

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28

**IN THE UNITED STATES DISTRICT COURT  
CENTRAL DISTRICT OF CALIFORNIA**

SUNIL SUDUNAGUNTA,

v.

NANTKWEST, INC., et al.

Case No. 16-cv-1947-MWF (JEMx)

Hon. Michael W. Fitzgerald

Class Action

**NOTICE OF PENDENCY AND SETTLEMENT OF CLASS ACTION**

**PLEASE READ THIS NOTICE CAREFULLY AND IN ITS ENTIRETY. YOUR RIGHTS  
MAY BE AFFECTED BY PROCEEDINGS IN THIS ACTION.**

**TO: ALL PERSONS WHO PURCHASED OR OTHERWISE ACQUIRED  
NANTKWEST, INC. (“NANTKWEST” OR THE “COMPANY”) COMMON  
STOCK IN OR TRACEABLE TO NANTKWEST’S JULY 28, 2015 INITIAL  
PUBLIC OFFERING (“IPO”).**

**Excluded from the Class are anyone named as a defendant in this litigation, the present and former officers and directors of NantKwest and any subsidiary thereof, members of their immediate families and their legal representatives, heirs, successors or assigns and any entity in which any Defendant (or combination of Defendants) has or had (during the period July 28, 2015 to the present) a controlling interest.**

**CLASS RECOVERY:** This Notice has been sent to you pursuant to an Order of the United States District Court for the Central District of California (the “Court”) in the above-captioned action (the “Action”). One of the purposes of this Notice is to inform you of the proposed \$12 million cash Settlement of the Action. Your recovery will depend on the number of shares of NantKwest common stock you, and other Class Members who file claims, purchased and sold and the prices at which you, and the other Class Members who file claims, purchased and sold those shares. Plaintiffs estimate that all 9,531,200 shares issued in NantKwest’s IPO may have been damaged. If so, the estimated average recovery will have an economic value of approximately \$1.259 per share, before deduction of Court approved fees and expenses and costs of notice and claims administration. The actual amount disbursed to members of the Class who participate in the Settlement may be more or less than this figure.

**POTENTIAL OUTCOME OF THE CASE:** The parties vigorously disagree on both liability and damages, and do not agree on the average amount of damages per share that would be recoverable if Plaintiffs prevailed on each claim alleged. No trial has taken place, and no trier of fact has ruled on any claim or defense in this Action. Prior to this Settlement, this Action was set for trial to begin on August 6, 2019. The Defendants continue to deny that they are liable to the Plaintiffs or the Class and deny that Plaintiffs or the Class have suffered any damages, and the

1 Settlement is not any admission of wrongdoing or liability.

2 **REASONS FOR SETTLEMENT:** Plaintiffs believe that the proposed Settlement is fair,  
3 reasonable, adequate, and in the best interests of the Class. Plaintiffs and their counsel have  
4 reached this conclusion after investigating and considering, among other things, the amount of the  
5 Settlement, the strengths and weaknesses of Plaintiffs' claims against Defendants, the uncertainties  
6 of maintaining class certification, trial and appeal, and the concrete benefits provided by the  
7 Settlement to the members of the Class. The Settlement was entered into after arms' length  
8 mediation proceedings.

9 Without admitting any wrongdoing or liability, Defendants are willing to settle provided that all  
10 of the claims of the Class are settled and compromised, in order to avoid the continuing burden,  
11 expense, inconvenience and distraction of continued litigation.

12 **ATTORNEYS FEES AND COSTS SOUGHT:** Class Counsel have not received any payment  
13 for their services in conducting this litigation on behalf of Plaintiffs and the members of the Class,  
14 nor have they been reimbursed for their out-of-pocket expenditures. If the Settlement is approved  
15 by the Court, Class Counsel will apply to the Court for attorneys' fees not to exceed 25% of the  
16 Settlement Amount, and reimbursement of expenses not to exceed \$250,000. If the amount  
17 requested by counsel is approved by the Court, the average cost would be \$0.341 per share for the  
18 9,531,200 shares offered in the IPO. In addition, a Compensatory Award for the time and expenses  
19 incurred by Class Plaintiffs will be sought, not to exceed \$7,500 each.

20 **IDENTIFICATION OF PLAINTIFFS' COUNSEL:** Requests for further information may be  
21 directed to: Joshua B. Silverman, Pomerantz LLP, 10 South La Salle Street, Suite 3505, Chicago,  
22 IL 60603, jbsilverman@pomlaw.com, Class Counsel.

