



*Snap Securities Settlement*

ELECTRONIC CLAIM FILING GUIDELINES



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## Overview

Electronic Claim Filing applies to institutions or entities that are filing multiple Proofs of Claim and Release on behalf of themselves and/or others, as well as individuals or entities that are filing Proofs of Claim and Release with a large number of transactions (50+).

Electronic Claim Filings are subject to rejection if not prepared in compliance with these Electronic Claim Filing Guidelines.

PLEASE NOTE: No Electronic Claim Filing will be considered to have been properly submitted unless the Claims Administrator issues to the filer a written acknowledgment of receipt and acceptance of electronically submitted data.

## Electronic Filing Requirements

### Complete and Sign a Proof of Claim and Release:

- One executed Proof of Claim and Release should be completed per submission. This Proof of Claim and Release serves as a master Proof of Claim and Release for one or all of the accounts included on your file. The Proof of Claim and Release is attached hereto as Appendix B.
- Separate Claims should be submitted for each separate legal entity (*e.g.*, a claim from joint owners should not include separate transactions of just one of the joint owners, and an individual should not combine his or her IRA transactions with transactions made solely in the individual's name). Conversely, a single Claim should be submitted on behalf of one legal entity including all transactions made by that entity, no matter how many separate accounts that entity has (*e.g.*, a corporation with multiple brokerage accounts should include all transactions made in all accounts on one Claim).
- Complete the first page of the Proof of Claim and Release. Be sure to include company name, account name/number, and company address. If submitting an electronic file on behalf of several accounts, enter "Various Accounts" for the account name/number.
- Complete the signature page on the Proof of Claim and Release. If you are filing on behalf of your clients, you must include a letter or document providing your authorization to sign on behalf of your clients, as set forth in Appendix C.
- A valid email address must be on file with the Claims Administrator. Communication regarding deficiencies and rejections on electronically filed claims may be conducted by email. A valid email address **MUST** be included on the Proof of Claim and Release, and the email address provided **MUST** be updated in the event the contact person or email address changes; it is the sole responsibility of the filing party to maintain up-to-date, complete contact information with the Claims Administrator.

### Prepare a cover letter:

- A cover letter **MUST** be included with the master Proof of Claim and Release. The cover letter must include the total number of accounts; total number of transactions; total number of shares purchased, acquired, and sold; and contact name(s) with phone number(s) and email address(es). Please see the sample cover letter as set forth in Appendix D.



## Prepare a data file:

- An Excel spreadsheet or other electronic file containing account information and transactional data **MUST** be prepared in accordance with A.B. Data, Ltd.'s Electronic Claim Filing Template Mapping Instructions found in Appendix E. The following formats are acceptable: a) MEDIA: CD, DVD, and FLASH DRIVE and b) DATA: ASCII, MS EXCEL, and MS ACCESS. For your convenience, an Excel spreadsheet template is available for your use and may be downloaded from [www.SnapSecuritiesSettlement.com](http://www.SnapSecuritiesSettlement.com).
- If you cannot provide the information in the aforementioned formats or you have other requests, questions, concerns, or comments, please email A.B. Data, Ltd., at [efiling@abdata.com](mailto:efiling@abdata.com) or you may call 877-777-9249 to speak to an Electronic Claims Filing Specialist.

## Mail your executed master Proof of Claim and Release with a cover letter and media format to:

SNAP SECURITIES SETTLEMENT  
ATTN: ELECTRONIC CLAIMS DEPARTMENT  
C/O A.B. DATA, LTD.  
PO BOX 173101  
MILWAUKEE, WI 53217

Or:

SNAP SECURITIES SETTLEMENT  
ATTN: ELECTRONIC CLAIMS DEPARTMENT  
C/O A.B. DATA, LTD.  
3410 WEST HOPKINS STREET  
MILWAUKEE, WI 53216

## Documentation Requirements

A.B. Data, Ltd., reserves the right to request additional documentation at any time after your Proof of Claim and Release and file have been received and processed. The documentation provided should be sufficient to verify the validity and accuracy of the data provided in the file.

If you provided a letter/affidavit attesting to the truth and accuracy of your data when initially submitting your file, A.B. Data may still require specific documentary evidence (trade confirmations, monthly statement, or equivalent) to verify the details of your transactions and/or holdings.

## How to account for Free Receipts, Free Deliveries, and Transfers

Free receipt, free delivery, and transfer transactions are not eligible for payment unless you have additional information regarding the original purchase, acquisition, or subsequent sale. If you do not have this information, free receipt, free delivery, and transfer transactions should only be included on your electronic file for balancing purposes. You **MUST** use the following instructions when filing for accounts that have free receipt, free delivery, and transfer transactions during the Class Period:

**If shares were transferred to or from a different custodian (corresponding account is not on your electronic file), you must follow these instructions:**

- **SHARES RECEIVED INTO ACCOUNT:** You must account for any received shares by providing the opening position or original purchase or acquisition of these shares from the prior account.



