

## **Security Identifiers & Class Period**

CUSIP: 514766104

ISIN: US5147661046

Ticker Symbol: LNDC, LFCR

Class Period: October 7, 2020 through March 19, 2024 (inclusive)

90-day look-back period: March 20, 2024 through June 17, 2024

## **Eligible Securities**

Lifecore Biomedical, Inc. securities (common stock, call options, put options) that were purchased or otherwise acquired between October 7, 2020 and March 19, 2024, both dates inclusive.

## **Filing Summary**

The Strategic Claims Services (“SCS”) Electronic Filing Template (“EFT”) is available to financial institutions, nominees, and approved third-party claims aggregators that submit claims on behalf of themselves or their clients. All EFT submissions must be made through [efile@strategicclaims.net](mailto:efile@strategicclaims.net). EFT submissions sent to a different email address will not be processed nor confirmed as received by SCS. For security purposes, SCS does not accept EFT submissions made through removable media devices such as USB drives or CDs. SCS strongly encourages filers to submit their EFTs a few days prior to the claims filing deadline to allow for additional administrative requests or to account for complications which may occur during the filing process. EFTs that do not follow the court approved filing requirements and instructions may be subject to rejection.

SCS does not accept placeholder EFT submissions. EFTs submitted past the claims filing deadline will be marked late and may not be accepted for processing. Please allow three business days for SCS to confirm each EFT was received and accepted for processing. The EFT will not be considered properly submitted until confirmed by SCS in writing via email response.

## **Backup and Supporting Documentation Requests**

Prior to distribution, SCS may request additional information and documentation regarding the data contained within the EFT for auditing and quality assurance purposes. The information requested may include, but is not limited to, backup documentation issued by the brokerage firm or institution on behalf of transactions conducted for the beneficial owners, or such comparable backup documentation as SCS may accept. For a complete list of acceptable documentation, please contact SCS directly.

Please note that documentation and audit requests are not optional. Failure to provide sufficient documentation detailing holdings and transactions through relevant time periods, as well as other requested information, may result in a full rejection of the claim or the entire submission, as applicable. Every filer should be aware that SCS will periodically make documentation requests for auditing and accuracy purposes. As such, filers should have readily available access to backup documentation if requested by SCS. This request also applies to assigned or purchased claims.

## **Account Combination**

One claim should be submitted for each separate legal entity or separately managed account. Separate claims should be submitted for each separate legal entity (e.g., an individual should not combine his or her IRA transactions with transactions made solely in the individual's name). Generally, a single claim should be submitted on behalf of one legal entity including all holdings and transactions made by that entity on one claim form. However, if a single person or legal entity had multiple accounts that were separately managed, separate claims may be submitted for each such account.

## **Filing Instructions Overview**

The relevant EFT will be provided on each case's individual website or profile through the main SCS website (<https://www.strategicclaims.net>). The filer may also request a copy of the EFT directly from SCS through [efile@strategicclaims.net](mailto:efile@strategicclaims.net). Once a copy of the EFT has been obtained, the filer should fill out all relevant fields to the best of their ability and submit the completed EFT to [efile@strategicclaims.net](mailto:efile@strategicclaims.net) along with a signed umbrella claim form and authorization form (self-prepared). Unless previously discussed with SCS, do not add additional columns to the EFT as this information will not be processed nor will not be factored into the recognized loss calculation.

Please note that in most cases we do not require certifications, affidavits, cover letters, tax forms (W-8BEN) or a copy of the filer's bylaws upfront. Please do not include the aforementioned documents with the EFT. The only required items are:

- (1) The signed umbrella claim form.
- (2) A completed EFT.
- (3) A self-prepared authorization between the client and filer to file claims on their behalf
- (4) Wire Instructions (where applicable).

If SCS requires additional administrative documentation, we will make the request directly to the email address reported in the EFT.