23 **DEFINED TERMS:** All capitalized terms not specifically defined in this Notice shall have the  
24 same meaning as provided in the Stipulation of Settlement.

25  
26  
27  
28  
**I. IDENTIFICATION OF THE CLASS**

The proposed Settlement affects the rights of the members of the Class. The Class consists of:

All persons who purchased or otherwise acquired NantKwest common stock in or  
traceable to NantKwest's July 28, 2015 IPO.

Excluded from the Class are anyone named as a defendant in this litigation, the present and former  
officers and directors of NantKwest and any subsidiary thereof, members of their immediate  
families and their legal representatives, heirs, successors or assigns and any entity in which any  
defendant (or combination of defendants) has or had (during the period July 28, 2015 to the  
present) a controlling interest.

*The sending of this Notice should not be construed as any indication of the Court's view as to the  
merits of any claims or defenses asserted by any party to this Action.*

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28

## II. DESCRIPTION OF THE ACTION

### Summary of the Action

This Action alleges that NantKwest, certain of its former officers and directors, and the underwriters for NantKwest’s IPO made material misrepresentations in violation of the Securities Act of 1933 in the Registration Statement for NantKwest’s July 28, 2015 IPO. Earlier complaints also alleged violations of the Securities Exchange Act of 1934, for statements made in the Registration Statement and thereafter. On June 14, 2016, pursuant to the lead plaintiff provisions of the Private Securities Litigation Reform Act of 1995 (“PSLRA”), the Court appointed Class Plaintiffs Brayton Li and Donald Hu to be lead plaintiffs, appointed their counsel, Pomerantz LLP and Bragar, Egel & Squire, P.C., to be co-lead counsel, and appointed Glancy, Prongay & Murray LLP to be liaison counsel.

On August 4, 2016, Class Plaintiffs filed an Amended Complaint, which Defendants moved to dismiss and which was partially dismissed on May 16, 2017. Class Plaintiffs thereafter filed a Second Amended Complaint, and a Third Amended Complaint, which Defendants moved to dismiss. On September 20, 2017, the Court denied Defendants’ motion to dismiss the Third Amended Complaint.

On April 2, 2018, Class Plaintiffs moved for class certification with respect to the Securities Act claims in the Third Amended Complaint, and to withdraw the Exchange Act claims. On August 13, 2018, the Court entered an Order granting class certification, and allowing the Plaintiffs to withdraw the Exchange Act claims by filing a Fourth Amended Complaint, which was filed on August 24, 2018.

On August 27, 2018, certain Defendants filed a petition with the United States Court of Appeals for the Ninth Circuit for interlocutory appeal of the class certification order. That petition was briefed but not ruled upon at the time of the Settlement.

### The Proposed Settlement and Class Counsel’s Evaluation

On March 14, 2018, the parties participated in a mediation session before Robert Meyer, Esq., an experienced mediator. That session did not resolve the parties dispute, but with Mr. Meyer’s assistance they continued to negotiate over the following six months.

On September 7, 2018, the mediator made a mediator’s proposal to all parties to settle this Action for the Settlement Amount. On September 14, 2018, the parties accepted the mediator’s proposal. Thereafter, all proceedings were stayed in both the district and appellate courts.

Class Counsel continue to believe that the claims against the Defendants in this Action have merit and that the evidence developed in discovery would support their claims at trial. However, they recognize and acknowledge the expense and length of continued proceedings, trial, and appeals, and have taken into account the uncertain outcome and the risk of any litigation, especially complex actions such as here. They are also mindful of the defenses asserted by Defendants and

1 the risk that the appeal posed to maintaining the Class as certified. Class Counsel believe that the  
2 Settlement set forth in the Stipulation confers a meaningful benefit upon the Class. Based on the  
3 evaluation and recommendation of Class Counsel, Class Plaintiffs have determined that the  
4 Settlement is in the best interests of the Class.

#### 5 **The Release**

6 Upon the Effective Date, Class Plaintiffs and Class Members who do not timely and validly  
7 request exclusion from the Class, on behalf of themselves, and to the fullest extent permitted by  
8 law, their heirs, executors, administrators, personal representatives, attorneys, agents, partners,  
9 successors, assigns, parents, subsidiaries, affiliates, members, and any other Person claiming (now  
10 or in the future) to have acted through or on behalf of them, shall hereby be deemed to have, and  
11 by operation of the Judgment shall have, fully, finally, and forever, released, relinquished, settled  
12 and discharged the Released Parties from the Released Claims and shall be permanently barred  
13 and enjoined from instituting, commencing, or prosecuting any of the Released Claims against  
14 any of the Released Parties directly, indirectly, or otherwise, whether or not such Class Plaintiffs  
15 or Class Members execute and deliver a Proof of Claim and Release to the Settlement  
16 Administrator.

