

*Revolution Lighting Securities Litigation*  
**Claims Administrator**  
c/o Epiq  
P.O. Box 4390  
Portland, OR 97208-4390  
www.RevolutionLightingSecuritiesLitigation.com

**PROOF OF CLAIM AND RELEASE FORM**

To be potentially eligible to receive a share of the Net Settlement Fund in connection with the Settlement of this Action, you must complete and sign this Proof of Claim and Release Form (“Claim Form”). **This Claim Form must be postmarked (or received by email or electronic submission where applicable) no later than July 30, 2020.**

Failure to submit your Claim Form by the date specified will subject your claim to rejection and may preclude you from being eligible to receive any money in connection with the Settlement.

**Do not mail or deliver your Claim Form to the Court, the parties to the Action, or their counsel. Submit your Claim Form only to the Claims Administrator as specified herein.**

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**GENERAL INSTRUCTIONS**

To recover as a Class Member based on your claims in the Action entitled *In re Revolution Lighting Technologies, Inc. Securities Litigation*, No. 1:19-cv-00980-JPO (S.D.N.Y.) (the “Litigation”); you must complete and, on page 9 hereof, sign this Claim Form. If you fail to submit a timely and properly addressed (as set forth below) Claim Form, your claim may be rejected, and you may be precluded from any recovery from the Net Settlement Fund created in connection with the proposed Settlement. Submission of this Claim Form, however, does not assure that you will share in the proceeds of the Settlement of the Lawsuit.

**YOU MUST SUBMIT YOUR COMPLETED AND SIGNED CLAIM FORM, ACCOMPANIED BY COPIES OF THE DOCUMENTS REQUESTED HEREIN, SUCH THAT IT IS POSTMARKED (OR RECEIVED IF SENT VIA EMAIL TO [INFO@REVOLUTIONLIGHTINGSECURITIESLITIGATION.COM](mailto:INFO@REVOLUTIONLIGHTINGSECURITIESLITIGATION.COM), OR UPLOADED TO THE CASE WEBSITE BY A BROKER, NOMINEE, OR OTHER PERSON EXPRESSLY PERMITTED TO DO SO) ON OR BEFORE JULY 30, 2020, ADDRESSED AS FOLLOWS:**

Revolution Lighting Securities Litigation  
Claims Administrator  
c/o Epiq  
P.O. Box 4390  
Portland, OR 97208-4390

If you are NOT a Class Member (as defined in the Notice), DO NOT submit a Claim Form. Also, NOTE THAT CLAIMS CALCULATING TO AN AWARD LESS THAN \$10.00 WILL NOT BE PAID.

If you are a Class Member and you did not timely request exclusion, you are bound by the terms of any judgment entered in the Action, including the releases provided therein, WHETHER OR NOT YOU SUBMIT A CLAIM FORM.

**CLAIMANT IDENTIFICATION**

If you purchased or otherwise acquired Revolution Lighting Technologies, Inc. securities and held the certificate(s) in your name, you are the beneficial purchaser as well as the record purchaser. If, however, the certificate(s) was registered in the name of a third party, such as a nominee or brokerage firm, you are the beneficial purchaser, and the third party is the record purchaser.

Use Part I of this form entitled “Claimant Information” to identify yourself and each owner of record (“nominee”) if different from the beneficial owner of Revolution Lighting Technologies, Inc. common stock and call options that form the basis of this claim. **THIS CLAIM MUST BE FILED BY THE ACTUAL BENEFICIAL PURCHASER(S) OR ACQUIRER(S), OR THE LEGAL REPRESENTATIVE OF SUCH PURCHASER(S) OR ACQUIRER(S), OF THE SECURITIES UPON WHICH THIS CLAIM IS BASED.**

All joint purchasers or acquirers must sign this Claim Form. Executors, administrators, guardians, conservators, and trustees must complete and sign this Claim Form on behalf of persons represented by them, and their authority must accompany this claim, and their titles or capacities must be stated. The Social Security (or taxpayer identification) number and telephone number of the beneficial owner may be used in verifying the claim. Failure to provide the foregoing information could delay verification of your claim or result in rejection of the claim.

