

# EXHIBIT D

# DISPUTED CLAIMS

CLAIM #  
DD9LUTW7SC

# PROOF OF CLAIM AND RELEASE

**OPKO Health, Inc. Securities Litigation**

**Toll-Free Number: 1-888-383-0345**

**Email: [info@OPKOHealthSecuritiesLitigation.com](mailto:info@OPKOHealthSecuritiesLitigation.com)**

**Website: [www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com)**

To be eligible to receive a share of the US Net Settlement Fund in connection with the Settlement of this Action based on your purchases of OPKO common stock on any U.S. stock exchange (including the New York Stock Exchange or the Nasdaq), you must complete and sign this Proof of Claim and Release Form ("Claim Form") and mail it by first-class mail to the address below, with supporting documentation. **postmarked no later than January 26, 2021.**

**Mail to:** **OPKO Health, Inc. Securities Litigation**  
**c/o JND Legal Administration**  
**P.O. Box 91360**  
**Seattle, WA 98111**

**Please Note:** If your only purchases of OPKO common stock during the Class Period were made on the Tel Aviv Stock Exchange (the "TASE") you should not submit this Claim Form. Your eligibility for a distribution from the Settlement based on shares purchased on the TASE will be determined based on information provided by your broker and does not require a Claim Form.

This Claim Form should only be used to report transactions and holdings of OPKO common stock traded on U.S. exchanges (or any other transactions in OPKO common stock purchased or acquired during the Class Period in any other manner other than purchases on the TASE).

**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 at the address set forth above.**

## CONTENTS

- 02 PART I - CLAIMANT INFORMATION
- 03 PART II - GENERAL INSTRUCTIONS
- 06 PART III - SCHEDULE OF TRANSACTIONS IN OPKO COMMON STOCK  
TRADED ON ANY U.S. STOCK EXCHANGE
- 08 PART IV - RELEASE OF CLAIMS AND SIGNATURE

Questions? Visit [www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com) or call toll-free at 1-888-383-0345

To view JND's privacy policy, please visit <https://www.jnda.com/privacy-policy>

# PART I – CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

**JAN 05 2021**

Beneficial Owner's First Name

L [REDACTED]

Beneficial Owner's Last Name

Alstadt

Joint Beneficial Owner's First Name (if applicable)

Joint Beneficial Owner's Last Name (if applicable)

If this claim is submitted for an IRA, and if you would like any check that you MAY be eligible to receive made payable to the IRA, please include "IRA" in the "Last Name" box above (e.g., Jones IRA).

Entity Name (if the Beneficial Owner is not an individual)

Name of Representative, if applicable (executor, administrator, trustee, etc.), if different from Beneficial Owner

Last 4 digits of Social Security Number or Taxpayer Identification Number

[REDACTED]

Street Address

[REDACTED]

City

[REDACTED]

State/Province

[REDACTED]

Zip Code

[REDACTED]

Foreign Postal Code (if applicable)

Foreign Country (if applicable)

Telephone Number (Day)

[REDACTED]

Telephone Number (Evening)

[REDACTED]

Email Address (email address is not required, but if you provide it you authorize the Claims Administrator to use it in providing you with information relevant to this claim):

### Type of Beneficial Owner:

Specify one of the following:

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

13. By submitting a signed Claim Form, you will be swearing that you:
- (a) own(ed) the OPKO common stock you have listed in the Claim Form; or
  - (b) are expressly authorized to act on behalf of the owner thereof.

14. By submitting a signed Claim Form, you will be swearing to the truth of the statements contained therein and the genuineness of the documents attached thereto, subject to penalties of perjury under the laws of the United States of America. The making of false statements, or the submission of forged or fraudulent documentation, will result in the rejection of your claim and may subject you to civil liability or criminal prosecution.

15. If the Court approves the Settlement, payments to eligible Authorized Claimants pursuant to the Plan of Allocation (or such other plan of allocation as the Court approves) will be made after any appeals are resolved, and after the completion of all claims processing. The claims process will take substantial time to complete fully and fairly. Please be patient.

16. **PLEASE NOTE:** As set forth in the Plan of Allocation, each Authorized Claimant shall receive his, her, or its *pro rata* share of the US Net Settlement Fund based on his, her, or its transactions in OPKO common stock that were traded on any U.S. exchanges. If the prorated payment to any Authorized Claimant calculates to less than \$10.00, it will not be included in the calculation and no distribution of the US Net Settlement Fund will be made to that Authorized Claimant.

17. If you have questions concerning the Claim Form, or need additional copies of the Claim Form or the Notice, you may contact the Claims Administrator, JND Legal Administration, at the above address, by email at [info@OPKOHealthSecuritiesLitigation.com](mailto:info@OPKOHealthSecuritiesLitigation.com), or by toll-free phone at 1-888-383-0345, or you can visit the website, [www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com), where copies of the Claim Form and Notice are available for downloading.