17 Upon the Effective Date, Defendants also hereby release and shall be permanently barred and  
18 enjoined from instituting, commencing, or prosecuting any claim against Class Plaintiffs, Class  
19 Members or Class Counsel related to this Action or the prosecution thereof.

### 20 **III. PROPOSED PLAN OF ALLOCATION**

21 The \$12,000,000 Settlement Amount, together with any interest earned thereon and/or proceeds  
22 thereof shall be the Settlement Fund. The Settlement Fund less taxes, approved costs, fees and  
23 expenses (the “Net Settlement Fund” shall be distributed to members of the Class who submit  
24 valid Proofs of Claim (“Authorized Claimants”).

25 The Settlement Administrator shall determine each Authorized Claimant’s *pro rata* share of the  
26 Net Settlement Fund based upon each Authorized Claimant’s “Recognized Loss.” The  
27 Recognized Loss formula is not intended to be an estimate of the amount of what a Class Member  
28 lost or might have been able to recover after a trial; nor is it an estimate of the amount that will be  
paid to Authorized Claimants pursuant to the Settlement. The Recognized Loss formula is simply  
the basis upon which the Net Settlement Fund will be proportionately allocated to Authorized  
Claimants.

The Plan of Allocation is based on the damage formula specified by Section 11 of the Securities  
Act, 15 U.S.C. § 77k(e), in conjunction with the advice of Plaintiffs’ experts. For purposes of this  
Settlement, the Recognized Loss shall be calculated as follows:

1. For each share of NantKwest common stock that was sold prior to March 22, 2016, the  
Recognized Loss per share is *the lesser of*:
  - a. \$25 (*i.e.*, the IPO offer price) *minus* the sale price; or

- 1           b. the purchase price *minus* the sale price.
- 2           2. For each share of NantKwest common stock that was sold on or after March 22, 2016, the
- 3           Recognized Loss per share is *the lesser of*:
- 4           a. \$25 (*i.e.*, the IPO offer price) *minus* the greater of the sale price or \$8.67 (*i.e.*, the
- 5           closing price on March 22, 2016); or
- 6           b. the purchase price *minus* the greater of the sale price or \$8.67.
- 7           3. For each share of NantKwest common stock that was not sold, the Recognized Loss per
- 8           share is *the lesser of*:
- 9           a. \$25 (*i.e.*, the IPO offer price) *minus* \$8.67; or
- 10           b. the purchase price *minus* \$8.67.

11 **General Provisions:**

- 12 1. There shall be no Recognized Loss attributed to any NantKwest securities other than unrestricted
- 13 common stock.
- 14 2. The date of a purchase or sale of NantKwest common stock is the “trade” date, and not the
- 15 “settlement” date.
- 16 3. The first-in, first-out (“FIFO”) basis will be applied to both purchases and sales.
- 17 4. For purposes of this Settlement, all shares purchased between July 28, 2015 and January 25,
- 18 2016 (the end of the lock-up period restricting the resale of substantially all non-IPO shares), both
- 19 dates inclusive, shall be presumed traceable to the IPO. Purchases after January 25, 2016 shall be
- 20 presumed not traceable to the IPO.
- 21 5. The date of covering a “short sale” is deemed to be the date of purchase of NantKwest common
- 22 stock; and the date of a “short sale” is deemed to be the date of sale of NantKwest common stock
- 23 originally sold short. Short sales will have a Recognized Loss of zero. Exercise of option contracts
- 24 into NantKwest common stock will be considered to be purchases or sales of NantKwest common
- 25 stock as of the date of the exercise.
- 26 6. No cash payment will be made on a claim where the potential distribution amount is less than
- 27 \$20. Please be advised that if you did not incur a Recognized Loss as defined in the Plan of
- 28 Allocation you will not receive a cash distribution from the Net Settlement Fund, but you will be
- bound by all determinations and judgments of the Court in connection with the Settlement,
- including being barred from asserting any of the Released Claims against the Released Parties.
7. The Court has reserved jurisdiction to allow, disallow, or adjust the claim of any Class Member
- on equitable grounds.

