

# **EXHIBIT B**

Status Email

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**From:** eClaim  
**Sent:** [REDACTED]  
**To:** [REDACTED]  
**Subject:** GTAT Securities Litigation - File/Submission # [REDACTED]  
**Attachments:** GTAT EClaim Rejection Reasons.pdf; [REDACTED].xlsx

Dear Claimant:

You filed claims electronically in connection with the **GTAT Securities Litigation**. Attached is a spreadsheet representing the claims that are partially or wholly rejected under the terms of the Settlement as approved by the Court. The spreadsheet lists the claim numbers, account numbers, and the corresponding rejection reason for each claim. For your convenience, we have also attached a document with more detailed descriptions of the rejection reasons.

If you wish to cure the claims that are deficient, you must clearly state the claim number and the deficiency that you are attempting to resolve and provide information and/or documentation to support your response. We will review your response and documentation and make updates to the extent your response is complete and adequately documented.

***ANY RESPONSES MUST BE RECEIVED AS SOON AS POSSIBLE BUT NO LATER THAN JANUARY 18, 2020. YOU WILL RECEIVE NO FURTHER CORRESPONDENCE REGARDING THESE CLAIMS. THIS WILL BE YOUR ONLY OPPORTUNITY TO RESPOND.***

If you prefer to email your response, please only respond to [eClaim@epigglobal.com](mailto:eClaim@epigglobal.com) and your documentation must be scanned as .pdf documents or equivalent. **Do not email any individuals directly.**

If you prefer to mail your response and supporting documentation, please send them to the following address:

GTAT Securities Litigation c/o Epiq  
Attn: Electronic Filing Department  
5151 Blazer Parkway, Suite A  
Dublin, OH 43017

#### **INSTRUCTIONS FOR REQUESTING COURT REVIEW**

If you disagree with the determination to reject this Claim, you may request Court review of the determination. To request Court review, you must send a letter to the Claims Administrator postmarked no later than the Response Due Date set forth at the top of this notice and it must: (1) specifically state that you “request that the Court review the rejection of this Claim,” (2) state your argument(s) for why your Claim should be accepted, (3) attach any supporting documents you may have to support your argument(s), and (4) be signed. Please also include a copy of this notice when requesting Court review of the rejection of your Claim. If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court (with financial account numbers and certain other information redacted). Please note: Court review should only be sought if you disagree with our determination about this Claim.

If you have any questions regarding the attached spreadsheet(s) or what are acceptable responses, please contact us via email at [eClaim@epigglobal.com](mailto:eClaim@epigglobal.com). If you need to speak with someone regarding your determinations, you may provide your contact information in the email and request a phone call from one of our representatives.

Please let us know if there are any questions.

Kind Regards,

**Electronic Filing Department (TB)**

5151 Blazer Pkwy, Suite A

Dublin, Ohio 43017

Office: +1 614 553 1044

Email: [eclaim@epiglobal.com](mailto:eclaim@epiglobal.com)

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**In re GTAT Securities Litigation**

Claim Rejection Reasons – Page 1 to 7

Transaction Rejection Reasons – Page 8 to 9

CUSIP	SEDOL	ISIN	Security Description
36191U106	B6TB704	US36191U1060	GTAT Common Stock
36191UAB2	BH58W6	US36191UAB26	3% Senior Convertible Notes

Class Period: November 5, 2013 through 9:40 a.m. Eastern Standard Time on October 6, 2014, inclusive

**Helpful Pointers for Responding To Deficiencies**

1. Acceptable supporting documentation includes securities brokers' confirmation slips, month-end and year-end account statements, or similar documentation. Self-generated documents are **not** acceptable.
2. If you have a large volume of deficiencies or require any clarification on the determination and/or necessary response, please contact us at 614-553-1044 for additional assistance.
3. Claim numbers **must** be referenced on all responses.
4. Clearly state the deficiency that you are attempting to resolve **and** how your response is intended to resolve the deficiency.
5. If you are providing revised or additional data, it **MUST**:
  - a. Be accompanied by a letter disclosing the source of the data and attesting to its truth and accuracy, which also provides a brief explanation of what is being adjusted;
  - b. Be accompanied by a document or communication listing the total accounts and **transactions** being updated;
  - c. Clearly indicate if you are replacing data or if you are adding data to your Claim(s); and,
  - d. Either list the Claim number for the Claim being updated or provide account names and numbers exactly as they are listed on your original submission.
6. If you are providing revised data for specific transactions, please insert additional columns on the deficient transaction spreadsheet to provide corrections.
7. If you are providing revised data for an entire Claim, you must include the Claim number in an additional column.