18. **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.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com) or you may email the Claims Administrator's electronic filing department at [OPKSecurities@JNDLA.COM](mailto:OPKSecurities@JNDLA.COM). **Any file not in accordance with the required electronic filing format will be subject to rejection.** Only one claim should be submitted for each separate legal entity (see ¶ 11 above) and the **complete** name of the beneficial owner of the securities must be entered where called for (see ¶ 10 above). No electronic files will be considered to have been 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. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at [OPKSecurities@JNDLA.com](mailto:OPKSecurities@JNDLA.com) to inquire about your file and confirm it was received.**

**IMPORTANT: PLEASE NOTE**

**YOUR CLAIM IS NOT DEEMED FILED UNTIL YOU RECEIVE AN ACKNOWLEDGEMENT POSTCARD. THE CLAIMS ADMINISTRATOR WILL ACKNOWLEDGE RECEIPT OF YOUR CLAIM FORM BY MAIL, WITHIN 60 DAYS. IF YOU DO NOT RECEIVE AN ACKNOWLEDGEMENT POSTCARD WITHIN 60 DAYS, CALL THE CLAIMS ADMINISTRATOR TOLL FREE AT 1-888-383-0345.**

# PART III – SCHEDULE OF TRANSACTIONS IN OPKO COMMON STOCK TRADED ON ANY U.S. STOCK EXCHANGE

The only eligible security is OPKO Health, Inc. common stock (Ticker: **OPK**, CUSIP: **68375N103**). Do not include information regarding securities other than OPKO common stock.

Include only transactions and holdings of OPKO common stock traded on U.S. exchanges (including the New York Stock Exchange or Nasdaq)<sup>1</sup>, or any other transactions in OPKO common stock during the Class Period, other than shares traded on the Tel Aviv Stock Exchange ("TASE"). Do not include any holdings or transactions in OPKO common stock traded on the TASE.

Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 8, above.

<b>1. HOLDINGS AS OF SEPTEMBER 26, 2013</b> – State the total number of shares of OPKO common stock traded on a U.S. exchange that you held as of the opening of trading on September 26, 2013. (Must be documented.) If none, write "zero" or "0."				<b>Confirm Proof of Position Enclosed</b>  <input type="checkbox"/>
<div style="border: 1px solid black; width: 200px; height: 30px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">0</div>				
<b>2. PURCHASES/ACQUISITIONS FROM SEPTEMBER 26, 2013 THROUGH SEPTEMBER 7, 2018</b> – Separately list each and every purchase or acquisition (including free receipts) of OPKO common stock traded on a U.S. exchange from after the opening of trading on September 26, 2013 through September 7, 2018. (Must be documented.)				
Date of Purchase/ Acquisition (List Chronologically) (Month/Day/Year)	Number of Shares Purchased/ Acquired	Purchase/ Acquisition Price Per Share	Total Purchase/ Acquisition Price (excluding any taxes, commissions, and fees)	Confirm Proof of Purchase Enclosed
7/8/2015	100	\$ 24.5689	\$ 2,456.89	<input checked="" type="checkbox"/>
7/8/2015	200	\$ 24.1339	\$ 4,829.78	<input checked="" type="checkbox"/>
7/27/2015	100	\$ 15.6997	\$ 1,569.97	<input checked="" type="checkbox"/>
7/8/2015	1100	\$ 11.0160	\$ 12,117.92	<input checked="" type="checkbox"/>
<b>3. PURCHASES/ACQUISITIONS FROM SEPTEMBER 8, 2018 THROUGH DECEMBER 4, 2018</b> – State the total number of shares of OPKO common stock traded on a U.S. exchange purchased or acquired (including free receipts) from September 8, 2018 through the close of trading on December 4, 2018. If none, write "zero" or "0."				
<div style="border: 1px solid black; width: 200px; height: 30px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">0</div>				

<sup>1</sup> In the United States, OPKO common stock traded on the New York Stock Exchange from the beginning of the Class Period through June 23, 2016 and on the Nasdaq from June 24, 2016 through the end of the Class Period.

<sup>2</sup> **Please note** Information requested with respect to your purchases and acquisitions of OPKO common stock traded on a U.S. exchange from September 8, 2018 through and including December 4, 2018 is needed in order to balance your claim. However, purchases during this period, or at or after 1:57 p.m. on September 7, 2018, are not eligible under the Settlement and will not be used for purposes of calculating your US Recognized Claim pursuant to the Plan of Allocation.

**4. SALES FROM SEPTEMBER 26, 2013 THROUGH DECEMBER 4, 2018** - Separately list each and every sale or disposition (including free deliveries) of OPKO common stock traded on a U.S. exchange from after the opening of trading on September 26, 2013 through the close of trading on December 4, 2018. (Must be documented.)