- **SHARES DELIVERED OUT OF ACCOUNT:** You must account for any delivered shares by providing the sale and/or closing position from the subsequent account.
- **NO INFORMATION AVAILABLE ON ORIGINAL PURCHASE/ACQUISITION or SUBSEQUENT SALE:** You must provide the free receipt and/or free delivery shares in order to balance your claim. A “transfer in” should be reflected as transaction type “FR,” and a “transfer out” should be reflected as transaction type “FD” (prices and net amounts should be zero).

**If shares were transferred between accounts on your file, you must follow these instructions:**

- **DO NOT** claim the same purchase or acquisition transaction(s) on both accounts.
- The account that owned the shares most recently should be the account claiming the eligible purchase or acquisition. These shares should already be accounted for in the sales and/or closing position of the most recent account.
- If shares were transferred between accounts for the same beneficial owner on your file, you must combine these accounts and file all eligible purchases, acquisitions, and sales in a single claim. You must also include all opening and closing positions on the claim for that entity.
- If you are unable to combine these accounts accordingly, you must provide the free receipt and free delivery shares in order to balance your claim. A “transfer in” should be reflected as transaction type “FR,” and a “transfer out” should be reflected as transaction type “FD” (prices and net amounts should be zero).

## Claim Balancing

All securities for each Claim must balance. This means all opening position shares plus purchases / acquisitions (including free receipts) from February 5, 2021 through and including January 19, 2022, **MUST EQUAL** the total sales (including free deliveries) from February 5, 2021 through and including January 19, 2022, plus the closing position. **(O+P+FR=S+FD+C).**

Negative values may only be given for short opening or closing positions. All other transactions must be positive values.

## Appendix A

### Case Specific Information

CLASS DEFINITION:	All persons or entities who purchased or otherwise acquired Snap publicly traded securities or call options, or sold Snap put options, between February 5, 2021 and October 21, 2021, inclusive and were damaged thereby.
CLAIM FILING DEADLINE:	May 6, 2026

**The following is a list of eligible Securities:**

SECURITY	TICKER	CUSIP	ISIN
Snap Inc. Common Stock	SNAP	83304A106	US83304A1060
Snap Inc. Call Options			
Snap Inc. Put Options			



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**Snap Common Stock transactions for each account should include:**

<b>Transaction Type</b>	<b>Definition</b>	<b>Valid Dates</b>
<b>O</b>	Total shares held as of the opening of trading at the beginning of the Settlement Class Period.	February 5, 2021
<b>P</b>	Purchases/acquisitions during the Settlement Class Period and 90-Day Lookback Period.	February 5, 2021 through and including January 19, 2022
<b>FR</b>	Transfer into account during the Settlement Class Period and 90-Day Lookback Period.	February 5, 2021 through and including January 19, 2022
<b>S</b>	Sales during the Settlement Class Period and 90-Day Lookback Period.	February 5, 2021 through and including January 19, 2022
<b>FD</b>	Transfer out of account during the Settlement Class Period and 90-Day Lookback Period.	February 5, 2021 through and including January 19, 2022
<b>C</b>	Total shares held at close of trading at end of the Settlement Class Period.	January 19, 2022

**\*\*\*Please see Appendix E for mapping instructions detailing how to properly submit your file. Files submitted that do not follow the mapping instructions are subject to rejection.**



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**Transactions for Snap Call/Put Options should include:**

<b>Transaction Type</b>	<b>Definition</b>	<b>Valid Dates</b>
<b>O</b>	All positions in Snap Call/Put Option contracts that were held as of the beginning of the Settlement Class Period.	February 5, 2021
<b>P</b>	Purchases/acquisitions of Call/Put Option contracts during the Settlement Class Period.	February 5, 2024 through and including October 21, 2021
<b>FR</b>	Free receipts of Call/Put Option contracts during the Settlement Class Period.	February 5, 2024 through and including October 21, 2021
<b>S</b>	Sales of Call/Put Option contracts during the Settlement Class Period.	February 5, 2024 through and including October 21, 2021
<b>FD</b>	Free deliveries of Call/Put Option contracts during the Settlement Class Period.	February 5, 2024 through and including October 21, 2021
<b>C</b>	All positions in MBI Call Option contracts held as an open interest as of the close of the Settlement Class Period.	October 21, 2021

**\*\*\*Please see Appendix E for mapping instructions detailing how to properly submit your file. Files submitted that do not follow the mapping instructions are subject to rejection.**



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## Appendix B



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**UNITED STATES DISTRICT COURT  
CENTRAL DISTRICT OF CALIFORNIA  
WESTERN DIVISION**

KELLIE BLACK, individually and on behalf of all others similarly situated,	)	No. 2:21-cv-08892-GW-RAO
	)	
Plaintiff,	)	CLASS ACTION
	)	
vs.	)	
	)	
SNAP INC., EVAN SPIEGEL, and JEREMI GORMAN,	)	
	)	
Defendants.	)	

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**PROOF OF CLAIM AND RELEASE**

**I. GENERAL INSTRUCTIONS**

1. To recover as a member of the Settlement Class based on your claim in the action entitled *Black v. Snap Inc., et al.*, No. 2:21-cv-08892-GW-RAO (C.D. Cal.) (the “Action”), you must complete and, on page 7 below, sign this Proof of Claim and Release form (“Claim Form”).<sup>1</sup> If you fail to submit a timely and properly addressed (as explained in paragraph 3 of this section) Claim Form, your claim may be rejected, and you may not receive any recovery from the Net Settlement Fund created in connection with the proposed Settlement.