## **Receive/Deliver & Miscellaneous Transfers.**

Where applicable, it is the responsibility of the filer to pair receive and deliver transactions to reflect the accurate transfer of shares between accounts. Any purchases that are transferred from one account to another should be reflected in the receiving account with the original cost basis and trade date. For balancing purposes, the originating account may still reflect the original purchase amount, but the price should be zeroed out, and the transaction code should be reported as "R" so that the shares are not double counted in the recognized loss calculation.

Transfer transactions (receive & delivers) should not be removed from the submitted trade data unless they are considered a true wash and do not affect the recognized loss calculation (e.g., movement of shares from cash to margin or vice versa is acceptable to remove from the data set). If the filer is unsure what should be reported as a receive as opposed to a purchase, please contact SCS directly. Unless specifically dictated by the plan of allocation, trades between two or more trade desks at the same financial institution should be flagged as "R" or "D" and not assigned a price per share value unless they are considered true open-market public transactions.

## Field Descriptions – Common Stock Template

**Beneficial Owner 1 (Check Field 1)** – This field should be for the full name of the beneficial owner (typically the fund name or individual purchaser). If you are a third-party filer filing on behalf of the beneficial owner, please put the necessary language that will allow your firm to cash the check on behalf of the underlying beneficial owner (i.e. “Strategic FBO John Smith”). Do not enter the name of the person submitting the file. **This field has a max character limit of 95 characters.** If the beneficial owner’s name length exceeds this field, you may use the second beneficial owner field for the additional characters or abbreviate the name. If abbreviating the name and the beneficial owner is a fund, the fund name should still be recognizable for auditing purposes.

**Beneficial Owner 2 (Check Field 1)** – This is an additional field for a second beneficial owner or additional room for the Beneficial Owner 1 field. **This field has a max character limit of 95 characters.**

**Account Number** – This field is for the account number. The true account number should be used when possible. If the account is combined or rolled up, a placeholder account number may be used.

**Attention, Address 1, Address 2, City, State, Zip Code, Province, Country** – These fields are where the checks will be sent if wiring is not an option. SCS will not send deficiency or status notices to these addresses; those notices will be sent to the email contained within the submitted EFT.

**SSN or EIN (Last Four Digits)** – This field is for the claimant’s TIN, last four digits are acceptable. If the beneficial owner is foreign, please leave it blank.

**Filer’s Email** – This field is where all correspondence will be sent, such as deficiency notices, inquiries, or claim status notices. For security purposes, SCS can only accept one email address per claim.

**Security Identifier (CUSIP, SEDOL or ISIN)** – This is a data validated field. A complete list of eligible securities are provided at the top of these instructions. The valid security identifier must be provided and must be correct. For security identifier changes during the class period, the filer does not need to provide the shares delivering out and the new shares being received in; a simple change in reported security identifier is sufficient so long as the claim balances.

**Transaction Type (BB, P, R, S, D, EB)** – This is a data validated field. SCS will not accept transaction types that deviate from the above listed transaction types. Dividends, mergers, acquisitions, etc. can all be represented with the above transaction types.

**Trade Date (MM/DD/YYYY)** – This is a data validated field. SCS will only accept dates reported in MM/DD/YYYY format. Beginning and Ending Holding positions should match the date as listed in the corresponding claim form and not deviate from the listed date.

**Share Quantity** – This field is for the number of shares per each buy/sale transaction and/or the holdings.

**Execution Price (Per Share in USD)** – This field is for the execution price per share in USD. Do not report another currency other than USD unless the plan of allocation specifically calls for it. The execution price should not include commissions, fees, or taxes. Same date transactions should not be aggregated if the execution price is different.

**Option A/E** – Common stock that is acquired/sold through an exercise or assignment of an option should be denoted as a “E” for exercised or “A” for assignment.

**Filer Comments** – This field is for filer comments, any description or additional instructions for conversions or transfers should be listed here.

**Failure to fill out the required fields may result in a processing delay or complete rejection of the submission.**