Date of Sale (List Chronologically) (Month/Day/Year)	Number of Shares Sold	Sale Price Per Share	Total Sale Price (not deducting any fees, commissions, and taxes)	Confirm Proof of Sale Enclosed
9/30/2016	1,500	\$ 10.57	\$ 15,795.65	<input checked="" type="checkbox"/>
1/1		\$	\$	<input type="checkbox"/>
1/1		\$	\$	<input type="checkbox"/>
1/1		\$	\$	<input type="checkbox"/>

**IF NONE, CHECK HERE**

**5. HOLDINGS AS OF DECEMBER 4, 2018** - State the total number of shares of OPKO common stock traded on a U.S. exchange that you held as of the close of trading on December 4, 2018. (Must be documented.) If none, write "zero" or "0."

Confirm Proof of Position Enclosed

IF YOU REQUIRE ADDITIONAL SPACE FOR THE SCHEDULE ABOVE, ATTACH EXTRA SCHEDULES IN THE SAME FORMAT. PRINT THE BENEFICIAL OWNER'S FULL NAME AND LAST FOUR DIGITS OF SOCIAL SECURITY/TAXPAYER IDENTIFICATION NUMBER ON EACH ADDITIONAL PAGE. IF YOU DO ATTACH EXTRA SCHEDULES, CHECK THIS BOX.

## PART IV - RELEASE OF CLAIMS AND SIGNATURE

### YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON PAGE 9 OF THIS CLAIM FORM.

I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) and my (our) (the claimant(s)'s) heirs, executors, administrators, predecessors, successors, and assigns, in their capacities as such, shall be deemed to have, and by operation of law and of the judgment shall have, fully, finally, and forever compromised, settled, released, resolved, relinquished, waived, and discharged each and every Released Plaintiffs' Claim (including, without limitation, any Unknown Claims) against the Defendants' Releasees; and shall forever be barred and enjoined from prosecuting any or all of the Released Plaintiffs' Claims against any of the Defendants' Releasees.

### CERTIFICATION

By signing and submitting this Claim Form, the claimant(s) or the person(s) who represent(s) the claimant(s) agree(s) to the release above and certifies (certify) as follows:

1. that I (we) have read and understand the contents of the Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;
2. that the claimant(s) is a (are) Settlement Class Member(s), as defined in the Notice, and is (are) not excluded by definition from the Settlement Class as set forth in the Notice;
3. that the claimant(s) did **not** submit a request for exclusion from the Settlement Class;
4. that I (we) own(ed) the OPKO common stock identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Defendants' Releasees to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
5. that the claimant(s) has (have) not submitted any other claim covering the same purchases of OPKO common stock and knows (know) of no other person having done so on the claimant's (claimants') behalf;
6. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;
7. that I (we) agree to furnish such additional information with respect to this Claim Form as Lead Counsel, the Claims Administrator, or the Court may require;
8. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this Claim, and waives any right of appeal or review with respect to such determination;
9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and

10. that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. **If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.**

UNDER THE PENALTIES OF PERJURY, I (WE) CERTIFY THAT ALL OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM FORM IS TRUE, CORRECT, AND COMPLETE, AND THAT THE DOCUMENTS SUBMITTED HERewith ARE TRUE AND CORRECT COPIES OF WHAT THEY PURPORT TO BE.

[Signature]  
Signature of claimant

January 2, 2021  
Date

L. Alstadt  
Print claimant name here

\_\_\_\_\_  
Signature of joint claimant, if any

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print joint claimant name here

**If the claimant is other than an individual, or is not the person completing this form, the following also must be provided:**

\_\_\_\_\_  
Signature of person signing on behalf of claimant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print name of person signing on behalf of claimant here

Capacity of person signing on behalf of claimant, if other than an individual (e.g., executor, president, trustee, custodian, etc. (Must provide evidence of authority to act on behalf of claimant – see ¶ 12 on page 4 of this Claim Form.)

# REMINDER CHECKLIST



1. Sign the above release and certification. If this Claim Form is being made on behalf of joint claimants, then both must sign.



2. Attach only **copies** of acceptable supporting documentation as these documents will not be returned to you.



3. Do not highlight any portion of the Claim Form or any supporting documents.



4. Keep copies of the completed Claim Form and documentation for your own records.



5. The Claims Administrator will acknowledge receipt of your Claim Form by mail, within 30 days. Your claim is not deemed filed until you receive an acknowledgement postcard. **If you do not receive an acknowledgement postcard within 60 days, please call the Claims Administrator toll free at 1-888-383-0345.**



6. If your address changes in the future, or if this Claim Form was sent to an old or incorrect address, you must send the Claims Administrator written notification of your new address. If you change your name, inform the Claims Administrator.



7. If you have any questions or concerns regarding your claim, contact the Claims Administrator at the address below, by email at [info@OPKOHealthSecuritiesLitigation.com](mailto:info@OPKOHealthSecuritiesLitigation.com), or by toll-free phone at 1-888-383-0345, or you may visit [www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com). DO NOT call OPKO or its counsel with questions regarding your claim.

