

ELECTRONIC FILING INSTRUCTIONS

NantKwest Securities Litigation

Part I

ELECTRONIC FILING INSTRUCTIONS

- Electronic Claim submission is available to institutions filing on their own behalf or on behalf of others as well as to claim preparers filing on behalf of clients, or to individuals filing a large number of transactions who have requested or have been requested to file claims electronically.
- Any file not in accordance with the required filing format or not accompanied by the required documentation will be subject to rejection.
- **One Claim is to be submitted for each separate legal entity.** A separate Claim, but only one Claim, should be submitted for each separate legal entity (e.g., a Claim on behalf of joint owners should not include separate transactions of just one of the joint owners, and a Claim on behalf of an individual should not combine his or her IRA transactions with transactions made solely in the individual's name). Conversely, **a single Claim is to be submitted on behalf of one legal entity including all transactions made by that person or entity no matter how many separate accounts that person or entity has** (e.g., a Claim on behalf of a corporation with multiple brokerage accounts **MUST** include all transactions made in all accounts in one Claim).
- **The correct complete, unabbreviated name of the beneficial owner(s) of the security supporting each Claim MUST be provided. Your submission may be rejected if you do not provide this information. Do not include honorifics (e.g., Mr., Mrs., Ms., Dr.).**
- The required documentation set forth below **MUST** be submitted with your electronic file. Your electronic Claims will not be eligible for consideration until all required documents are received. Please note that one document may meet more than one requirement.

1. ONE SIGNED PROOF OF CLAIM AND RELEASE

- You **MUST** complete the Claimant Identification Page, (Part 1, page 4) and Release of Claims and Release Page, (Part V page 7) of a single Proof of Claim and Release Form (“Claim Form”), which will serve as an “umbrella” or “master” claim form for all Claims in your electronic file.
- The Claim Form **MUST** be signed by an authorized signatory who is listed on your signature verification document and state the capacity (job title) of the signatory.
- If you are filing on behalf of multiple beneficial owners, use the term “Various Beneficial Owners” for the Claimant name(s) (*i.e.*, the beneficial owner(s) name(s)). However, as noted above, the correct complete unabbreviated name of each beneficial owner (without honorifics (*e.g.*, Mr. Mrs. Ms. Dr.)) **MUST** be provided for each Claim in your electronic Claim submission.

2. SIGNATURE VERIFICATION DOCUMENT

- If you are an institution filing on your own behalf or on behalf of other beneficial owners or a claim preparer filing on behalf of beneficial owners, you **MUST** provide a document verifying that the individual who signs the Claim Form and any supplemental documents is authorized to sign on your behalf. Some common types of documents that fulfill this requirement include the following (this list is not exclusive and non-US entities may have different documents that fulfill this requirement. If you are a non-US entity, you **MUST** submit an equivalent document):
 - Copy of filer’s By-Laws, including signature page(s)
 - Copy of filer’s Corporate Resolution, including signature page(s)
 - Notarized Affidavit signed by an officer of the filing institution or company clearly granting a specific individual(s) authorization or confirming his/her authority to sign on behalf of his/her institution or company.

3. AUTHORIZATION DOCUMENT (If filing on behalf of beneficial owners other than yourself)

- If you are an institution or claim preparer filing on behalf of beneficial owners other than yourself, you **MUST** provide **as to each beneficial owner for whom or which you are filing**
 - A current document verifying that you are authorized:
 - (i) to file and sign the Claim on behalf of the beneficial owner(s) of the securities, and
 - (ii) to execute a release of claims in the action and the certification set forth in the Claim Form on behalf of the beneficial owner(s) of the securities.
 - Some common types of documents that may fulfill this requirement, as long as they specifically include the verifications set forth in (i) and (ii) above, include the following (this list is not exclusive and non-US entities may have different documents that fulfill this requirement. If you are a non-US entity, you **MUST** submit an equivalent document):