2. Submission of this Claim Form, however, does not ensure that you will share in the proceeds of the Settlement of the Action.

3. **THIS CLAIM FORM MUST BE SUBMITTED ONLINE AT WWW.SNAPSECURITIESSETTLEMENT.COM BY MAY 6, 2026, OR, IF MAILED, BE POSTMARKED BY MAY 6, 2026, ADDRESSED AS FOLLOWS:**

Snap Securities Settlement  
c/o A.B. Data, Ltd.  
P.O. Box 173101  
Milwaukee, WI 53217  
[www.SnapSecuritiesSettlement.com](http://www.SnapSecuritiesSettlement.com)

4. Do not mail or deliver your Claim Form to the Court, the Parties to this Action, or their counsel. Submit your Claim Form only to the Claims Administrator.

5. If you are a member of the Settlement Class, you are bound by the terms of any judgment entered in the Action, including the releases provided for therein, **WHETHER OR NOT YOU SUBMIT A CLAIM FORM OR RECEIVE A PAYMENT.**

**II. CLAIMANT IDENTIFICATION**

1. If you purchased or otherwise acquired Snap publicly traded securities or call options, or sold Snap put options, between February 5, 2021 and October 21, 2021, inclusive<sup>2</sup> (the “Class”), and were allegedly damaged thereby, and held the common stock and/or options in your name, you are the beneficial owner as well as the record owner. If, however, you purchased or otherwise acquired Snap common stock and/or call options or sold Snap put options during the Settlement

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<sup>1</sup> All capitalized terms used herein that are not otherwise defined herein have the meanings ascribed to them in the Stipulation of Settlement (“Stipulation” or “Settlement Agreement”).

<sup>2</sup> For the avoidance of doubt, the Settlement Class includes Elias Guerra and those individuals and entities he purports to represent in his capacity as Securityholder Representative in the matter captioned *Guerra v. Snap Inc.*, C.A. No. 2024-1009-JTL (Del. Ch.).

Class Period through a third party, such as a brokerage firm, you are the beneficial owner, and the third party is the record owner.

2. Use **Part I** of this form entitled “Claimant Information” to identify each beneficial owner of Snap common stock, Snap call options, and Snap put options that forms the basis of this claim, as well as the owner of record if different. **THIS CLAIM MUST BE FILED BY THE ACTUAL BENEFICIAL OWNERS OR THE LEGAL REPRESENTATIVE OF SUCH OWNERS.**

3. All joint owners must sign this claim. Executors, administrators, guardians, conservators, and trustees must complete and sign this claim on behalf of persons they represent and their authority must accompany this claim and their titles or capacities must be stated. The Social Security (or Taxpayer Identification) Number and telephone number of the beneficial owner may be used in verifying the claim. Failure to provide the foregoing information could delay verification of your claim or result in rejection of the claim.

### **III. IDENTIFICATION OF TRANSACTIONS**

1. Use **Part II** of this form entitled “Schedule of Transactions in Snap Common Stock” to supply all required details of your transaction(s) in Snap common stock. If you need more space or additional schedules, attach separate sheets giving all the required information in substantially the same form. Sign and print or type your name on each additional sheet.

2. Use **Part III** of this form entitled “Schedule of Transactions in Snap Call Options” to supply all required details of your transaction(s) in Snap call options. If you need more space or additional schedules, attach separate sheets giving all of the required information in substantially the same form. Sign and print or type your name on each additional sheet.

3. Use **Part IV** of this form entitled “Schedule of Transactions in Snap Put Options” to supply all required details of your transaction(s) in Snap put options. If you need more space or additional schedules, attach separate sheets giving all of the required information in substantially the same form. Sign and print or type your name on each additional sheet

4. On the schedules, provide all the requested information with respect to *all of* your holdings, purchases, acquisitions, and sales of Snap common stock, call options, and put options during the period from February 5, 2021 through and including October 21, 2021, whether or not the transactions resulted in a profit or a loss. Failure to report all such transactions may result in the rejection of your claim.

5. The date of covering a “short sale” is deemed to be the date of purchase or acquisition of the Snap common stock. The date of a “short sale” is deemed to be the date of sale of the Snap common stock.

