is mailed first class and addressed in accordance with the above instructions. In all other cases, a Proof of Claim and Release Form shall be deemed to have been submitted when actually received by the Claims Administrator.

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

REMINDER CHECKLIST

- Please be sure to sign this Proof of Claim and Release Form on page 14. If this Proof of Claim and Release Form is submitted on behalf of joint claimants, then each claimant must sign.
- Please remember to attach supporting documents. Do NOT send any stock certificates. Keep copies of everything you submit.
- Do NOT use highlighter on the Proof of Claim and Release Form or any supporting documents.
- If you submit your Proof of Claim and Release Form online through the electronic version hosted at www.strategicclaims.net, you will be sent an automatic e-mail confirmation when your claim has been received. If you mail your Proof of Claim and Release Form and desire an acknowledgment of receipt, please send it Certified Mail, Return Receipt Requested, or its equivalent.
- If you move or change your address, telephone number or email address, please submit the new information to the Claims Administrator, as well as any other information that will assist us in contacting you. NOTE: Failure to submit updated information to the Claims Administrator may result in the Claims Administrator's inability to contact you regarding issues with your claim or deliver payment to you.

6D Global Technologies, Inc. Securities Litigation
c/o Strategic Claims Services
600 N. Jackson St., Ste. 205
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IMPORTANT LEGAL NOTICE – PLEASE FORWARD