- (i) Power of Attorney
 - (ii) Service Agreement
 - (iii) Signed/dated letter from the beneficial owner(s) of the securities.
 - (iv) Notarized affidavit or signed letter on your firm's letterhead. The affidavit or letter **MUST** be executed by an officer of the company who is listed on your signature verification document and reference the capacity and contact information of the signatory.
- If you as the filer do not have a direct relationship with the beneficial owner(s) of the securities but are acting on behalf of another person or entity, you must provide documentation from each person or entity in the chain, beginning with the person or entity that has the direct relationship with the beneficial owner(s) and ending with you:
 - (i) that verifies the authority to file and sign the Claim on behalf of the beneficial owner(s) of the securities, and to execute a release of claims in the action and the certification set forth in the Claim Form on behalf of the beneficial owner(s) of the securities;
 - (ii) that reflects that person's or entity's right to transfer the powers set forth in (i) above; and
 - (iii) that authorizes the next person in the chain to file and sign the Claim on behalf of the beneficial owner(s) of the securities, and to execute a release of claims in the action and the certification set forth in the Claim Form on behalf of the beneficial owner(s) of the securities.
 - The documentation can be in the form of (i) a power of attorney; (ii) a service agreement; (iii) a dated letter on company letterhead signed by an authorized representative of the entity that reflects that person's position and contact information; or (iii) a notarized affidavit by an authorized representative of the entity that reflects that person's position and contact information.

4. DATA VERIFICATION DOCUMENT(S)

- If you are an institution filing on your own behalf or on behalf of other beneficial owners or a claim preparer filing on behalf of beneficial owners, you **MUST** provide a notarized affidavit or signed letter on your firm's letterhead which meets the following criteria:
 - Confirms the number of separate Claims and transactions in your file.
 - Sets forth the source of the data for each Claim included in your file. **NOTE: Documents generated by the beneficial owner(s) of the securities or you as the filer are not an acceptable source of data.** See Section 5 below re acceptable documentation. Brokerage firms filing on their own behalf or on behalf of their customers should contact JND Legal Administration regarding acceptable documentation.
 - Attests to the truth and accuracy of the data for each Claim in your file.
 - Is executed by an authorized signatory who is listed on your firm's signature verification document, and specifies both the capacity and contact information of that signatory.

5. ADDITIONAL DOCUMENTATION (IF REQUESTED) - DATA INTEGRITY AUDIT

- Filers may be requested, as deemed appropriate by JND Legal Administration and/or Lead Counsel, to provide additional documentation to support the Claims submitted. This data integrity audit is designed to verify the overall integrity of a data file. Accordingly, you **MUST** provide all the requested documentation and the documentation provided **MUST** be independent in nature.
- Even if you provided a letter/affidavit attesting to the truth and accuracy of the data you initially submitted with your electronic file, we may ask for additional specific documentary evidence, which may include trade confirmations, complete monthly statements, or equivalent, to independently verify the details of transactions and/or holding positions. If your file is selected for a data integrity audit, you **MUST** provide all the requested information.

FAILURE TO COMPLY WITH THIS AUDIT REQUEST MAY RESULT IN THE REJECTION OF ALL CLAIMS ON YOUR ELECTRONIC SUBMISSION

Electronic files will not be deemed submitted unless JND Legal Administration sends you an email acknowledging receipt of your file. Do not assume that your file has been received until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at NKISecurities@JNDLA.com to inquire about your file and confirm it was received.

PART II

SUBMISSION - CONTACT INFORMATION

YOUR FILE

To fill out your E-Claim template, examine the data required on the "Data Layout" section of the Electronic Filing Template and enter the data into the template provided.

SUBMITTING YOUR MASTER PROOF OF CLAIM.

To submit your Master Proof of Claim, you must send all forms, documents and data files to one of the addresses below:

Mailing Address:	Nantkwest Securities Litigation c/o JND Legal Administration PO Box 91230 Seattle, Washington 98111
Overnight Address:	Nantzkwest Securities Litigation c/o JND Legal Administration 1100 2 nd Avenue, Suite 300 Seattle, Washington 98101
Email:	NKISecurities@JNDLA.com
FTP Upload:	Call 1-888-663-1726 for directions on uploading files securely.

If you have any questions about submitting your e-claim, please call: 1-888-663-1726