6. Copies of broker confirmations or other documentation of your transactions must be attached to your claim. Failure to provide this documentation could delay verification of your claim or result in rejection of your claim. **THE PARTIES DO NOT HAVE INFORMATION ABOUT YOUR TRANSACTIONS IN SNAP SECURITIES.**

7. **NOTICE REGARDING ELECTRONIC FILES:** Certain claimants with large numbers of transactions may request, or may be requested, to submit information regarding their transactions in electronic files. All claimants with large numbers of transactions using the electronic filing format **MUST** submit a manually signed paper Claim Form whether or not they also submit electronic copies. If you wish to file your claim electronically, you must contact the Claims Administrator at (877) 777-9249 to obtain the required file layout. No electronic files 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.

## PART I: CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you **MUST** notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

Beneficial Owner's Name:

Co-Beneficial Owner's Name:

Record Owner/Entity Name (if claimant is not an individual):

Representative or Custodian Name (if different from Beneficial Owner(s) listed above):

Address 1 (street name and number):

Address 2 (apartment, unit, or box number):

City	State	Zip Code/Province Code	Country
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Social Security Number (Last four digits only) or Taxpayer Identification Number (last four digits only):

Telephone Number (Home):

Telephone Number (Cell):

<input type="text"/>	<input type="text"/>
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Email Address:

Account Number (if filing for multiple accounts, file a separate Claim Form for each account):

Claimant Account Type (check appropriate box):

Individual (includes joint owner accounts)	<input type="checkbox"/>	Pension Plan	<input type="checkbox"/>
Corporation	<input type="checkbox"/>	Estate	<input type="checkbox"/>
IRA/401k	<input type="checkbox"/>	Trust	<input type="checkbox"/>

Other \_\_\_\_\_ (please specify)

**PART II: SCHEDULE OF TRANSACTIONS IN SNAP COMMON STOCK**

**1. HOLDINGS AS OF FEBRUARY 5, 2021** – State the total number of Publicly-Traded Snap Inc. common stock held as of the opening of trading on February 5, 2021. (Must be documented.) If none, write “zero” or “0.”

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**2. PURCHASES/ACQUISITIONS DURING THE SETTLEMENT CLASS PERIOD** – Separately list every purchase/acquisition of publicly-traded Snap Inc. common stock from after the opening of trading February 5, 2021 through and including October 21, 2021.

(Must be documented.)

Date of Purchase/Acquisition (Chronologically) (Month/Day/Year)	Number of Shares Purchased	Purchase/Acquisition Price Per Share	Total Purchase/Acquisition Price (excluding taxes, commissions, and fees)
/ /		\$	\$
/ /		\$	\$
/ /		\$	\$
/ /		\$	\$
/ /		\$	\$

**3. PURCHASES/ACQUISITIONS DURING 90-DAY LOOKBACK PERIOD** – State the total number of shares of publicly-traded Snap Inc. common stock purchased/acquired between October 22, 2021 through the close of trading on January 19, 2022, inclusive. (Must be documented.)

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**4. SALES DURING THE SETTLEMENT CLASS PERIOD AND DURING THE 90-DAY LOOKBACK PERIOD** – Separately list each sale/disposition of publicly-traded Snap Inc. common stock from after the opening of trading on February 5, 2021, through and including the close of trading on January 19, 2022. (Must be documented.)

Date of Sale (Chronologically) (Month/Day/Year)	Number of Shares Sold	Sale Price Per Share	Total Sale Price (excluding taxes, commissions, and fees)
/ /		\$	\$
/ /		\$	\$
/ /		\$	\$
/ /		\$	\$
/ /		\$	\$

**5. END HOLDINGS** – State the total number of shares of publicly-traded Snap Inc. common stock held as of the close of trading on January 19, 2022. If none, write “zero” or “0.” (Must be documented.)

--

**PART III: SCHEDULE OF TRANSACTIONS IN SNAP CALL OPTIONS**

<b>1. BEGINNING HOLDINGS</b> - Separately list all positions in Snap Call Option contracts in which you had an open interest as of the opening of trading on February 5, 2021. (Must be documented.)						<b>IF NONE, CHECK HERE</b> <input type="radio"/>	
Strike Price of Call Option Contract	Expiration Date of Call Option Contract (Month/Day/Year)				Number of Call Option Contracts in Which You Had an Open Interest		
\$	/ /						
\$	/ /						
\$	/ /						
\$	/ /						

<b>2. PURCHASES/ACQUISITIONS OF SNAP CALL OPTIONS</b> - Separately list each price/acquisition (including free receipts) of Snap Call Option contracts from after the opening of trading on February 5, 2021 through and including the close of trading on October 21, 2021. (Must be documented.)							
Date of Purchase/Acquisition (Chronologically) (Month/Day/Year)	Strike Price of Call Option Contract	Expiration Date of Call Option Contracts Purchased or Acquired (Month/Day/Year)	Number of Call Option Contracts Purchased or Acquired	Purchase/Acquisition Price Per Call Option Contract	Total Purchase/Acquisition Price (excluding taxes, commission, and fees)	Insert an "E" if Exercised Insert an "X" if Expired	Exercise Date (Month/Day/Year)
/ /	\$	/ /		\$	\$		/ /
/ /	\$	/ /		\$	\$		/ /
/ /	\$	/ /		\$	\$		/ /
/ /	\$	/ /		\$	\$		/ /

