

ELECTRONIC FILING INSTRUCTIONS

GTAT Securities Litigation

I. Important Notes – PLEASE READ

If you submitted a valid Claim in connection with the Earlier Settlements, DO NOT submit another form. If you have not yet submitted a Claim to the Claims Administrator, you must do so no later than **June 29, 2020**.

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 been requested to file claims electronically.

Electronic claim submissions MUST be accompanied by all **required** documents as set forth in Section IV of these instructions.

ALL ELECTRONIC CLAIM SUBMISSIONS MUST BE ENTERED ON THE TEMPLATE THAT FOLLOWS THESE INSTRUCTIONS. Electronic claim submissions MUST be submitted in the **required** format, specified in this document.

Provide all trade dates in **US** date format (**MM/DD/YYYY**).

Electronic filers must provide for each claim submitted the holding positions and transactions in the eligible securities as set forth in Section II.

NOTE: As set forth in the Proof of Claim and Release Form that you are submitting as the Master Proof of Claim for your submission (see Section IV 1. below), a separate claim should be submitted for each separate legal entity. However, if the legal entity that is the beneficial owner of the securities supporting the claim trades through multiple accounts (no matter how many separate accounts that entity has), all transactions of that beneficial owner through all of its accounts should be included in the same claim.

You MUST provide in Column Y of your submission the **correct complete, unabbreviated name of the beneficial owner(s) of the security supporting each claim.** **Your submission may be rejected if you do not provide this information.** Do not include honorifics (e.g., Mr., Mrs., Ms., Dr., Capt., Sgt.) and do not put “FBO” or the like in front of the beneficial owner’s name. **PLEASE NOTE:** A trustee, in that capacity, is not the beneficial owner of the security; the full name of the trust should be entered followed by the full name(s) of the trustee(s). A comma should separate the name of the trust and the name(s) of the trustee(s).

CLAIM FILING DEADLINE: The claim filing deadline for this settlement is **June 29, 2020**. Any claim received after that date will be late.

II. Eligible Securities

1. **Eligible Securities:**
 - (i) Publicly traded GT Advanced Technologies Inc. common stock (“GTAT Common Stock”).
 - (ii) Publicly traded GTAT 3.00% Convertible Senior Notes Due 2020 (“GTAT Senior Notes”).
 - (iii) Publicly traded call options on GTAT Common Stock (“GTAT Call Options”).
 - (iv) Publicly Traded put options on GTAT Common Stock (“GTAT Put Options”).

2. **Class Period:** November 5, 2013 through 9:40 a.m. Eastern Standard Time (“EST”) on October 6, 2014, inclusive.

3. Electronic filers **MUST** provide for each claim submitted the following information with respect to each Eligible Security included in the claim:
 - (i) **GTAT Common Stock**
 - a. The number of shares of GTAT Common Stock held as of the opening of trading on November 5, 2013.
 - b. Each and every purchase/acquisition (including free receipts) of GTAT Common Stock from after the opening of trading on November 5, 2013 through and including January 2, 2015.
 - i. If any of the provided purchases/acquisitions resulted from the exercise of an option, you must indicate that fact in Column R.
 - c. Each and every sale/disposition (including free deliveries) of GTAT Common Stock from after the opening of trading on November 5, 2013 through and including the close of trading on January 2, 2015.
 - i. If any of the provided sales resulted from the exercise of an option, you must indicate that fact in Column R.
 - d. The number of shares of GTAT Common Stock held as of the close of trading on October 9, 2014.
 - e. The number of shares of GTAT Common Stock held as of the close of trading on January 2, 2015.

(ii) GTAT Senior Notes

- a. Each and every purchase/acquisition (including free receipts) of GTAT Senior Notes from the initial public offering, which occurred on or about December 5, 2013, through and including May 18, 2015.
- b. Each and every sale/disposition (including free deliveries) of GTAT Senior Notes from the initial public offering, which occurred on or about December 5, 2013, through and including the close of trading on May 18, 2015.
- c. The total face value of GTAT Senior Notes held as of the close of trading on October 9, 2014.
- d. The total face value of GTAT Senior Notes held as of the close of trading on May 18, 2015.