**THIS CLAIM FORM MUST BE MAILED TO THE CLAIMS ADMINISTRATOR BY FIRST-CLASS MAIL, POSTMARKED NO LATER THAN JANUARY 26, 2021, ADDRESSED AS FOLLOWS:**

*OPKO Health, Inc. Securities Litigation*  
c/o JND Legal Administration  
P.O. Box 91360  
Seattle, WA 98111

1-888-383-0345

[www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com)

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if a postmark date on or before January 26, 2021 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.

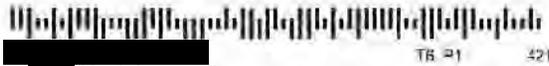
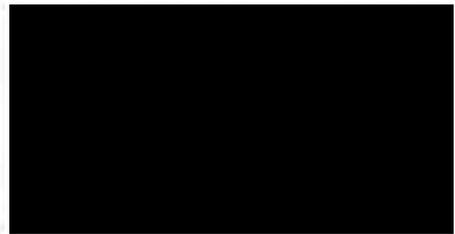
You should be aware that it will take a significant amount of time to fully process all of the Claim Forms. Please be patient and notify the Claims Administrator of any change of address.



**SALOMON WHITNEY**  
FINANCIAL

300 Broad Hollow Road  
Suite 4  
Farmingdale, NY 11735  
Phone: [REDACTED]  
Member (1916) SIPC 03840

Settlement Date: 10/05/16  
Account Number: [REDACTED]  
Introducing Broker: 31.31



[REDACTED] ALSTADT  
[REDACTED]

Your introducing broker is pleased to confirm the following sale transaction.

Trade Date	Security Description	Symbol	Cusip/Sec. No.	Qty Sold	Price
09/30/16	OPKO HEALTH INC	OPK	68375N103	1,500	10,57000

Your introducing broker capacity:  
AS AGENT FOR YOU AND FOR YOUR ACCOUNT AND RISK  
ON THE OVER-THE-COUNTER MARKET.

Principal:	\$15,855.00
Misc Fee:	\$0.35
Firm Commission:	\$59.00
Net Amount:	\$15,795.65

Special remarks for this transaction:  
PREFERRED RATE APPLIED  
ACCOUNT SUBJECT TO 28% BACKUP WITHHOLDING

Firm Commission assessed on all transactions and in addition to broker commission.



Subject to terms on reverse side. Please retain for your records.

CLEARED THROUGH:  
COR Clearing LLC • 1200 Landmark Center, Suite 800 • Omaha, NE 68102-1916 • 402-384-6101  
www.corclearing.com  
Member FINRA & SIPC

<b>COR CLEARING LLC</b>	Account <span style="background-color: black; color: black;">XXXXXXXXXX</span>
<b>Proceeds from Broker and Barter Exchange Transactions</b>	
2018 1099-B* OMB No. 1545-0713	01/24/2017

Sales transactions are organized into sections according to term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Assumed market discount and Wash sale loss disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used. The change in control condition is reported to the IRS for covered lots. Neither the disallowance of loss due to other corporate action nor the amount of gain or loss is reported to the IRS in any instance.

Some tax lots may have notations in the column of additional information because they require special treatment on your tax returns. Sales of securities such as Contingent Payment Debt Instruments (CPDI) are marked as "Ordinary" because gains and losses on these instruments generally do not qualify as short- or long-term capital transactions. Similarly, lots noted as "12- [X] Collectible" are handled differently under the tax code. These conditions are reported to the IRS. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment for these scenarios.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of the amount received when the option was written and the cost to close the position.

FATCA filing requirement

**LONG-TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 3)**

Reports on Form 9949, Part II with Box D checked. Basis is provided to the IRS. (Line 3)

\*Gain or loss (-) is NOT reported to the IRS

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
OPKH HEALTH INCL / CUSIP: 68375N103 / Symbol: QPK							
5 transactions for 09/30/16. Total proceeds and cost reported to the IRS:							
	100,000	1,053.04	07/08/15	2,466.89	0.00	-1,403.85	Sale <sup>XX</sup> Original basis: \$1,701.60
	200,000	2,106.09	07/08/15	4,629.70	0.00	-2,723.70	Sale <sup>XX</sup> Original basis: \$2,203.20
	100,000	1,053.04	07/27/15	1,569.97	0.00	-516.93	Sale <sup>XX</sup> Original basis: \$1,701.60
	419,000	4,412.25	08/08/15	4,615.72	0.00	-203.47	Sale
	661,000	7,171.24	09/08/15	7,501.92	0.00	-330.68	Sale
09/30/16	1,000,000	15,795.65	Various	20,974.28	0.00	5,178.63	Total of 5 transactions
<b>Totals:</b>		<b>15,795.65</b>		<b>20,974.28</b>		<b>-5,178.63</b>	

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).