<b>3. SALE OF SNAP CALL OPTIONS</b> - Separately list each sale/disposition (including free deliveries) of Snap Call Option contracts from after the opening of trading on February 5, 2021 through and including the close of trading on October 21, 2021 (Must be documented.)						<b>IF NONE, CHECK HERE</b> <input type="radio"/>	
Date of Sale (Chronologically) (Month/Day/Year)	Strike Price of Call Option Contract	Expiration Date of Call Option Contract (Month/Day/Year)	Number of Call Option Contracts Sold	Sale Price Per Call Option Contract	Total Sale Price (excluding taxes, commission, and fees)	Insert an "A" if Assigned Insert an "X" if Expired	Assignment Date (Month/Day/Year)
/ /	\$	/ /		\$	\$		/ /
/ /	\$	/ /		\$	\$		/ /
/ /	\$	/ /		\$	\$		/ /
/ /	\$	/ /		\$	\$		/ /

<b>4. ENDING HOLDINGS</b> - Separately list all positions in Snap Call Option contract that you had as of the close of trading on October 21, 2021, in which you had an open interest as of the expiration date. (Must be documented.)						<b>IF NONE, CHECK HERE</b> <input type="radio"/>	
Strike Price of Call Option Contract	Expiration Date of Call Option Contract (Month/Day/Year)				Number of Call Option Contracts in Which You Had an Open Interest		
\$	/ /						
\$	/ /						
\$	/ /						
\$	/ /						

## PART IV: SCHEDULE OF TRANSACTIONS IN SNAP PUT OPTIONS

<b>1. BEGINNING HOLDINGS - Separately list all positions in Snap Put Option contracts in which you had an open interest as of the opening of trading on February 5, 2021.</b>						<b>IF NONE, CHECK HERE</b> <input type="radio"/>	
Strike Price of Put Option Contract	Expiration Date of Put Option Contract (Month/Day/Year)			Number of Put Option Contracts in Which You Had an Open Interest			
\$	/ /						
\$	/ /						
\$	/ /						
\$	/ /						
<b>2. SALES (WRITING) OF SNAP PUT OPTIONS - Separately list each sale (writing) of Snap Put Option contracts from after the opening of trading on February 5, 2021 through and including the close of trading on October 21, 2021. (Must be documented.)</b>							
Date of Sale (Writing) (Chronologically) (Month/Day/Year)	Strike Price of Put Option Contract	Expiration Date of Put Option Contracts Sold or Wrote	Number of Put Options Contracts Sold (Wrote)	Sale Price Per Put Option Contract	Total Sale Price (excluding taxes, commission, and fees)	Insert an "A" if Assigned Insert an "X" if Expired	Assign Date (Month/Day/Year)
/ /	\$	/ /		\$	\$		/ /
/ /	\$	/ /		\$	\$		/ /
/ /	\$	/ /		\$	\$		/ /
/ /	\$	/ /		\$	\$		/ /
<b>3. PURCHASES/ACQUISITIONS OF SNAP PUT OPTIONS - Separately list each re-purchase of Snap Put Option contracts from after the opening of trading on February 5, 2021 through and including the close of trading on October 21, 2021. (Must be documented.)</b>						<b>IF NONE, CHECK HERE</b> <input type="radio"/>	
Date of Re-Purchase (Chronologically) (Month/Day/Year)	Strike Price of Put Option Contract	Expiration Date of Put Option Contract (Month/Day/Year)	Number of Put Option Contracts Sold	Sale Price Per Put Option Contract	Total Sale Price (excluding taxes, commission, and fees)	Insert an "E" if Exercised Insert an "X" if Expired	Exercise Date (Month/Day/Year)
/ /	\$	/ /		\$	\$		
/ /	\$	/ /		\$	\$		
/ /	\$	/ /		\$	\$		
/ /	\$	/ /		\$	\$		
<b>4. ENDING HOLDINGS - Separately list all positions in Snap Put Option contracts that you had as of the close of trading on October 21, 2021, in which you had an open interest as of the expiration date. (Must be documented.)</b>						<b>IF NONE, CHECK HERE</b> <input type="radio"/>	
Strike Price of Put Option Contract	Expiration Date of Put Option Contract (Month/Day/Year)			Number of Put Option Contracts in Which You Had an Open Interest			
\$	/ /						
\$	/ /						
\$	/ /						
\$	/ /						

## V. SUBMISSION TO JURISDICTION OF THE COURT AND ACKNOWLEDGMENTS

By signing and submitting this Claim Form, the claimant(s), or the person(s) acting on behalf of the claimant(s), certify(ies) that: I (We) submit this Claim Form under the terms of the Plan of Allocation of the Net Settlement Fund described in the Stipulation or any other plan of allocation approved by the Court. I (We) also submit to the jurisdiction of the United States District Court for the Central District of California (the "Court") with respect to my (our) claim as a Settlement Class Member(s) and for purposes of enforcing the releases set forth herein and in the Stipulation. I (We) further acknowledge that I (we) will be bound by the terms of any judgment entered in connection with the Settlement in the Action, including the releases set forth therein. I (We) agree to furnish additional information to the Claims Administrator to support this claim, such as additional documentation for transactions in eligible Snap Securities, if required to do so. I (We) have not submitted any other claim covering the same transactions in Snap Securities during the Settlement Class Period and know of no other person having done so on my (our) behalf.