1 8. No Person shall have any claim against Class Plaintiffs, Class Counsel, the Defendants,  
2 Defendants' Counsel, Defendants' insurers, or any of the other Released Parties based on  
3 investments or distributions of or from the Settlement Fund, the Gross Settlement Fund, or the Net  
4 Settlement Fund, whether or not such investments or distributions are made in accordance with  
5 the Stipulation of Settlement, the Plan of Allocation, or orders of the Court. No Person shall have  
6 any claim against the Settlement Administrator based on investments or distributions made in  
7 accordance with the Stipulation of Settlement, the Plan of Allocation, or orders of the Court.

8 9. Class members who do not submit valid Proofs of Claim will not share in the settlement  
9 proceeds. Class members who do not either submit a Request for Exclusion or submit a valid Proof  
10 of Claim will nevertheless be bound by the settlement and the Order and Final Judgment of the  
11 Court dismissing this Action.

#### 12 **IV. REQUESTING EXCLUSION FROM THE CLASS**

13 **IF YOU ARE A MEMBER OF THE CLASS, YOU MAY BE ELIGIBLE TO SHARE IN**  
14 **THE BENEFITS OF THIS SETTLEMENT AND WILL BE BOUND BY ITS TERMS**  
15 **UNLESS YOU EXCLUDE YOURSELF FROM THE CLASS.**

16 Each member of the Class shall be bound by all determinations and judgments of the Court in  
17 connection with the Settlement, whether favorable or unfavorable, unless such Class Member shall  
18 mail, by first class mail, sufficient postage prepaid, a written request for exclusion from the Class,  
19 **postmarked or received by April 15, 2019**, addressed to the Settlement Administrator at:  
20 NantKwest Securities Litigation - Exclusions, c/o JND Legal Administration, P.O. Box 91230,  
21 Seattle, WA 98111. Such request for exclusion shall be in a form that sufficiently identifies (1) the  
22 name and address of the person(s) or entity seeking exclusion, and (2) a list of all transaction(s)  
23 involving NantKwest common stock during the period July 28, 2015 through the present, including  
24 the number of shares, principal amount and trade date of each purchase and sale. A request for  
25 exclusion shall not be effective unless submitted within the time and in the form and manner  
26 provided for herein. **You cannot exclude yourself by telephone, email or fax.**

27 **If a person or entity who is a member of the Class duly requests to be excluded from the**  
28 **Class, such person or entity will not be bound by any orders or judgments entered in respect**  
**of the Settlement and shall not be entitled to receive any benefits provided by the Settlement**  
**in the event it is finally approved by the Court.**

If a judgment approving the Settlement provided for in the Stipulation is finally entered, all  
members of the Class who have not requested exclusion shall conclusively be deemed to have  
released and shall thereafter be barred from asserting any of the Released Claims against the  
Released Parties.

#### 25 **V. STATEMENT OF ATTORNEYS' FEES AND COSTS SOUGHT**

26 If the proposed Settlement is approved, Class Counsel intend to apply to the Court for an award of  
27 attorneys' fees and reimbursement of expenses from the Settlement Fund. Class Counsel will seek  
28 no more than 25 percent of the Settlement Fund as fees, plus an additional amount not to exceed

1 \$250,000 as reimbursement for the expenses and costs actually incurred, in prosecuting the action.  
2 Class Counsel believe their intended fee request to be fair and reasonable. Class Counsel have  
3 litigated this case on a wholly contingent basis and have received no compensation during the  
4 period the case has been pending. Class Counsel expended considerable time and expense during  
5 the Action. Had the case not been successful, Class Counsel would have sustained a considerable  
6 financial loss.

7 In addition, Class Counsel intend to apply to the Court on behalf of the two Court-appointed Class  
8 Plaintiffs for reimbursement from the Settlement Fund of their reasonable time, costs and expenses  
9 directly relating to their representation of the Class. Class Counsel will seek no more than \$7,500  
10 for each Class Plaintiff.