**CLAIM REJECTION REASONS****CLAIM DOES NOT BALANCE**

The Claim(s) referenced on the enclosed spreadsheet is/are ineligible because they did not include all of the required information with respect to transactions in eligible GTAT Securities during the relevant dates for the security as required by the Claim Form. The amount of each eligible security held as of the opening of trading on November 5, 2013 ('A') plus purchases/acquisitions during the Class Period plus purchases/acquisitions

during the Class Period ('B') SHOULD EQUAL the amount of each eligible security sold during the Class Period ('C') plus the amount held as of the close of trading on the relevant End Date ('D'). Had all the transactions and holdings amounts been listed, A+B would equal C+D.

**HOW TO RESOLVE:** Please provide revised, balanced transactional data with all shares purchased or otherwise acquired and/or sold from the relevant dates for the security in question.

**PLEASE NOTE:** To the extent the transactions you did provide calculate to a Recognized Claim under the Court-approved Plan of Allocation, your Claim will be partially accepted.

**NO ELIGIBLE CLASS PERIOD PURCHASES**

The Claim(s) referenced on the enclosed spreadsheet did not include any eligible Class Period purchases/acquisitions. The transactions included in the Claim Form were either for securities other than GTAT Securities (which is the only security eligible for recovery under the Settlement) or it included transactions in GTAT Securities, but there were no purchases or other eligible acquisitions during the Class Period.

**HOW TO RESOLVE:** Unless you purchased/acquired GTAT Securities during the Class Period, this is NOT a curable deficiency. If you had eligible purchases/acquisitions of GTAT Securities that were not reflected in your original submission, you must submit all information and supporting documentation for those purchases/acquisitions as called for in the Claim Form. All transactions and holding positions must be properly documented. Specifically, the supporting documentation for each transaction must reflect the purchase (acquisition)/sale date, the number of shares, face value of notes or option contracts purchased/acquired/sold and the price paid/received per share, face value of notes or option contracts. With respect to the required "holding" positions, the documentation need only support the number of shares held as of the dates set forth in the Claim Form. Acceptable documentation includes securities brokers' confirmation slips, month-end and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

**PLEASE NOTE:** Curing this deficiency is an absolute requirement in order for the Claim to be eligible. If there are other deficiencies in the Claim and they are cured, the Claim still will not be eligible, even for "partial acceptance," unless this deficiency is also cured. In order to be eligible for a recovery, you must have Class Period purchases or other eligible acquisitions of GTAT Securities that you support with acceptable documentation which result in the Claim calculating to a Recognized Claim under the Plan of Allocation.

**DUPLICATE OF A PRE-APPROVED CLAIM**

The Claim(s) referenced on the enclosed spreadsheet is/are a duplicate Claim of another Claim previously submitted and approved in the Earlier Settlements. The previously approved claim (s) is/are automatically eligible to participate in the Apple Settlement and the duplicate claim (s) is/are therefore rejected.

**HOW TO RESOLVE:** You can only resolve this condition of ineligibility if you can demonstrate that this Claim is not a duplicate Claim. You must send a letter explaining why you believe this Claim should not be deemed a duplicate along with acceptable documentation to support your position. If you acknowledge that this Claim is a duplicate, but wish this Claim to be the operative Claim and the other Claim to be rejected, a signed notarized letter from the beneficial owner of the GTAT securities or the authorized representative who filed the other Claim, stating that the other Claim that has been determined to be a duplicate of this Claim should be withdrawn, must be submitted. That letter must clearly reference the Claim Number of the Claim that is to be rejected and it must be submitted along with a copy of this notice.

**DUPLICATE CLAIM**

The Claim(s) referenced on the enclosed spreadsheet is/are a duplicate Claim of another Claim filed directly by the ultimate beneficiary or another authorized representative on behalf of the same beneficial owner and is therefore rejected.

**HOW TO RESOLVE:** You can only resolve this condition of ineligibility if you can demonstrate this Claim is not a duplicate Claim. You must send a letter explaining why you believe this Claim should not be deemed a duplicate along with acceptable documentation to support your position. If you acknowledge this Claim is a duplicate, but wish this Claim to be the operative Claim and the other Claim to be rejected, you must submit a signed, notarized letter from the beneficial owner of the GTAT Securities or the authorized representative who filed the other Claim, stating the other Claim has been determined to be a duplicate of this Claim and should be withdrawn. That letter must clearly reference the Claim Number of the Claim that is to be rejected and it must be submitted along with a copy of this notice.