## **CLAIM FORM**

Use Parts II and III of this form to supply all required details of your transaction(s) in Revolution Lighting common stock, call options, and, whether such transactions resulted in a profit or a loss. If you need more space or additional schedules, attach separate sheets giving all the required information in substantially the same form. Sign and print or type your name on each additional sheet.

On the schedules, provide all the requested information with respect to (1) all of your purchases, acquisitions, and sales of Revolution Lighting common stock that took place between March 14, 2014 and February 12, 2019, inclusive; (2) all of your purchases of Revolution Lighting call options that took place at any time from March 14, 2014 through November 14, 2018, inclusive.

You must also provide all the requested information with respect to all the Revolution Lighting Technologies, Inc. common stock and call options you held at the opening of trading on March 14, 2014, as well as with respect to the common stock held at the close of trading on February 12, 2019, and the call options held at the close of trading on November 14, 2018. Failure to report all such transactions may result in the rejection of your claim.

List each transaction separately and in chronological order, by trade date, beginning with the earliest. You must accurately provide the month, day, and year of each transaction you list.

The date of covering a “short sale” is deemed to be the date of purchase of the Revolution Lighting Technologies, Inc. common stock. The date of a “short sale” is deemed to be the date of sale of the Revolution Lighting Technologies, Inc. common stock.

**COPIES OF BROKER CONFIRMATIONS OR OTHER DOCUMENTATION OF YOUR TRANSACTIONS IN REVOLUTION LIGHTING TECHNOLOGIES SECURITIES SHOULD BE ATTACHED TO YOUR CLAIM. FAILURE TO PROVIDE THIS DOCUMENTATION COULD DELAY VERIFICATION OF YOUR CLAIM OR RESULT IN REJECTION OF YOUR CLAIM.**

**NOTICE REGARDING ELECTRONIC FILES:** Certain claimants with large numbers of transactions may request, or may be requested, to submit information regarding their transactions in electronic files. To obtain the *mandatory* electronic filing requirements and file layout, you may visit the Settlement website at [www.RevolutionLightingSecuritiesLitigation.com](http://www.RevolutionLightingSecuritiesLitigation.com) or email the Claims Administrator’s electronic filing department at [info@RevolutionLightingSecuritiesLitigation.com](mailto:info@RevolutionLightingSecuritiesLitigation.com). **Any file not in accordance with the required electronic filing format will be subject to rejection.** No electronic files will be considered to have been properly submitted unless the Claims Administrator issues an email to that effect. **Do not assume that your file has been received until you receive this email.**

**PART I – CLAIMANT INFORMATION**

Beneficial Owner's First Name	MI	Beneficial Owner's Last Name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Co-Beneficial Owner's First Name	MI	Co-Beneficial Owner's Last Name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Entity Name (if claimant is not an individual)

Representative or Custodian Name (if different from Beneficial Owner[s] listed above)

Address 1

Address 2

City	State/Province	ZIP
<input type="text"/>	<input type="text"/>	<input type="text"/>

Foreign Country

Day Phone	Evening Phone
<input type="text"/> - <input type="text"/> - <input type="text"/>	<input type="text"/> - <input type="text"/> - <input type="text"/>

Email Address

Account Number

- Individual(s)  
  Corporation  
  UGMA Custodian  
  IRA  
  Partnership  
  Estate  
 Trust  
 Other \_\_\_\_\_

Enter Social Security Number or Taxpayer Identification Number Below for the Beneficial Owner(s):

Social Security No. (for individuals)	or	Taxpayer Identification No. (for estates, trusts, corporations, etc.)
<input type="text"/> - <input type="text"/> - <input type="text"/>		<input type="text"/> - <input type="text"/>

**PART II – TRANSACTIONS IN REVOLUTION LIGHTING TECHNOLOGIES, INC. COMMON STOCK**

**Beginning Holdings:**

1. State the total number of Revolution Lighting Technologies, Inc. common stock owned at the opening of trading on March 14, 2014, long or short (*must be documented*).

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**Purchases:**

2. Separately list each and every purchase of Revolution Lighting Technologies, Inc. common stock during the period between March 14, 2014 and November 14, 2018, inclusive, and provide the following information (*must be documented*).