## 11 **VI. THE FINAL APPROVAL HEARING**

12 The Final Approval Hearing shall be held before Honorable Michael W. Fitzgerald on **April 29,**  
13 **2019 at 10:00 a.m.**, in Courtroom 5A of the United States District Court for the Central District  
14 of California, First Street Courthouse, 350 West First Street, Los Angeles, California 90012, to  
15 determine: (1) whether the proposed Settlement of the Class's claims against the Defendants for  
16 \$12,000,000 should be approved as fair, reasonable and adequate; (2) whether the proposed Plan  
17 of Allocation is fair, just, reasonable, and adequate; (3) whether the Court should permanently  
18 enjoin the assertion of any claims that arise from or relate to the subject matter of the Action; (4)  
19 whether the Action should be dismissed with prejudice against the Defendants as set forth in the  
20 Stipulation of Settlement filed with the Court; (5) whether the application by Class Counsel for an  
21 award of attorneys' fees and expenses should be approved; and (6) whether the Class Plaintiffs'  
22 application for reimbursement of costs and expenses should be granted.

23 *The Final Approval Hearing may be adjourned or continued by the Court without further notice  
24 other than an announcement at such hearing or on the court's PACER website.*

25 Any Class Member who does not timely and validly request exclusion from the Class and who  
26 objects to the Settlement, the adequacy of the representation provided by Class Plaintiffs and Class  
27 Counsel, the proposed Plan of Allocation of the Net Settlement Fund, the Final Order and  
28 Judgment contemplated by the Stipulation, the application for attorneys' fees and reimbursement  
of expenses, and/or the application for the reimbursement of the reasonable costs and expenses of  
the Class Plaintiffs, or who otherwise wishes to be heard with respect to any of the foregoing, may  
appear in person or by attorney at the Final Approval Hearing, at his or her own expense, and  
present any evidence or argument that may be proper and relevant. However, no person shall be  
heard, and no papers, briefs, pleadings or other documents submitted by any such person shall be  
considered by the Court unless, **postmarked or received by April 15, 2019**, (1) a notice of the  
person's intention to appear, (2) a statement of such person's objections to any matter before the  
Court, (3) the grounds for such objections or the reason for such person's request to appear and to  
be heard, together with any documents that may be presented at the Final Approval Hearing; (4) a  
list of all transaction(s) involving NantKwest common stock between July 28, 2015 and the  
present, including the number of shares, principal amount and trade date of each purchase and sale;  
and (5) brokerage statements and/or confirmation slips sufficient to establish that such person is a

1 member of the Class, shall be filed by such person with the Clerk of the Court, and, on or before  
2 such filing, shall be delivered by hand, overnight mail or by certified mail, return-receipt requested,  
sufficient postage prepaid, upon each of the following counsel of record:

3 Joshua B. Silverman  
4 POMERANTZ LLP  
5 Ten South La Salle St., Ste. 3505  
Chicago, IL 60603

Boris Feldman  
WILSON SONSINI GOODRICH &  
ROSATI P.C.  
650 Page Mill Road  
Palo Alto, CA 94304

6 David J. Stone  
7 BRAGAR EAGEL & SQUIRE P.C.  
8 885 Third Avenue, Suite 3040  
New York, NY 10022

James C. Rutten  
MUNGER TOLLES & OLSON LLP  
350 South Grand Avenue, 50th Floor  
Los Angeles, CA 90071-3426

9  
10 Any person or entity who fails to object in the manner prescribed in the paragraph immediately  
11 above shall be deemed to have waived any objections that person may have and shall be barred  
12 from raising such objections in this or any other action or proceeding. Objections directed solely  
13 to the proposed Plan of Allocation, attorneys' fees and expenses, or awards to the Class Plaintiffs  
will not affect the finality of either the Settlement or the Judgment to be entered thereon, if the  
Settlement is approved by the Court.

14 All members of the Class who do not request exclusion therefrom, in the manner provided herein,  
15 will be represented by Class Counsel in connection with the Settlement, but may, if they so desire,  
also enter an appearance through counsel of their own choice and at their own expense.

16 **VII. PROOF OF CLAIM AND RELEASE FORM**

17 *To be eligible to receive a cash distribution from the Settlement Fund, you must timely complete,*  
18 *sign and file a Proof of Claim and Release Form (“Proof of Claim”).* A Proof of Claim is  
19 annexed to this Notice. You may receive more than one copy of this Notice and the Proof of Claim,  
20 but you should **submit only one Proof of Claim** for each differently named account or ownership,  
such as an individual account, an IRA account, a joint account, a custodial account, etc.