(iii) GTAT Call Options

- a. The number of GTAT Call Option contracts in which there was an open interest as of the opening of trading on November 5, 2013.
- b. Each and every purchase/acquisition (including free receipts) of GTAT Call Option contracts from after the opening of trading on November 5, 2013 through and including 9:40 a.m. EST on October 6, 2014.
- c. Each and every sale/disposition (including free deliveries) of GTAT Call Option contracts from after the opening of trading on November 5, 2013 through and including 9:40 a.m. EST on October 6, 2014.
- d. The number of GTAT Call Option contracts in which there was an open interest as of 9:40 a.m. EST on October 6, 2014.

(iv) GTAT Put Options

- a. The number of GTAT Put Option contracts in which there was an open interest as of the opening of trading on November 5, 2013.
- b. Each and every sale/disposition (writing) (including free deliveries) of GTAT Put Option contracts from after the opening of trading on November 5, 2013 through and including 9:40 a.m. EST on October 6, 2014.
- c. Each and every purchase/acquisition (including free receipts) of GTAT Put Option contracts from after the opening of trading on November 5, 2013 through and including 9:40 a.m. EST on October 6, 2014.
- d. The number of GTAT Put Option contracts in which there was an open interest as of 9:40 a.m. EST on October 6, 2014.

III. Methods of Submission

Electronic files will not be deemed submitted unless the Claims Administrator 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 eClaim@epiglobal.com to inquire about your file and confirm it was received.

The following methods are available for submitting electronic claims:

1.

2. **EMAIL**

You may email your electronic claim submission to eClaim@epiglobal.com.

If you choose to email your file, you MUST also attach all required documentation to the email as .pdf documents or equivalent.

3. **MAIL**

You may send your electronic claim submission in the mail on a disk or CD along with all required documentation. Use the P.O. Box address on top of page 1 of the Proof of Claim and Release Form and add "Attn: Electronic Filing Department". If you need to send your submission via Federal Express or UPS, use the below street address:

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

IV. Documentation Requirements

The required documentation outlined below must be submitted with your electronic file. Your electronic claim(s) will not be eligible for consideration until all required documents are received. Please note that one single document may meet more than one requirement.

1. ONE SIGNED PROOF OF CLAIM AND RELEASE FORM

You must complete the Claimant Information Page (Part I, page 2) and the Release of Claims and Signature Pages (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.

The claim form 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 may reference the term "Various Beneficial Owners" for the beneficial owner name if you are filing on behalf of multiple beneficial owners. However, as noted above, the correct complete unabbreviated name of each beneficial owner (without honorifics) **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. 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 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.

4. AUTHORIZATION DOCUMENT (IF FILING ON BEHALF OF CLIENTS OR CUSTOMERS)

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. 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/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.

ADDITIONAL DOCUMENTATION (IF REQUESTED) - DATA INTEGRITY AUDIT

Epiq may request filers, as deemed appropriate by Epiq and/or Lead Counsel, who file claims electronically 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 will **require** specific documentary evidence, which may include trade confirmations, 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.

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

V. Electronic Filing Notes

ADDRESSES

Claims and checks (if the claim is eligible) will be created based on the information provided on your electronic file.

If you require checks to be made out directly to the beneficial owner but still sent to your company, please include a “c/o” before your company name in Column A of your file.

If you require checks to be mailed to some other party (i.e. directly to the custodian bank for each beneficial owner or directly to the beneficial owner), please include *their* name in the ‘Company Name’ field (Column A) of the file, but include your name in the ‘Submitting Filer’s Name’ field (Column W).

If you require checks be made out directly to the beneficial owner, do not include **any** company name in the ‘Company Name’ field (Column A) of the file.

For foreign addresses, the two character country code must be provided in Column H, all address information (including full country names and provinces) must be included in the two address fields (Columns B-C), and the city, state, zip fields (Columns D-G) should be left blank.

