



Utesch v. Lannett Company, Inc., et al.

ELECTRONIC CLAIM FILING GUIDELINES



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Overview

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

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

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

Electronic Filing Requirements

Complete and Sign a Proof of Claim and Release:

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

Prepare a cover letter:

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

Prepare a data file:



- An Excel spreadsheet or other electronic file containing account information and transactional data **MUST** be prepared in accordance with A.B. Data, Ltd.'s Electronic Claim Filing Template Mapping Instructions found in Appendix E. The following formats are acceptable: a) MEDIA: CD, DVD, and FLASH DRIVE and b) DATA: ASCII, MS EXCEL, and MS ACCESS. For your convenience, an Excel spreadsheet template is available for your use and may be downloaded from www.LannettSecuritiesSettlement.com.
- If you cannot provide the information in the aforementioned formats or you have other requests, questions, concerns, or comments, please email A.B. Data, Ltd., at efiling@abdata.com or you may call 877-354-3791 to speak to an Electronic Claims Filing Specialist.

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

Utesch v. Lannett Company, Inc., et al.
ATTN: ELECTRONIC CLAIMS DEPARTMENT
C/O A.B. DATA, LTD.
PO BOX 173112
MILWAUKEE, WI 53217

Or:

Utesch v. Lannett Company, Inc., et al.
ATTN: ELECTRONIC CLAIMS DEPARTMENT
C/O A.B. DATA, LTD.
3410 WEST HOPKINS STREET
MILWAUKEE, WI 53216

Documentation Requirements

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

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

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

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

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

- **SHARES RECEIVED INTO ACCOUNT:** You must account for any received shares by providing the opening position or original purchase or acquisition of these shares from the prior account.
- **SHARES DELIVERED OUT OF ACCOUNT:** You must account for any delivered shares by providing the sale and/or closing position from the subsequent account.



- **NO INFORMATION AVAILABLE ON ORIGINAL PURCHASE/ACQUISITION or SUBSEQUENT SALE:** You must provide the free receipt and/or free delivery shares in order to balance your claim. A “transfer in” should be reflected as transaction type “FR,” and a “transfer out” should be reflected as transaction type “FD” (prices and net amounts should be zero).

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

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

Claim Balancing

All securities for each Claim must balance. This means all opening position shares plus purchases / acquisitions (including free receipts) from July 15, 2014 through and including January 30, 2018, **MUST EQUAL** the total sales (including free deliveries) from July 15, 2014 through and including January 30, 2018 plus the closing position. **(O+P+FR=S+FD+C)**.

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



Appendix A

Case Specific Information

| | |
|------------------------|--|
| CLASS DEFINITION: | All persons or entities, who purchased or acquired the publicly traded common stock of Lannett Company, Inc. during the period from July 15, 2014 and October 31, 2017, inclusive, and who were damaged thereby. |
| CLAIM FILING DEADLINE: | April 2, 2026 |

The following is a list of eligible Securities:

| SECURITY | TICKER | CUSIP | ISIN |
|-----------------------|--------|-----------|--------------|
| Lannett Company, Inc. | LCI | 516012101 | US5160121019 |



Common Stock transactions for each account should include:

| Transaction Type | Definition | Valid Dates |
|-------------------------|--|-------------------------------|
| O | Total shares owned at opening of trading at beginning of Class Period. | 07/15/2014 |
| P | Purchases/acquisitions during the Class Period. | 07/15/2014 through 01/30/2018 |
| FR | Transfer into account during the Class Period. | 07/15/2014 through 01/30/2018 |
| S | Sales during the Class Period. | 07/15/2014 through 01/30/2018 |
| FD | Transfer out of account during the Class Period. | 07/15/2014 through 01/30/2018 |
| C | Total shares owned at close of trading at end of Class Period. | 01/30/2018 |

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



Appendix B



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Appendix C

Authorization Requirements

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

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

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

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

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

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

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

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



Appendix D
Sample Cover Letter

LETTERHEAD

Re: *Utesch v. Lannett Company, Inc., et al.*

Date:

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

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

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

The total number of Lannett Company, Inc. Common Stock shares purchased or acquired [##.##] for the amount of [\$0.0000] and Lannett Company, Inc. Common Stock shares sold [##.##] for the amount of [\$0.0000] can be found on the enclosed [CD, DVD, OR FLASH DRIVE].

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

I attest that the above information is true and correct.

Signature

Company Name

Job Title

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



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Appendix E

Electronic Claim Filing Template Mapping Instructions

| Column | Field Name | Max Length | Lannett Company, Inc. Common Stock FIELD DESCRIPTION |
|--------|---|------------|--|
| A | Account Number | 40 | Account number associated with the proprietary account for which transactions are being submitted with this Proof of Claim and Release. |
| B | Account Name | 40 | Name of individual, company, or entity associated with the account listed in Column A. |
| C | Full Name of the Beneficial Owner | 40 | Full name of the beneficial owner associated with the account listed in Column A. |
| D | TIN of the Beneficial Owner | 9 | Taxpayer identification number (TIN) for beneficial owner, no spaces and no dashes. |
| E | Beneficial Owner TIN Type (E/S/U/F) | 1 | E = Employer Identification Number (EIN); S = Social Security Number (SSN); U = Unknown; F = Foreign. |
| F | Care of: | 40 | Name of the entity to which items should be mailed. |
| G | Attn: | 40 | Name of the person to whose attention items should be mailed. |
| H | Street 1 | 40 | Street Address 1 |
| I | Street 2 | 40 | Street Address 2 |
| J | City | 25 | City |
| K | State | 2 | State |
| L | Zip Code | 5 | Zip code |
| M | Province | 40 | Province |
| N | Country | 40 | Country |
| O | CUSIP/ISIN | 10 | CUSIP number or ISIN for common stock. |
| P | Transaction Type/Holdings | 2 | O = Opening position - shares held at opening of trading on 07/15/2014 P = Purchases made between 07/15/2014 through 01/30/2018, inclusive; FR = Free receipts made between 07/15/2014 through 01/30/2018, inclusive; S = Sales made between 07/15/2014 through 01/30/2018, inclusive; FD = Free deliveries made between 07/15/2014 through 01/30/2018, inclusive; C = Closing position – shares held at close of trading on 01/30/2018 |
| Q | Trade Date (MM/DD/YYYY) | 10 | Trade date for transaction or holding date for closing position. |
| R | Number of Shares of Stock | 19 | Number of shares associated with a transaction. No commas; use decimal point if needed. Up to four digits after decimal point. |
| S | Price Per Share EXCLUDING Commissions/Taxes/Fees | 19 | Price per share (USD), excluding commissions/taxes/fees, associated with a transaction. No dollar sign, no commas; use decimal point, if needed. Up to four digits after decimal point. Leave blank when providing closing positions. Use zero when specifying free receipts and/or free deliveries. |
| T | Total Price EXCLUDING Commissions/Taxes/Fees | 19 | Aggregate cost or proceeds received (USD), excluding commissions/taxes/fees. No dollar sign, no commas; use decimal point, if needed. Up to four digits after decimal point. Use zero when specifying free receipts and/or free deliveries. |

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

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

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



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Appendix F

Electronic Claim Filing Template Mapping Instructions Wire Request (Optional)

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

***Required Fields**

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

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