**PLEASE NOTE:** There may be deficiencies in the Claim designated by the Claims Administrator as the operative Claim and/or in this Claim. If there are deficiencies in the current operative Claim, a notice has been sent to the filer. If this Claim is ultimately designated to be the operative Claim, in accordance with the instructions set forth in the previous paragraph, and there are deficiencies in this Claim, a notice of the deficiencies will be sent to you. Whichever Claim is elected to be the operative Claim must satisfy all the requirements set forth in the Notice and in the Claim Form in order for the Claim to be eligible.

**BLANK CLAIM**

The Claim(s) referenced on the enclosed spreadsheet did not contain any transaction or holding information for the account(s) listed.

**HOW TO RESOLVE:** You can resolve this condition of ineligibility by submitting revised transactional data with all the transactional and holding information called for in Part III of the Claim Form for the account in question.

**PLEASE NOTE:** Curing this deficiency is an absolute requirement in order for the Claim to be eligible. If there are other deficiencies in the Claim and they are cured, the Claim still will not be eligible, unless this deficiency is also cured and the Claim calculates to a Recognized Claim under the Plan of Allocation.

**NO RECOGNIZED CLAIM**

Under the terms of the Court-approved Plan of Allocation (available at [www.GTATSecuritiesLitigation.com](http://www.GTATSecuritiesLitigation.com)), the transactions included in your electronic Claim submission for the referenced account(s) do not calculate to a Recognized Claim and, therefore, the Claim(s) is/are not eligible to receive a recovery from the Net Settlement Fund.

**HOW TO RESOLVE:** Unless you had purchases or otherwise eligible acquisitions of GTAT Securities during the Class Period that are not included in the Claim Form you submitted, this is NOT a curable deficiency.

If you had eligible purchases/acquisitions of GTAT Securities not reflected in your original submission, you must submit all of the information and supporting documentation for those purchases/acquisitions as required by the Claim Form. All transactions and holding positions in your Claim Form must be properly documented. Specifically, the supporting documentation for each transaction must reflect the purchase (acquisition)/sale date, the number of shares, face value of notes or option contracts purchased (acquired)/sold and the price paid/received per share, face value of notes or option contracts. With respect to the required "holding" positions, the documentation need only support the number of shares or option contracts held as of the dates set forth in

the Claim Form. Acceptable documentation includes securities brokers' confirmation slips, month- end and year- end account statements, or similar documentation. Self-generated documents are not acceptable.

**PLEASE NOTE: Curing this deficiency is an absolute requirement in order for the Claim to be eligible. If there are other deficiencies in the Claim and they are cured, the Claim still will not be eligible, even for "partial acceptance," unless you had additional Class Period purchases or other eligible acquisitions of GTAT Securities that are properly documented and the Claim then calculates to a Recognized Claim under the Plan of Allocation.**

**NOT A CLASS MEMBER: EXCLUDED PERSON OR ENTITY**

The beneficial owner for shares represented in the Claim(s) referenced on the enclosed spreadsheet is/are not a Apple Settlement Class Member and therefore, not eligible to participate in the Settlement by virtue of being excluded by definition or pursuant to request.

Under the Court-approved definition of the Settlement Class, you (or, if the Claim was filed by a representative, the beneficial owner of the shares for whom the Claim was filed) are excluded from the Settlement Class by definition (see the definition of the Apple Settlement Class and who is excluded by the definition set forth in the Apple Notice) or you (or, if the Claim was filed by a representative, the beneficial owner of the shares for whom the Claim was filed) were excluded from the Settlement Class pursuant to a request to be excluded.

**HOW TO RESOLVE:** The only way that this deficiency can be cured is if it can be demonstrated that you (or, if the Claim was filed by a representative, the beneficial owner of the shares for whom the Claim was filed) are not an excluded person or entity.

**PLEASE NOTE: Curing this deficiency is an absolute requirement in order for the Claim to be eligible. If there are other deficiencies in the Claim and they are cured, the Claim still will not be eligible, even for "partial acceptance," unless this deficiency is also cured.**

**CLAIM(S) NEED(S) TO BE COMBINED**

The transactional information provided for one or more beneficial owner(s) references multiple unique account numbers and transactional information for these unique accounts need to be combined into a single Claim for each unique beneficial owner. As indicated in the electronic filing instructions for this matter, a separate Claim should be submitted for each separate legal entity. However, if the legal entity is the beneficial owner of the securities trading through multiple accounts (no matter how many separate accounts that entity has), all transactions executed for the benefit of that beneficial owner, through all of its accounts, must be included in the same Claim.