If you are a third-party claim preparer filing on behalf of clients who represent the beneficial owner of the securities, you **must** provide the complete name of your client in Column V of your electronic claim submission.

SECURITIES

All transactions and holding positions **must** reference an appropriate security identifier (CUSIP, ISIN, SEDOL or ‘OC’/‘OP’ designations for GTAT Options) in Column K of your file.

Negative values may **only** be given for beginning and ending/unsold holdings (transaction types “B” and “U”). All other transactions must reflect positive values.

TRANSFERS

Free receipt/free delivery (transfer in/out) transactions must be included in the claim data as this information is necessary in order for the claim to balance. Please note, free receipts are **not** eligible for payment and will not be included in the calculation of the claim unless the shares received were purchased during the Class Period and you provide the original purchase information for these shares.

A free receipt or transfer in must be reflected as a transaction type “R” and a free delivery or transfer out must be reflected as a transaction type “D” (prices and net amounts must be zero).

VI. Required Filing Format – General Instructions

Files should be submitted as an Excel spreadsheet.

All fields in the below format must be included on your file.

Any fields that do not apply to the claims you submitted must be left blank (do not delete any fields).

Your file must include one header row with each of the column headings specified below.

Your file must be sorted in the following order:

- complete correct name of the beneficial owner of the securities supporting the claim
- security identifier
- transaction type

If a maximum character length for any field is specified, do not exceed the limit.

Do not leave any blank rows on your file.

Any files not in accordance with the below layout are subject to rejection.

For Excel spreadsheets:

- Whenever possible, your file should be limited to one tab that contains all the fields listed below.
- The “Length” column in the below format specifies the maximum number of characters for each Excel field as to which a maximum character number applies.

Please continue to next page for Required File Layout.

REQUIRED FILE LAYOUT

| COL | FIELD | START POSITION | LENGTH | NOTES |
|-----|---------------------------------------|----------------|--------|---|
| A | Company Name | 1 | 40 | Name of Company for Mailing of Checks (see Address Notes above) Include a "c/o" before your company name if you require checks made out to the beneficial owner c/o your company. Include an "FBO" (or similar ownership acronym) after your company name if you require checks to be made out to your company for the benefit of the beneficial owner. |
| B | Address 1 | 41 | 40 | Address 1 Information for Mailing of Checks (see Address Notes above) |
| C | Address 2 | 81 | 40 | Address 2 Information for Mailing of Checks (see Address Notes above) |
| D | City | 121 | 30 | City for Mailing of Checks (see Address Notes above) |
| E | State | 151 | 2 | 2 Character State Abbreviation for Mailing of Checks (see Address Notes above) |
| F | Zip5 | 153 | 5 | 5 Digit Zip for Mailing of Checks (see Address Notes above) |
| G | Zip4 | 158 | 4 | 4 Digit Zip for Mailing of Checks (see Address Notes above) |
| H | Country Code | 162 | 2 | 2 character Country abbreviation (only for foreign addresses) |
| I | Short beneficial owner name | 164 | 40 | Short Name of Beneficial Owner, for printing/ mailing purposes You MUST also provide the correct, complete, unabbreviated name of the beneficial owner in Column Y of your submission. |
| J | Account Number(s) of Beneficial Owner | 204 | 70 | List the account numbers for all of the accounts through which the beneficial owner trades. |
| K | Security Identifier Number | 274 | 14 | CUSIP, ISIN, or SEDOL Number of the Security. Use 'OC' for call options and 'OP' for put options. |