[Redacted]

January 2, 2021

JAN 05 2021

OPKO Health, Inc. Securities Litigation  
c/o JND Legal Administration  
P.O. Box 91360  
Seattle, WA 98111

Re: Claim in OPKO Health, Inc. Securities Litigation

Administrator,

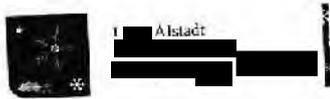
Enclosed is the Proof of Claim and Release that I have completed and signed for the OPKO Health, Inc. Securities Litigation. As proof of my claim I have attached to the last page of the completed form a Trade Confirmation dated 10/05/16 for my sale of OPKO shares on 9/30/2016 and a page from the 1099-B form that I received from COR Clearing LLC. The 1099-B form contains a list of the dates on which I purchased the OPKO shares that I sold on 9/30/2016 as well as the dates acquired, proceeds and costs for the purchase transactions of the shares that I sold on 9/30/2016.

If you require any additional information please call me or contact me by mail.

Very truly yours,

  
J. Alstadt

Enclosure



1000



98111

U.S. POSTAGE PAID

JAN 05 21  
AMOUNT

**\$1.20**

R2300\$104054-11

JAN 05 2021

OPKO Health, Inc. Securities Litigation  
c/o JND Legal Administration  
P.O. Box 91360  
Seattle, WA 98111



Claim ID: DD9LUTW7SC

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Email: [info@OPKOHealthSecuritiesLitigation.com](mailto:info@OPKOHealthSecuritiesLitigation.com)  
Toll-Free Number: 1-888-383-0345  
Settlement Website: [www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com)

L [REDACTED] ALSTADT  
[REDACTED]  
[REDACTED], [REDACTED]  
UNITED STATES

Mailing Date: 3/19/2021  
Response Due Date: 04/08/2021

Claim ID: DD9LUTW7SC

Eligible Security: OPKO common stock

Class Period: Between September 26, 2013, and  
September 7, 2018, inclusive

## **NOTICE OF INELIGIBLE CLAIM SUBMISSION**

Dear Claimant:

We received and processed the Proof of Claim and Release (“Claim” or “Claim Form”) you submitted for payment from the US Net Settlement Fund in the above-referenced securities litigation settlement. We have determined based on our review of your Claim, that the Claim is ineligible for the reason(s) identified below. To resolve the ineligibility, you must submit a written response with any required documentation as specified below postmarked no later than the response due date printed at the top of this Notice. Please include a copy of this Notice with your response.

**This is the only notice you will receive with respect to this Claim.**

### **Reason for ineligibility (Please see below for explanation):**

#### **CLAIM DOES NOT CALCULATE TO A US RECOGNIZED CLAIM UNDER THE PLAN OF ALLOCATION**

##### **Description**

In accordance with the Plan of Allocation set forth in the Notice of (I) Pendency of Class Action and Proposed Settlement; (II) Settlement Fairness Hearing; and (III) Motion for Attorneys’ Fees and Litigation Expenses, the Claim referenced above does not calculate to a US Recognized Claim and is, therefore, ineligible to receive a payment from the US Net Settlement Fund. The Plan of Allocation is set forth on pages 19 through 25 of the Notice, which can be viewed on or downloaded from [www.OpkoHealthSecuritiesLitigation.com](http://www.OpkoHealthSecuritiesLitigation.com).



Claim ID: DD9LUTW7SC

**Please note, just because you may have suffered a market loss, does not mean you have a US Recognized Claim under the Plan of Allocation and will be eligible for a payment.** Claims are calculated in accordance with the Plan of Allocation. For one example, you would not be eligible for payment if you sold all the shares of OPKO common stock you purchased during the Class Period before September 7, 2018.

### **How to Fix**

You can resolve this condition of ineligibility only by submitting additional purchase transactions of OPKO common stock during the Class Period, *i.e.*, from September 26, 2013, through September 7, 2018, inclusive, that were traded on a U.S. exchange, including the NYSE or Nasdaq, or in any other manner other than through a purchase on the Tel Aviv Stock Exchange that were not previously reflected in your Claim and which make your Claim calculate to a US Recognized Claim. You must also support any additional transactions with acceptable documentation.

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

**Please note, even if you cure the noted ineligibility, your Claim must then calculate to a US Recognized Claim under the Plan of Allocation in order to be included in the list of eligible Claims presented to the Court for approval.** If you disagree with the conditions identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review, you must send a letter to the Claims Administrator at the address indicated above no later than the response due date set forth above. Your letter, which must be signed, must: (1) specifically state that you "request that the Court review the full rejection of your Claim"; (2) state your argument(s) for why you are contesting the full rejection of the Claim; and (3) include any and all documentation supporting your arguments. A copy of this letter must be included with your request for Court review.

**PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE WAY THE CLAIMS ADMINISTRATOR APPLIED THE PLAN OF ALLOCATION TO THE CALCULATION OF YOUR PARTICULAR CLAIM. IF YOU REQUEST COURT REVIEW, YOUR CLAIM AND THE SUPPORTING DOCUMENTATION WILL BE SUBMITTED TO THE COURT FOR CONSIDERATION AND WILL BECOME PART OF THE PUBLIC RECORD. FINANCIAL ACCOUNT NUMBERS AND CERTAIN OTHER PERSONAL INFORMATION PROVIDED ON YOUR CLAIM FORM AND THE SUPPORTING DOCUMENTATION WILL BE REDACTED TO PROTECT YOUR PRIVACY.**

Sincerely,

JND Legal Administration



LEGAL  
ADMINISTRATION

Claim ID: DD9LUTW7SC

APR 12 2021

**OPKO Health Securities Litigation**  
c/o JND Legal Administration  
P.O. Box 91360  
Seattle, WA, 98111

Email: [info@OPKOHealthSecuritiesLitigation.com](mailto:info@OPKOHealthSecuritiesLitigation.com)  
Toll-Free Number: 1-888-383-0345  
Settlement Website: [www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com)

L. ALSTADT  
[REDACTED]  
[REDACTED]  
[REDACTED]  
UNITED STATES

Mailing Date: 3/19/2021  
Response Due Date: 04/08/2021

Claim ID: DD9LUTW7SC

Eligible Security: OPKO common stock

Class Period: Between September 26, 2013, and  
September 7, 2018, inclusive

## **NOTICE OF INELIGIBLE CLAIM SUBMISSION**

Dear Claimant:

We received and processed the Proof of Claim and Release ("Claim" or "Claim Form") you submitted for payment from the US Net Settlement Fund in the above-referenced securities litigation settlement. We have determined based on our review of your Claim, that the Claim is ineligible for the reason(s) identified below. To resolve the ineligibility, you must submit a written response with any required documentation as specified below postmarked no later than the response due date printed at the top of this Notice. Please include a copy of this Notice with your response.

This is the only notice you will receive with respect to this Claim.

### **Reason for ineligibility (Please see below for explanation):**

#### **CLAIM DOES NOT CALCULATE TO A US RECOGNIZED CLAIM UNDER THE PLAN OF ALLOCATION**

##### **Description**

In accordance with the Plan of Allocation set forth in the Notice of (I) Pendency of Class Action and Proposed Settlement; (II) Settlement Fairness Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses, the Claim referenced above does not calculate to a US Recognized Claim and is, therefore, ineligible to receive a payment from the US Net Settlement Fund. The Plan of Allocation is set forth on pages 19 through 25 of the Notice, which can be viewed on or downloaded from [www.OpkoHealthSecuritiesLitigation.com](http://www.OpkoHealthSecuritiesLitigation.com).



LEGAL  
ADMINISTRATION

Claim ID: DD9LUTW7SC

**Please note, just because you may have suffered a market loss, does not mean you have a US Recognized Claim under the Plan of Allocation and will be eligible for a payment.** Claims are calculated in accordance with the Plan of Allocation. For one example, you would not be eligible for payment if you sold all the shares of OPKO common stock you purchased during the Class Period before September 7, 2018.

### **How to Fix**

You can resolve this condition of ineligibility only by submitting additional purchase transactions of OPKO common stock during the Class Period, i.e., from September 26, 2013, through September 7, 2018, inclusive, that were traded on a U.S. exchange, including the NYSE or Nasdaq, or in any other manner other than through a purchase on the Tel Aviv Stock Exchange that were not previously reflected in your Claim and which make your Claim calculate to a US Recognized Claim. You must also support any additional transactions with acceptable documentation.

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

**Please note, even if you cure the noted ineligibility, your Claim must then calculate to a US Recognized Claim under the Plan of Allocation in order to be included in the list of eligible Claims presented to the Court for approval.** If you disagree with the conditions identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review, you must send a letter to the Claims Administrator at the address indicated above no later than the response due date set forth above. Your letter, which must be signed, must: (1) specifically state that you "request that the Court review the full rejection of your Claim"; (2) state your argument(s) for why you are contesting the full rejection of the Claim; and (3) include any and all documentation supporting your arguments. A copy of this letter must be included with your request for Court review.

**PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE WAY THE CLAIMS ADMINISTRATOR APPLIED THE PLAN OF ALLOCATION TO THE CALCULATION OF YOUR PARTICULAR CLAIM. IF YOU REQUEST COURT REVIEW, YOUR CLAIM AND THE SUPPORTING DOCUMENTATION WILL BE SUBMITTED TO THE COURT FOR CONSIDERATION AND WILL BECOME PART OF THE PUBLIC RECORD. FINANCIAL ACCOUNT NUMBERS AND CERTAIN OTHER PERSONAL INFORMATION PROVIDED ON YOUR CLAIM FORM AND THE SUPPORTING DOCUMENTATION WILL BE REDACTED TO PROTECT YOUR PRIVACY.**

Sincerely,

JND Legal Administration

[REDACTED]  
[REDACTED]  
[REDACTED]  
April 5, 2021

OPKO Health, Inc. Securities Litigation  
c/o JND Legal Administration  
P.O. Box 91360  
Seattle, WA 98111

**Re: Claim ID DD9LUTW7SC in OPKO Health, Inc. Securities Litigation**  
**Request for Court Review of Full Rejection of My Claim**

Administrator,

I request that the Court review the full rejection of my above identified claim as set forth in the letter dated 3/19/2021 from JND Legal Administration. I further request that the Court reverse the rejection and order that my claim be accepted as filed.

In support of this request I submit a copy of the following documents that were previously submitted with my proof of claim:

1. A Trade Confirmation having a settlement date of 10/05/16 from Salomon Whitney Financial for sale of my 1,500 shares of OPKO Health Inc. common stock on 9/30/2016. This Trade Confirmation gives that address of Salomon Whitney Financial as 400 Broad Hollow Road, Suite 4, Farmingdale, NY 11735. The bottom of the Trade Confirmation says "CLEARED THROUGH: COR Clearing LLC \* 1200 Landmark Center, Suite 800 \* Omaha, NE 68102-1916.
2. Page 3 from the 2016 1099-B form dated 1/24/2017 that I received from COR Clearing LLC. This page reports the sale of the 1,500 shares of OPKO Health Inc. common stock on 09/30/16 and lists from their records the dates 07/08/15, 07/28/15 and 09/18/15 as the dates on which I purchased these shares. In addition, this form states the proceeds from the sale and the cost basis of the shares. The 1099-B form also shows that I suffered a loss of \$5,178.63.

My account number has been redacted from these documents.

A copy of the letter dated 3/19/2021 from JND Legal Administration is also enclosed.

April 5, 2021

Page 2

### Argument

The Reason for Ineligibility stated in the letter from JND Legal Administration is, "CLAIM DOES NOT CALCULATE TO A US RECOGNIZED CLAIM UNDER THE PLAN ALLOCATION". The letter does not provide any explanation as to why my claim is not a US recognized claim. The description of the refusal simply restates the conclusion that "the Claim referenced above does not calculate to a US Recognized Claim" and refers to paragraphs 19 through 25 of the Notice of (I) Pendency of Class Action and Proposed Settlement; (II) Settlement Fairness Hearing; and (III) Motion for Attorney's Fees and Expenses.

Paragraph 23 of the Notice says, "The Settlement Class consists of: all persons or entities that purchased or otherwise acquired OPKO common stock during the period from September 26, 2015 through September 7, 2018, inclusive ("the Class Period") including, but not limited to, on either a U.S.-based exchange (including the New York Stock Exchange and Nasdaq) or on the Tel Aviv Stock Exchange, and who were damaged thereby."

The Trade Confirmation dated 10/05/16 from Salomon Whitney Financial and 1099-B form that I received from COR Clearing LLC, provides clear and convincing evidence that I purchased of the 1,500 shares of OPKO Health Inc. common stock on 07/08/15, 7/27/15 and 09/18/15, that I sold those shares 09/30/16 and that I suffered a loss of \$5,178.63.

These documents do not identify the exchange on which the shares were purchased. However, footnote 1 on page 6 of the Proof of Claim form provided to me for submission of my claim says, "In the United States, OPKO common stock traded on the New York Stock Exchange from the beginning of the Class Period through June 23, 2016 and on the Nasdaq from June 24, 2016 through the end of the class period."

The documents submitted with this request show that, in 2015 and 2016 I lived in the United States and that both Salomon Whitney Financial and COR Clearing LLC were brokerage firms located and doing business in the United States. According to a press release dated February 4, 2019, announcing the acquisition of COR Clearing LLC by AXOS Financial Inc. "COR Clearing [was] a full-service, independent securities clearing firm servicing retail and online broker-dealers and registered investment advisers throughout the United States. COR Clearing [was] a registered broker-dealer in all 50 states and [was] regulated by FINRA, the SEC, and additional Self-Regulatory Organizations (SROs). COR Clearing [was] the wholly-owned subsidiary of COR Securities Holdings Inc."

<https://www.axos.com/press-releases/2019/02/04/axos-acquires-cor-clearing-llc>  
COR Clearing LLC

Consequently, it would be unreasonable to conclude that my 1,500 shares of OPKO Health Inc. common stock were not acquired through a U.S.-based exchange. Indeed, this evidence leads to the inescapable conclusion that my 1,500 shares of OPKO Health Inc. were purchased on the New York Stock exchange.