## VI. RELEASES, WARRANTIES, AND CERTIFICATION

1. I (We) hereby warrant and represent that I am (we are) a Settlement Class Member as defined in the Stipulation, that I am (we are) not excluded from the Settlement Class, and that I am (we are) not one of the "Released Defendants Parties" as defined in the Stipulation.

2. As a Settlement Class Member, I (we) hereby acknowledge full and complete satisfaction of, and do hereby fully, finally, and forever compromise, settle, release, resolve, relinquish, waive, and discharge with prejudice the Released Claims as to all the Released Defendant Parties (as these terms are defined in the Stipulation). This release shall be of no force or effect unless and until the Court approves the Settlement and it becomes effective on the Effective Date.

3. I (We) hereby warrant and represent that I (we) have not assigned or transferred or purported to assign or transfer, voluntarily or involuntarily, any matter released pursuant to this release or any other part or portion thereof.

4. I (we) have read and understand the contents of the Settlement Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation.

5. I (We) hereby warrant and represent that I (we) have included information about all my (our) purchases, acquisitions, and sales of Snap Securities that occurred during the Settlement Class Period and the number of shares held by me (us), to the extent requested.

6. I (We) certify that I am (we are) NOT subject to backup tax withholding. (If you have been notified by the Internal Revenue Service that you are subject to backup withholding, please strike out the prior sentence.)

7. I (We) acknowledge that I (We) will be bound by and subject to the term of any Judgment that may be entered in the Action; and

8. I (We) waive the right to trial by jury, to the extent it exists, and agree to any determination made by the Court regarding the validity or amount of this claim, and waive any right of appeal or review with respect to such determination.

I declare under penalty of perjury under the laws of the United States of America that all the foregoing information supplied on this Claim Form by the undersigned is true and correct.

Executed this \_\_\_\_\_ day of \_\_\_\_\_ in \_\_\_\_\_, \_\_\_\_\_.  
(Month / Year) (City) (State/Country)

\_\_\_\_\_  
Signature of Claimant

\_\_\_\_\_  
Signature of Joint Claimant, if any

\_\_\_\_\_  
Print Name of Claimant

\_\_\_\_\_  
Print Name of Joint Claimant, if any

\_\_\_\_\_  
(Capacity of person(s) signing, e.g., Beneficial Purchaser, Executor, or Administrator)



ACCURATE CLAIMS PROCESSING TAKES A SIGNIFICANT AMOUNT OF TIME. THANK YOU FOR YOUR PATIENCE.

**REMINDER CHECKLIST:**

1. Please sign this Claim Form.
2. DO NOT HIGHLIGHT THE CLAIM FORM OR YOUR SUPPORTING DOCUMENTATION.
3. Attach only copies of supporting documentation as these documents will not be returned to you.
4. Keep a copy of your Claim Form for your records.
5. If you change addresses after submitting this Claim Form, please notify the Claims Administrator of the change in your address; otherwise, you may not receive additional notices or payment.

## **Appendix C**

### **Authorization Requirements**

**If you are a nominee filing on behalf of your account holders, you must include the following documentation:**

- Affidavit attesting that your entity has legal rights and authorization from your account holders to file Proofs of Claim and Release on their behalf **and** that your account holders understand that they are bound by and subject to the terms of all releases that may be entered in this Snap Securities Settlement etc.; and
- Authorization to sign on your account holders' behalf.

**If you are a third party filing on behalf of a nominee, you must include an Affidavit attesting to the following:**

- Your entity has the legal right and authorization from the nominee to file and sign any Proofs of Claim and Release on their behalf;
- Your entity has the legal right and authorization from the nominee's account holders to file and sign any Proofs of Claim and Release on their behalf; and
- The account holders understand they are bound by and subject to the terms of all releases that may be entered in the Action.

**If you are a third party filing on behalf of another party, you must include an Affidavit attesting to the following:**

- Your entity has the legal right and authorization from the other party to file and sign any Proofs of Claim and Release on its behalf; and
- The other party understands it is bound by and subject to the terms of all releases that may be entered in the Action.

**If you are not a nominee or a third party and would like to file claims electronically, you must include documentation supporting all transactional data of your claim as follows:**

- Documents may include, but are not limited to, a) photocopies of stockbrokers' confirmation slips; b) photocopies of stockbrokers' monthly statements reflecting ALL transactional data and how it was compiled for the opening of the Class Period through the end of the Class Period; or c) a signed letter from your broker, on their letterhead, providing all of the information that would be found on a confirmation slip and/or other aforementioned documents.