Trade Date (List Chronologically) (MMDDYY)	Number of Shares Purchased	Price	Total Cost (Excluding Commissions, Taxes, and Fees)	Transaction Type (P/R)*

\*P – Purchase, R – Received (Transfer-In)

3. Purchase from November 15, 2018 through February 12, 2019. State the total number of Revolution Lighting Technologies, Inc. common stock purchases at the opening of trading on November 15, 2018 through and including the close of trading February 12, 2019 (*Must be documented*). If none, write “zero” or “0”.<sup>1</sup>

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**Sales:**

4. Separately list each and every sale of Revolution Lighting Technologies, Inc. common stock during the period between March 14, 2014 and February 12, 2019, inclusive, and provide the following information (*must be documented*).

Trade Date (List Chronologically) (MMDDYY)	Number of Shares Sold	Price	Amount Received (Excluding Commissions, Taxes, and Fees)	Transaction Type (S/D)*

<sup>1</sup> Please note: Information requested with respect to your purchase of Revolution Lighting Technologies, Inc. common stock at the close of trading on November 15, 2018 through and including the close of trading on February 12, 2019 (Section 3) is needed in order to calculate your claim; purchases during this period however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Loss pursuant to the Plan of Allocation.

\*S – Sale, D – Delivery (Transfer-Out)

**Ending Holdings:**

5. State the total number of Revolution Lighting Technologies, Inc. common stock owned at the close of trading on February 12, 2019, long or short (*must be documented*).

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**If additional space is needed, attach separate, numbered sheets, giving all required information, substantially in the same format, and print your name and Social Security or Taxpayer Identification number at the top of each sheet.**

**PART III – TRANSACTIONS IN REVOLUTION LIGHTING TECHNOLOGIES, INC. CALL OPTIONS**

**1. HOLDINGS AS OF MARCH 14, 2014** – State the total number of call options of Revolution Lighting Technologies, Inc. common stock held at the opening of trading on March 14, 2014 (*must be documented*).

Strike Price of Call Option Contract	Expiration Date of Call Option Contract (MMDDYY)	Number of Call Option Contracts in Which You Had an Open Interest	Insert an "E" if Exercised Insert an "X" if Expired	Insert an "X" if Short	IF NONE, CHECK HERE <input type="checkbox"/>
• [ ][ ] [ ][ ] [ ][ ]	[ ][ ][ ][ ] [ ][ ][ ][ ]	[ ][ ][ ][ ] [ ][ ][ ][ ]	[ ][ ][ ][ ] [ ][ ][ ][ ]	[ ][ ][ ][ ] [ ][ ][ ][ ]	
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**2. PURCHASES/ACQUISITIONS BETWEEN MARCH 14, 2014 AND NOVEMBER 14, 2018** – Separately list each and every purchase/acquisition (including free receipts) of call options of Revolution Lighting Technologies, Inc. common stock during the period between March 14, 2014 and November 14, 2018, inclusive, and provide the following information (*must be documented*).

Date of Purchase (List Chronologically) (MMDDYY)	Strike Price of Call Option Contract	Expiration Date of Call Option Contract (MMDDYY)	Number of Call Option Contracts Purchased	Purchase Price per Call Option Contract	Total Purchase Price (excluding taxes, commissions, and fees)	Insert an "E" if Exercised Insert an "X" if Expired	Exercise Date (MMDDYY)
[ ][ ][ ][ ] [ ][ ][ ][ ]	• [ ][ ] [ ][ ] [ ][ ]	[ ][ ][ ][ ] [ ][ ][ ][ ]	[ ][ ][ ][ ] [ ][ ][ ][ ]	[ ][ ][ ][ ] [ ][ ][ ][ ]	[ ][ ][ ][ ] [ ][ ][ ][ ]	[ ][ ][ ][ ] [ ][ ][ ][ ]	[ ][ ][ ][ ] [ ][ ][ ][ ]
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**3. SALES BETWEEN MARCH 14, 2014 AND NOVEMBER 14, 2018** – Separately list each and every sale/disposition (including free deliveries) of call options of Revolution Lighting Technologies, Inc. common stock during the period between March 14, 2014 and November 14, 2018, inclusive, and provide the following information (*must be documented*).