**HOW TO RESOLVE:** To resolve this condition, you must provide a revised file clearly indicating how many Claims should be created for each beneficial owner, no matter how many separate accounts that entity has, along with information about the "master" or combined account number to use for this Claim and a clear indication of the beneficial owner's name, OR, provide additional information and supporting documentation demonstrating that these Claims are, in fact, separate legal entities and should not be combined.

**PLEASE NOTE: Curing this deficiency is an absolute requirement in order for the Claim to be eligible. If there are other deficiencies in the Claim and they are cured, the Claim still will not be eligible, even for "partial acceptance," unless this deficiency is also cured and the Claim then calculates to a Recognized Claim under the Plan of Allocation.**

**MISSING OR INCOMPLETE BENEFICIAL OWNER NAME**

The complete beneficial owner name for one or more Claims on your file is either missing or inadequate. As indicated in the electronic filing instructions for this matter, you **MUST** provide the **correct complete, unabbreviated name of the beneficial owner** for each unique legal entity represented on your electronic Claim submission.

**HOW TO RESOLVE:** To resolve this condition, you must provide a revised file that includes the complete, **unabbreviated** name of the beneficial owner for the transactions represented in the Claim in question.

**PLEASE NOTE:** Curing this deficiency is an absolute requirement in order for the Claim to be eligible. If there are other deficiencies in the Claim and they are cured, the Claim still will not be eligible, even for “partial acceptance,” unless this deficiency is also cured and the Claim then calculates to a Recognized Claim under the Plan of Allocation.

**MISSING, INCOMPLETE OR INADEQUATE CLAIM FORM**

As indicated in the electronic filing instructions for this matter, you must complete the Claimant Identification Page, (Part I, Page 2) and Release of Claims and Signature, (Part VII, Pages 14-15) of a single Proof of Claim and Release form, which will serve as an "umbrella" or “master” Claim form for all Claims in your electronic file, and this document **must** be signed by an authorized signatory who is also listed on your signature verification document and state the capacity (job title) of the signatory.

You either did not provide a Claim form when you provided your electronic Claim submission, or the document you provided is missing the Claimant identification or certification pages, or the document you provided is not signed by an authorized signatory.

**HOW TO RESOLVE:** The only way to cure this condition of ineligibility is to provide a Claim form where both the Claimant Information and Certification sections are completed. This Claim form must be signed by an authorized signatory for the party submitting the Claim or beneficial owner of the GTAT Securities represented in the electronic Claim submission.

**PLEASE NOTE:** Curing this deficiency is an absolute requirement in order for the Claim to be eligible. If there are other deficiencies in the Claim and they are cured, the Claim still will not be eligible, even for “partial acceptance,” unless this deficiency is also cured and the Claim then calculates to a Recognized Claim under the Plan of Allocation.

**MISSING, INCOMPLETE OR INADEQUATE SIGNATURE VERIFICATION DOCUMENT**

As indicated in the electronic filing instructions for this matter, 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 signed the Claim form and any supplemental documents is authorized to sign.

You either did not provide a signature verification document when you provided your electronic Claim submission or the document you provided does not include the signatory of your Claim form or other documents provided with your Claim submission.

**HOW TO RESOLVE:** The only way to cure this condition of ineligibility is to provide adequate documentation to substantiate that the party who signed the Claim form and any supplemental documents is authorized to do so on behalf of the Claim filer or beneficial owner of the GTAT Securities represented in the electronic Claim submission. 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.

**PLEASE NOTE: Curing this deficiency is an absolute requirement in order for the Claim to be eligible. If there are other deficiencies in the Claim and they are cured, the Claim still will not be eligible, even for "partial acceptance," unless this deficiency is also cured and the Claim then calculates to a Recognized Claim under the Plan of Allocation.**

**MISSING, INCOMPLETE OR INADEQUATE DATA VERIFICATION**

As indicated in the electronic filing instructions for this matter, 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: 1) confirms the number of distinct Claims and transactions in your file; 2) sets forth the source of the data for each Claim included in your file; 3) attests to the truth and accuracy of the data for each Claim in your file; and 4) 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.