**Appendix D**  
**Sample Cover Letter**

LETTERHEAD

Re: Snap Securities Settlement

Date:

Enclosed is a fully executed master Proof of Claim and Release with required authorizations and affidavits as well as an electronic media attachment, which is being filed in connection with the above-referenced matter on behalf of [COMPANY NAME(S) OR INDIVIDUAL NAME(S)] for the proprietary accounts of [ENTITY].

We, [ENTITY], hereby agree that further communication from the Claims Administrator may be conducted by email, and we accept sole responsibility to ensure the email address for [ENTITY] is updated in the event the email address provided on the master Proof of Claim and Release should change.

The attachment consists of a [CD, DVD, OR FLASH DRIVE] containing [NUMBER] accounts/claims in [ASCII, MS EXCEL, OR MS ACCESS] format with [NUMBER OF TRANSACTIONS] transactions for Snap Securities as well as the opening and closing positions held for [ENTITY]'s proprietary accounts. Each transaction contains corresponding account information for which the claims are being filed.

The total number of Snap Securities purchased or acquired [##.##] for the amount of [\$0.0000] and Snap Securities sold [##.##] for the amount of [\$0.0000] can be found on the enclosed [CD, DVD, OR FLASH DRIVE].

We, [ENTITY], attest that the data provided on the media attachment corresponds to [ENTITY]'s internal records.

I attest that the above information is true and correct.

Signature

Company Name

Job Title

Contact Information (including telephone number, fax number, and email address).



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## Appendix E

### Electronic Claim Filing Template Mapping Instructions

Column	Field Name	Max Length	Snap Common Stock FIELD DESCRIPTION
A	Account Number	40	Account number associated with the proprietary account for which transactions are being submitted with this Proof of Claim and Release.
B	Account Name	40	Name of individual, company, or entity associated with the account listed in Column A.
C	Full Name of the Beneficial Owner	40	Full name of the beneficial owner associated with the account listed in Column A.
D	TIN of the Beneficial Owner	9	Taxpayer identification number (TIN) for beneficial owner, no spaces and no dashes.
E	Beneficial Owner TIN Type (E/S/U/F)	1	<b>E</b> = Employer Identification Number (EIN); <b>S</b> = Social Security Number (SSN); <b>U</b> = Unknown; <b>F</b> = Foreign.
F	Care of:	40	Name of the entity to which items should be mailed.
G	Attn:	40	Name of the person to whose attention items should be mailed.
H	Street 1	40	Street Address 1
I	Street 2	40	Street Address 2
J	City	25	City
K	State	2	State
L	Zip Code	5	Zip code
M	Province	40	Province
N	Country	40	Country
O	CUSIP/ISIN	10	CUSIP number or ISIN for common stock.
P	Transaction Type/Holdings	2	<b>O</b> = Opening position - shares held at opening of trading on February 5, 2021; <b>P</b> = Purchases made between February 5, 2021 through January 19, 2022, inclusive; <b>FR</b> = Free receipts made between February 5, 2021 through January 19, 2022, inclusive; <b>S</b> = Sales made between February 5, 2021 through January 19, 2022, inclusive; <b>FD</b> = Free deliveries made between February 5, 2021 through January 19, 2022, inclusive; <b>C</b> = Closing position – shares held at close of trading on January 19, 2022.
Q	Trade Date (MM/DD/YYYY)	10	Trade date for transaction or holding date for closing position.
R	Number of Shares of Stock	19	Number of shares associated with a transaction. No commas: use decimal point if needed. Up to four digits after decimal point.
S	Price Per Share <b>EXCLUDING</b> Commissions/Taxes/Fees	19	Price per share (USD), excluding commissions/taxes/fees, associated with a transaction. No dollar sign, no commas; use decimal point, if needed. Up to four digits after decimal point. Leave blank when providing closing positions. Use zero when specifying free receipts and/or free deliveries.
T	Total Price <b>EXCLUDING</b> Commissions/Taxes/Fees	19	Aggregate cost or proceeds received (USD), excluding commissions/taxes/fees. No dollar sign, no commas; use decimal point, if needed. Up to four digits after decimal point. Use zero when specifying free receipts and/or free deliveries.

**\*All eligible common stock shares for each account must balance. This means that the opening position plus total purchases, and free receipts during the Class Period and Lookback Period MUST EQUAL the total sales and free deliveries during the Class Period and Lookback Period plus the closing position (O+P+FR = S+FD+C).**

**\*You MUST include a cover letter with your electronic file that provides the total number of accounts; total number of transactions; total number of purchases and sales; and contact name(s) with phone number(s) and email address(es) in the event that we have any questions or require further information. See Appendix D for a sample cover letter. Any electronic files not in accordance with these Electronic Claims Filing Guidelines are subject to rejection.**

**Free Receipts and Free Deliveries are provided to balance your claim and will not result in a Recognized Loss under the Plan of Allocation. The original purchase and/or sale information relating to these shares must be provided in your original filing in order to be eligible under the Plan of Allocation. There will be no further attempt to collect transactional information regarding Free Receipts/Deliveries included in the filing.**