Date of Sale (List Chronologically) (MMDDYY)	Strike Price of Call Option Contract	Expiration Date of Call Option Contract (MMDDYY)	Number of Call Option Contracts Sold	Sale Price per Call Option Contract	Total Sale Price (excluding taxes, commissions, and fees)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**IF NONE, CHECK HERE**

**4. HOLDINGS AS OF NOVEMBER 14, 2018** – State the total number of call options of Revolution Lighting Technologies, Inc. common stock held open at the close of trading on November 14, 2018 (*must be documented*).

Strike Price of Call Option Contract	Expiration Date of Call Option Contract (MMDDYY)	Number of Call Option Contracts in Which You Had an Open Interest	Insert an "X" if Short
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
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<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

**IF NONE, CHECK HERE**

If additional space is needed, attach separate, numbered sheets, giving all required information, substantially in the same format, and print your name and Social Security or Taxpayer Identification number at the top of each sheet.

## **PART IV – SUBMISSION TO JURISDICTION OF COURT AND ACKNOWLEDGMENTS**

I (We) submit this Claim Form under the terms of the Stipulation described in the Notice. I (We) also submit to the jurisdiction of the Court, with respect to my (our) claim as a Class Member and for purposes of enforcing the release set forth herein. I (We) further acknowledge that I am (we are) bound by and subject to the terms of any judgment that may be entered in the Action. I (We) agree to furnish additional information to the Claims Administrator to support this claim if requested to do so. I (We) have not submitted any other claim covering the same purchases, acquisitions, or sales of Revolution Lighting Technologies, Inc. securities during the relevant period and know of no other person having done so on my (our) behalf.

## **PART V – RELEASE**

1. I (We) hereby acknowledge full and complete satisfaction of, and do hereby fully, finally, and forever settle, release, and discharge, any and all of the Defendant Releasees from all Released Plaintiffs' Claims.

2. "Released Plaintiffs' Claims" means all individual, representative and class claims, causes of action or rights of recovery of every nature and description, whether known or unknown, direct or indirect, asserted or unasserted, foreseen or unforeseen, matured or unmatured, contingent or vested, whether arising under federal, state, local, statutory, common, foreign or other law, rule or regulation, that Plaintiff or any other member of the Class (a) asserted in the Complaints, or (b) could have asserted or could in the future assert in any court or forum based upon, relating to or arising from the allegations, transactions, facts, matters or occurrences, errors, representations, actions, failures to act or omissions that were alleged, set forth, or referred to in the Complaints and that relate in any way, directly or indirectly, to the purchase or sale of Revolution Lighting common stock during the Class Period. Released Plaintiffs' Claims do not include (i) any claims relating to the enforcement of the Settlement or (ii) any Excluded Claims. "Released Plaintiffs' Claims" includes "Unknown Claims" as defined below.

3. "Released Defendants' Claims" means all claims and causes of action of every nature and description, whether known or unknown, whether arising under federal, state, common, or foreign law, that arise out of or relate in any way to the institution, prosecution, or settlement of the Litigation, except for claims relating to the enforcement of the Settlement. "Released Defendants' Claims" includes "Unknown Claims" as defined below.

4. "Unknown Claims" means any Released Plaintiffs' Claims which Lead Plaintiff or Class Members do not know or suspect to exist in his, her, their, or its favor at the time of the release of the Defendant Releasees, and any Released Defendants' Claims that any Defendant does not know or suspect to exist in his, her or its favor at the time of the release of the Plaintiff Releasees, which, if known by him, her, them, or it, might have affected his, her, their, or its decision(s) with respect to the Settlement, including the decision to object to the terms of the Settlement or to exclude himself, herself, or itself from the Class. With respect to any and all Released Plaintiffs' Claims and Released Defendants' Claims, the Settling Parties stipulate and agree that, upon the Effective Date, Lead Plaintiff and Defendants shall expressly waive and each of the Class Members shall be deemed to have, and by operation of the Judgment shall have, expressly waived the provisions, rights, and benefits of California Civil Code § 1542 and any law of any state or territory of the United States, or principle of common law, which is similar, comparable, or equivalent to California Civil Code § 1542, which provides:

A GENERAL RELEASE DOES NOT EXTEND TO CLAIMS THAT THE CREDITOR OR RELEASING PARTY DOES NOT KNOW OR SUSPECT TO EXIST IN HIS OR HER FAVOR AT THE TIME OF EXECUTING THE RELEASE AND THAT, IF KNOWN BY HIM OR HER, WOULD HAVE MATERIALLY AFFECTED HIS OR HER SETTLEMENT WITH THE DEBTOR OR RELEASED PARTY.

Lead Plaintiff, other Class Members, or Defendants may hereafter discover facts in addition to or different from those which he, she, they, or it now knows or believes to be true with respect to the subject matter of the Released Plaintiffs' Claims and the Released Defendants' Claims, but Lead Plaintiff and Defendants shall expressly settle and release and each Class Member, upon the Effective Date, shall be deemed to have, and by operation of the Judgment shall have, fully, finally, and forever settled and released any and all Released Plaintiffs' Claims and Released Defendants' Claims, known or unknown, suspected or unsuspected, contingent or non-contingent, disclosed or undisclosed, matured or unmatured, whether or not concealed or hidden, which now exist, or heretofore have existed, upon any theory of law or equity now existing or coming into existence in the future, including, but not limited to, conduct which is negligent, intentional, with or without malice, or a breach of any duty, law or rule, without regard to the subsequent discovery or existence of such different or additional facts. Lead Plaintiff and Defendants acknowledge, and the Class Members shall be deemed by operation of the Judgment to have acknowledged, that the foregoing waivers, and the inclusion of "Unknown Claims" in the definition of Released Plaintiffs' Claims and Released Defendants' Claims, were separately bargained for and material elements of the Settlement.



5. I (We) hereby warrant and represent that I (we) have not assigned or transferred or purported to assign or transfer, voluntarily or involuntarily, any matter released pursuant to this release or any other part or portion thereof.

6. I (We) hereby warrant and represent that I (we) have included information about all my (our) transactions in Revolution Lighting Technologies, Inc. securities that occurred during the relevant period, as well as the number of Revolution Lighting Technologies, Inc. securities held by me (us) at the close of trading on November 14, 2018, and February 12, 2019.

I (WE) DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE UNITED STATES OF AMERICA THAT ALL THE INFORMATION I (WE) PROVIDED ON THIS CLAIM FORM IS TRUE, CORRECT, AND COMPLETE.

Signature of claimant

(If this claim is being made on behalf of joint claimants, then each must sign)

(Signature)

Date: 

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MM DD YYYY

(Signature)

Date: 

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MM DD YYYY

(capacity of person[s] signing, e.g., beneficial purchaser[s], executor, administrator, or trustee) (See page 2 for instructions.)

**THIS CLAIM FORM MUST BE POSTMARKED (OR RECEIVED IF SENT VIA EMAIL TO INFO@REVOLUTIONLIGHTINGSECURITIESLITIGATION.COM, OR UPLOADED TO THE SETTLEMENT WEBSITE BY A BROKER, NOMINEE, OR OTHER PERSON EXPRESSLY PERMITTED TO DO SO) NO LATER THAN JULY 30, 2020, AND MUST BE MAILED TO:**

Revolution Lighting Securities Litigation  
Claims Administrator  
c/o Epiq  
P.O. Box 4390  
Portland, OR 97208-4390

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if mailed by July 30, 2020, and if a postmark is indicated on the envelope and it is mailed first-class, and addressed in accordance with the above instructions. In all other cases, a Claim Form shall be deemed to have been submitted when actually received by the Claims Administrator.

**REMINDER CHECKLIST**

- Please be sure to sign this Claim Form. If this Claim Form is submitted on behalf of joint claimants, then both claimants must sign.
- Please remember to attach supporting documents. Do NOT send any stock certificates. Keep copies of everything you submit.
- Do NOT use highlighter on the Claim Form or any supporting documents.
- If you move after submitting this Claim Form, please notify the Claims Administrator of the change in your address.

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