| | | | | |
|---|--------------------------------------|-----|----|--|
| L | Transaction Type | 288 | 2 | <p>B = Beginning Holdings DO NOT provide beginning holdings for GTAT Senior Notes</p> <p>P = Purchase (includes purchases to cover short sales)</p> <p>S = Sale (includes short sales)</p> <p>U1 = Number shares of GTAT Common Stock held as of the close of trading on October 9, 2014 Total face value of GTAT Senior Notes held as of the close of trading on October 9, 2014</p> <p>U = Number shares of GTAT Common Stock held as of the close of trading on January 2, 2015 Total face value of GTAT Senior Notes held as of the close of trading on May 18, 2015 Number of GTAT Call Option contracts in which there was an open interest as of 9:40 a.m. EST on October 6, 2014 Number of GTAT Put Option contracts in which there was an open interest as of 9:40 a.m. EST on October 6, 2014</p> <p>R = Free Receipt (transfer in)</p> <p>D = Free Deliver (transfer out)</p> <p>Note: When inputting beginning and unsold holdings, the trade date column MUST indicate the holding date. Price per share and net amount columns MUST be left blank.</p> |
| M | Trade Date / Option Acquisition Date | 290 | 10 | Trade date in MM/DD/YYYY format (including foreign entities). |
| N | Quantity | 300 | 20 | Number of shares, notes or option contracts associated with this transaction (this value can <u>ONLY</u> be negative for short beginning or ending holdings positions). |
| O | Price | 320 | 20 | Price of each Share (for GTAT Common Stock); Price per \$1,000 face value (for GTAT Senior Notes); or Price per Option Contract (for GTAT Call and GTAT Put Options) This column should be blank <u>ONLY</u> when providing beginning or ending holdings or shares involved in a receipt or deliver. |
| P | Total Price | 340 | 20 | Total value of the transaction (excluding commissions, taxes, and fees); This column should be blank <u>ONLY</u> when providing beginning or ending holdings or shares involved in a receipt or deliver. |
| Q | Currency Type | 360 | 3 | Type of currency associated to transaction (USD, EUR, GBP, etc.) |

| | | | | |
|---|---|-----|-----|---|
| R | Option Exercise / Assign / Expire Flag | 363 | 1 | A = Assigned, E = Exercised, X = Expired This column MUST be used if the common stock transaction is the result of the exercise or assignment of an option. |
| S | Exercise / Assign Date | 364 | 10 | ONLY APPLIES TO OPTION TRANSACTIONS The date in MM/DD/YYYY format that the GTAT Call or GTAT Put Option was assigned. Note: This column must be populated for option transactions when E or A is provided in Column R. |
| T | Option Strike Price | 374 | 5 | ONLY APPLIES TO OPTION TRANSACTIONS The date in MM/DD/YYYY format that the GTAT Call or GTAT Put option was assigned. Note: This column must reference the strike price of the GTAT Call or GTAT Put option identified in Column K. |
| U | Expiration Month and Year | 379 | 10 | ONLY APPLIES TO OPTION TRANSACTIONS This column must reference the expiration date of the GTAT Call or GTAT Put option identified in Column K. |
| V | Submitting Filer's Client Name(s) | 389 | 20 | If you are a third-party claim preparer filing on behalf of clients either: (i) for the client as beneficial owner (in which case the entry in this field will be the same as the entry in Field I); or (ii) for a client which represents the beneficial owner(s), provide the complete name of your client in this column. |
| W | Submitting Filer's Name | 409 | 20 | Name of filer submitting electronic claim |
| X | Beneficial Owner's SSN or Tax ID Number | 429 | 4 | Last four digits of Social Security Number or Tax ID Number of beneficial owner (leave column blank for foreign entities) |
| Y | Complete Beneficial Owner Name | 433 | n/a | Full Name of Beneficial Owner MUST be the correct, complete unabbreviated name of the beneficial owner. Do not include honorifics, e.g., Mr., Mrs., Ms., Dr., Capt., Sgt. and do not put "FBO" or the like in front of the beneficial owner's name. Please note: A trustee, in that capacity, is not the beneficial owner of the security; the full name of the trust should be entered followed by the name(s) of the trustee(s). A comma should separate the name of the trust and the name(s) of the trustee(s). YOUR SUBMISSION MAY BE REJECTED IF THIS INFORMATION IS NOT INCLUDED. |