You either did not provide a data verification document when you provided your electronic Claim submission, or the document you provided does not meet one or more of the above referenced requirements.

**HOW TO RESOLVE:** The only way to cure this condition is to provide a notarized affidavit or signed letter on your firm's letterhead which meets the below criteria:

- Confirms the number of distinct Claims and transactions in your file
- Sets forth the source of the data for each Claim included in your file
- 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.

**PLEASE NOTE: Curing this deficiency is an absolute requirement in order for the Claim to be eligible. If there are other deficiencies in the Claim and they are cured, the Claim still will not be eligible, even for "partial acceptance," unless this deficiency is also cured and the Claim then calculates to a Recognized Claim under the Plan of Allocation.**

**MISSING, INCOMPLETE OR INADEQUATE AUTHORIZATION DOCUMENT(S)**

As indicated on the electronic filing instructions, if you are an institution or Claim preparer filing on behalf of beneficial owners other than yourself, you must provide a current document verifying that you are authorized to file and sign Claims on behalf of the beneficial owners of the securities.

You either did not provide an authorization document when you provided your electronic Claim submission, or the document you provided is not current (within three years of the filing deadline for this matter), or the document you provided does not clearly show that you are authorized to file and sign Claims on behalf of the beneficial owners of the securities.

**HOW TO RESOLVE:** The only way to cure this condition of ineligibility is to provide a current (within three years of the filing deadline for this matter) document showing that you are authorized to file and sign Claims on behalf of the beneficial owners of the securities represented in your electronic Claim submission.

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):

- Power of Attorney
- Service Agreement
- Signed and dated letter on client's company letterhead specifically granting your company authority to file/sign Claims on their behalf
- Notarized affidavit or signed letter on your company's letterhead confirming your authority to file and sign Claims on behalf of each client for whom you filed a Claim. It must be executed by an officer of the company who is also listed on your signature verification document and reference the capacity and contact information of the signatory.

**PLEASE NOTE:** Curing this deficiency is an absolute requirement in order for the Claim to be eligible. If there are other deficiencies in the Claim and they are cured, the Claim still will not be eligible, even for “partial acceptance,” unless this deficiency is also cured and the Claim then calculates to a Recognized Claim under the Plan of Allocation.

## **TRANSACTION REJECTION REASONS**

### **TRANSACTIONAL REVIEW**

There are issues with the data provided for certain of your transactions/shareholding positions. The specific transaction(s)/shareholding position(s) at issue are on the enclosed spreadsheet.

For purchases and sales, the following are some examples of potential data issues:

- The price per share referenced is not within the high/low price range for the trade date submitted on your file.
- The net amount provided does not reasonably correlate with the given quantity and price.
- The transaction was given with the incorrect currency.
- The trade date referenced is invalid or was blank on your file.

**HOW TO RESOLVE:** You must submit revised data and/or acceptable documentation supporting the transaction(s)/shareholding position(s) in question.

### **FREE RECEIVE (TRANSFER IN)**

The Claim(s) referenced on the enclosed spreadsheet contain(s) one or more transactions that were presented or identified as a gift or transfer into your account (also called a “free receipt”) during the Class Period. The specific “Transfer In” transaction(s) at issue is (are) identified on the enclosed spreadsheet.

**HOW TO RESOLVE:** In order to include the above-noted shares in the calculation of the Claim, you must submit acceptable supporting documentation demonstrating that the **original** purchase or eligible acquisition transaction for the relevant security prior to the transfer into the account occurred during the Class Period. Specifically, if the shares identified above as a “Transfer In” were originally purchased/acquired during the Class Period, you must submit, with respect to each transaction, acceptable supporting documentation that provides the following information regarding the original purchase/acquisition transaction: date of purchase/acquisition, purchase/acquisition price per share, face value of notes or option contracts, and total purchase/acquisition price.

Acceptable supporting documentation includes securities brokers’ confirmation slips, month-end and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

**PLEASE NOTE:** If you already filed a Claim for the prior account that contains the original trades and a corresponding transfer (same date and quantity), then you may provide both Claim numbers with clear instruction to combine the Claims accordingly. **Failure to include both Claim numbers and adequate instruction will result in no further processing of your Claims with respect to these transfer transactions.** Even if you cure this condition of ineligibility and other condition(s) of ineligibility listed in this notice, your Claim must calculate to a Recognized Claim under the Plan of Allocation in order to be eligible to receive a recovery from the Net Settlement Fund.