21 The Proof of Claim (1) **must** be completed in accordance with the Instructions on the Proof of  
22 Claim, (2) **must** enclose all documentation required by the Instructions, and (3) **must** be filed with  
the Settlement Administrator **postmarked on or before April 26, 2019**, at the following address:

23 NantKwest Securities Litigation  
24 C/O JND Legal Administration  
25 P.O. Box 91230  
26 Seattle, WA 98111

27 A Proof of Claim will be deemed filed when mailed via first-class mail, sufficient postage prepaid.



1 Members of the Class who do not exclude themselves from the Class and who fail to submit a  
2 valid and timely Proof of Claim will nevertheless be bound by the Settlement if finally approved,  
and all orders and judgments entered by the Court in connection therewith.

3 By Order of the Court, the Proof of Claim provides for and requires a Release of all Released  
4 Claims as described in Section II, above, by all members of the Class who file Proofs of Claim.  
5 The Release will become effective on the Effective Date of the Settlement.

6 Each person or entity submitting a Proof of Claim thereby submits to the jurisdiction of the Court  
7 for purposes of the Litigation, the Settlement and any proceedings relating to such Proof of Claim,  
8 and agrees that such a filed Proof of Claim will be subject to review and further inquiry as to such  
9 person's or entity's status as a member of the Class and the allowable amount of the claim.

8 **VIII. SPECIAL NOTICE TO SECURITIES**  
9 **BROKERS AND OTHER NOMINEES**

10 If you purchased or acquired shares of NantKwest common stock in NantKwest's July 28, 2015  
11 IPO, or between July 28, 2015 and January 25, 2016, both dates inclusive, for the beneficial  
12 interest of a person or organization other than yourself, you must either (a) within ten (10) days  
13 after receipt of this Notice, provide to the Settlement Administrator the name and last known  
14 address of each person or entity (preferably in Excel or csv electronic format) setting forth (i)  
15 title/registration; (ii) street address; (iii) city/state/zip; or (b) request, in writing, additional copies  
of this Notice at the below address, which will be provided free of charge, and within ten (10)  
days after receipt of such Notices, mail the Notice directly to the beneficial owners of the  
securities referred to herein.

16 If you choose to follow alternative procedure (b), the Court has directed that, upon such mailing,  
17 you send a statement to the Settlement Administrator confirming that the mailing was made as  
18 directed. You are entitled to reimbursement of your *reasonable* expenses actually incurred in  
19 connection with the foregoing, including reimbursement of postage expense and the actual out of  
20 pocket cost incurred in connection with ascertaining the names and addresses of beneficial owners,  
not to exceed \$.70/unit. Those expenses will be paid upon request and submission of appropriate  
supporting documentation. All communications concerning the foregoing should be addressed to  
the Settlement Administrator at the following address:

21  
22 NantKwest Securities Litigation  
23 c/o JND Legal Administration  
24 P.O. Box 91230  
25 Seattle, WA 98111

26 **IX. EXAMINATION OF PAPERS AND INQUIRIES**

27 For further information about the Action, you may contact the Settlement Administrator at its

1 website, [www.nantkwestsecuritieslitigation.com](http://www.nantkwestsecuritieslitigation.com), or by email at:  
2 [info@nantkwestsecuritieslitigation.com](mailto:info@nantkwestsecuritieslitigation.com), or may contact Class Counsel at the address listed above,  
3 or consult the pleadings and other papers filed in the Action at the Office of the Clerk of the United  
4 States District Court for the Central District of California, First Street Courthouse, 350 West First  
5 Street, Los Angeles, California 90012, during normal business hours of each business day. If you  
6 have an account with PACER, you may consult the pleadings and other papers via Electronic  
7 Case Filing at the website of the Central District of California: <https://ecf.cacd.uscourts.gov/>.

8 If you have any questions concerning this case or your membership in the Class, please contact  
9 the Settlement Administrator:

10 NantKwest Securities Litigation  
11 c/o JND Legal Administration  
12 P.O. Box 91230  
13 Seattle, WA 98111  
14 Telephone: 1-888-663-1726  
15 [info@nantkwestsecuritieslitigation.com](mailto:info@nantkwestsecuritieslitigation.com)  
16 [www.nantkwestsecuritieslitigation.com](http://www.nantkwestsecuritieslitigation.com)

17 **INQUIRIES SHOULD NOT BE DIRECTED TO THE COURT, THE**  
18 **CLERK'S OFFICE, THE DEFENDANTS, OR DEFENDANTS' COUNSEL.**

19 Dated: January 9, 2019

20 UNITED STATES DISTRICT COURT  
21 CENTRAL DISTRICT OF CALIFORNIA

22 **By Order of the Court**  
23 **United States District Court**  
24 **Central District of California**