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## Appendix E

Column	Field Name	Max Length	SNAP CALL/PUT OPTIONS FIELD DESCRIPTION
A	Account Number	40	Account number associated with the proprietary account for which transactions are being submitted with this Proof of Claim and Release.
B	Account Name	40	Name of individual, company, or entity associated with the account listed in Column A.
C	Full Name of the Beneficial Owner	40	Full name of the beneficial owner associated with the account listed in Column A.
D	TIN of the Beneficial Owner	9	Taxpayer identification number (TIN) for beneficial owner, no spaces and no dashes.
E	Beneficial Owner TIN Type (E/S/U/F)	1	<b>E</b> = Employer Identification Number (EIN); <b>S</b> = Social Security Number (SSN); <b>U</b> = Unknown; <b>F</b> = Foreign.
F	Care of:	40	Name of the entity to which correspondence should be mailed.
G	Attn:	40	Name of the person to whose attention correspondence should be mailed.
H	Street 1	40	Street Address 1 for fund distribution
I	Street 2	40	Street Address 2 for fund distribution
J	City	25	City for fund distribution
K	State	2	State for fund distribution
L	Zip Code	5	Zip code for fund distribution
M	Province	40	NON-US ONLY: Province and Postal Code for fund distribution.
N	Country	40	Country for fund distribution
O	PUT/CALL	10	Type of option
P	Transaction Type/Holdings	2	<b>O</b> = Opening position – Call/Put Options held as of the opening of trading on February 5, 2021. <b>FR</b> = Free receipts made between February 5, 2021 through October 21, 2021, inclusive; <b>P</b> = Purchases made between February 5, 2021 through October 21, 2021, inclusive; <b>S</b> = Sales made between February 5, 2021 through October 21, 2021, inclusive; <b>FD</b> = Free deliveries made between February 5, 2021 through October 21, 2021, inclusive; <b>C</b> = Closing position – Call/Put Options held at close of trading on October 21, 2021.
Q	Trade Date	10	Trade date for transaction or holding date for opening and closing positions
R	Number of Options contracts	19	Number of contracts associated with a transaction. No commas; use decimal point if needed. Up to four digits after decimal point.
S	Price Per Share <b>EXCLUDING</b> Commissions/Taxes/Fees	19	Price per share (USD) of option, excluding commissions/taxes/fees, associated with a transaction. No dollar sign, no commas; use decimal point, if needed. Up to four digits after decimal point. Leave blank when providing opening positions or closing positions. Use zero when specifying free receipts and/or free deliveries.
T	Total Price <b>EXCLUDING</b> Commissions/Taxes/Fees	19	Aggregate cost or proceeds received (USD), excluding commissions/taxes/fees. No dollar sign, no commas; use decimal point, if needed. Up to four digits after decimal point. Use zero when specifying free receipts and/or free deliveries.
U	Expiry Month (MM/YYYY)	13	Expiration Date of Option Contract
V	Strike Price (\$xxx.xxxx)	19	Strike price.
W	Status (X/A/E)	1	Status of Option Contract (if during Class Period). X = Expire, A = Assign, E = Exercise. If this status changed after the Class Period provide a record with a Closing Position Transaction Type in field P
X	Assignment/Exercise Date (MM/DD/YYYY)	13	Date of Option, Assignment, or Exercise (If during Class Period.) If this status changed after the Class Period provide a record with a Closing Position Transaction Type in field P

**\* You MUST include a cover letter with your electronic file that provides the total number of accounts; total number of transactions; total number of purchases and sales; and contact name(s) with phone number(s) and email address(es) in the event that we have any questions or require further information. See Appendix D for a sample cover letter. Any electronic files not in accordance with these Electronic Claims Filing Guidelines are subject to rejection.**

**\*Free Receipts and Free Deliveries are provided to balance your claim and will not result in a Recognized Loss under the Plan of Allocation. The original purchase and/or sale information relating to these shares must be provided in your original filing in order to be eligible under the Plan of Allocation.**

## Appendix F

### Electronic Claim Filing Template Mapping Instructions Wire Request (Optional)

Column	Field Name	Max Length
A	Settlement Name	
Domestic Wire		
B	Beneficiary Name*	
C	Beneficiary Account #*	25
D	Bank Routing # (ABA#)*	9
E	Bank Name*	
F	Bank Address*	
G	Further Credit or other instructions	
International Wire***		
I	Swift #*	11
J	Bank Name*	
K	IBAN #*	34
L	Currency*	
M	Country	
N	Beneficiary Address	
O	Intermediary Bank Name	
P	Intermediary Bank Routing # (ABA#)	9
Q	Further Credit or other instructions	

**\*Required Fields**

**\*\*Eligible claims that meet the requirements for a share of the distribution in this submission, will be paid via mailed check unless the wire template is filled out in its entirety. Any missing or inaccurate information provided will result in default of the payment being sent via mailed check.**

**\*\*\*If wire details are for a domestic transfer, please leave international wire section blank.**