### **FREE DELIVER (TRANSFER OUT)**

The Claim(s) referenced on the enclosed spreadsheet contain(s) one or more transactions that were presented or identified as a transfer out of your account (also called a “free delivery”) prior to the close of trading on January 2, 2015. The specific “Transfer Out” transaction(s) at issue is (are) identified on the enclosed spreadsheet.

**HOW TO RESOLVE:** In order for the Claim to be properly calculated, you must submit acceptable supporting documentation that provides information regarding the **final** disposition of the shares in the above-noted

transactions after they were transferred out of the account. Specifically, if the shares identified above as a "Transfer Out" were sold prior to the close of trading on January 2, 2015, you must submit, with respect to each transaction, acceptable supporting documentation that provides the following information regarding the final sale transaction: date of sale, sale price per share, face value of notes or option contracts and total sale price. If the shares were not sold prior to the close of trading on January 2, 2015 and, therefore, were held as of the close of trading on that date, you need only submit acceptable documentation demonstrating that the security was held as of the close of trading on January 2, 2015.

Acceptable supporting documentation includes securities brokers' confirmation slips, month-end and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

**PLEASE NOTE:** If you already filed a Claim for the subsequent account that contains the ultimate disposition and corresponding transfer (same date and quantity), then you may provide both Claim numbers with clear instruction to combine the Claims accordingly. **Failure to include both Claim numbers and adequate instruction will result in no further processing of your Claims with respect to these transfer transactions.** Please note that, even if you cure this condition of ineligibility and other condition(s) of ineligibility listed in this notice, your Claim must calculate to a Recognized Claim under the Plan of Allocation in order to be eligible to receive a recovery from the Net Settlement Fund.

**TRANSACTION/SHAREHOLDING IS NOT FOR AN ELIGIBLE SECURITY**

The transaction(s)/holding(s) listed on the enclosed spreadsheet is (are) not for an eligible security. GTAT Securities are the only securities eligible under the Settlement.

**HOW TO RESOLVE:** The only way that this condition of ineligibility can be cured is if you submitted incorrect information and/or documentation with your Claim Form and the transaction(s)/holding(s) listed above were supposed to be for GTAT Securities. In order to cure this condition of ineligibility, you must submit acceptable documentation demonstrating that the identified transaction(s)/holding(s) was (were) for GTAT Securities. Acceptable supporting documentation includes securities brokers' confirmation slips, month-end and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

**OUTSIDE CLASS PERIOD**

The purchase transaction(s) listed on the enclosed spreadsheet is (are) ineligible because the purchase was not made during the Class Period.

**HOW TO RESOLVE:** The only way that this condition of ineligibility can be cured is if you submitted incorrect information and/or documentation with the Claim Form and the purchase transaction(s) listed above was (were), in fact, for a purchase(s) of GTAT Securities during the Class Period. In order to cure this condition of ineligibility, you must submit acceptable documentation demonstrating that the purchase transaction(s) was (were) made during the Class Period. Acceptable supporting documentation includes securities brokers' confirmation slips, month-end and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

**DUPLICATE TRANSACTION(S)**

The transaction(s) referenced on the enclosed spreadsheet are duplicative of another transaction in the Claim.

**HOW TO RESOLVE:** The only way to cure this condition of ineligibility is by submitting acceptable documentation demonstrating that the transaction(s) listed on the enclosed are not duplicative. Acceptable supporting documentation includes securities brokers' confirmation slips, month-end and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

**THE OPTION TRANSACTION(S) YOU PROVIDED DO NOT CONFORM TO THE REQUIREMENTS LISTED ON THE PROOF OF CLAIM FORM.**

The options transaction(s) in your claim do not conform to the requirements listed on the proof of claim form for one or more off the following reasons:

1. The opening position is required in order to calculate claims under the Court approved Plan of Allocation. You must provide the opening position for the contracts. If you do not provide this information, the transaction(s) will remain deficient and will be included for balancing purposes only.
2. The ultimate disposition of the option is required in order to calculate claims under the Court approved Plan of Allocation. You must provide the ultimate disposition for the contracts along with relevant details if they were sold to close, repurchased, exercised, assigned, or expired. If you do not provide this information, the transaction(s) will remain deficient and will be included for balancing purposes only.
3. You did not provide the relevant details of the transaction(s) such as if they were exercised, assigned, or expired. If you do not provide this information, the transaction(s) will remain deficient and will be included for balancing purposes only.