April 5, 2021  
Page 3

For the foregoing reasons I respectfully request that the Court reverse the full rejection of my above identified claim as set forth in the letter dated 3/19/2021 from JND Legal Administration and order that my claim be accepted as filed.

Respectfully submitted,

Handwritten signature in cursive script, appearing to read "L. Alstadt".

L. Alstadt, Claimant  
Attorney at Law

A solid black rectangular redaction box covering contact information.

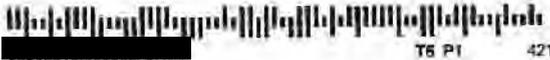
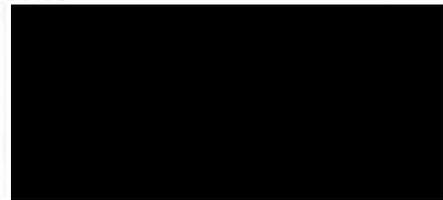
Enclosures



**SALOMON WHITNEY**  
FINANCIAL

400 Broad Hollow Road  
Suite 7  
Farmingdale, NY 11735  
Phone: [REDACTED]  
Member FINRA/SIPC/MSRB

Settlement Date: 10/05/16  
Account Number:  
Introducing Broker: 3L31



[REDACTED] ALSTADT  
[REDACTED]  
[REDACTED]

Your introducing broker is pleased to confirm the following sale transaction.

Trade Date	Security Description	Symbol	Cusip/Sec. No.	Qty Sold	Price
09/30/16	OPKO HEALTH INC	OPK	68375N103	1,500	10.57000

Your introducing broker capacity:  
AS AGENT FOR YOU AND FOR YOUR ACCOUNT AND RISK  
ON THE OVER-THE-COUNTER MARKET.

Principal:	\$15,855.00
Misc Fee:	\$0.35
Firm Commission:	\$59.00
Net Amount:	\$15,795.65

Special remarks for this transaction:  
PREFERRED RATE APPLIED  
ACCOUNT SUBJECT TO 28% BACKUP WITHHOLDING

Firm Commission assessed on all transactions and in addition to broker commission.



Subject to terms on reverse side. Please retain for your records.

CLEARED THROUGH:  
COR Clearing LLC • 1200 Landmark Center, Suite 800 • Omaha, NE 68102-1916 • 402-384-6101  
www.corclearing.com  
Member FINRA & SIPC

COR CLEARING LLC		Account
<b>Proceeds from Broker and Barter Exchange Transactions</b>		
2016	1099-B* OMB No. 1545-0715	01/24/2017

Sales transactions are organized into sections according to term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued market discount and Wash sale loss disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used. The change in control condition is reported to the IRS for covered lots. Neither the disallowance of loss due to other corporate action nor the amount of gain or loss is reported to the IRS in any instance.

Some tax lots may have notations in the column of additional information because they require special treatment on your tax returns. Sales of securities such as Contingent Payment Debt Instruments (CPDI) are marked as "Ordinary" because gains and losses on these instruments generally do not qualify as short- or long-term capital transactions. Similarly, lots noted as "12- (X) Collectible" are handled distinctly under the tax code. These conditions are reported to the IRS. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment for these scenarios.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of the amount received when the option was written and the cost to close the position.

FATCA filing requirement [ ]

**LONG TERM TRANSACTIONS FOR COVERED TAX LOTS** (Ordinary gains or losses are identified in the Additional information column) (Lines 2 & 3)

Report on Form 8948, Part II with Box D checked. Basis is provided to the IRS. (Line 3)  
 \*Gain or loss (-) is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) & also not reported (Z)	Additional Information
OPKO HEALTH INC / CUSIP: 66375N103 / Symbol: OPK							
5 transactions for 09/30/16. Total proceeds and cost reported to the IRS.							
	100.000	1,053.04	07/08/15	2,456.89	0.00	-1,403.85	Sale <sup>XX</sup> Original basis: \$1,101.60
	200.000	2,106.08	07/08/15	4,829.78	0.00	-2,723.70	Sale <sup>XX</sup> Original basis: \$2,305.20
	100.000	1,053.04	07/27/15	1,569.97	0.00	-516.93	Sale <sup>XX</sup> Original basis: \$1,101.60
	119.000	4,412.25	09/08/15	4,615.72	0.00	-203.47	Sale
	581.000	7,171.24	09/08/15	7,601.92	0.00	-330.68	Sale
09/30/16	1,500.000	15,795.65	Various	20,974.28	0.00	-5,178.63	Total of 5 transactions
<b>Totals :</b>		<b>15,795.65</b>		<b>20,974.28</b>		<b>-5,178.63</b>	

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax returns(s).



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5 APR 2021 PM 4 L

APR 1 2 2021

OPKO Health, Inc. Securities Litigation  
c/o JND Legal Administration  
P.O. Box 91360  
Seattle, WA 98111

98111-004660

Alstair  
██████████  
██████████ PA



[REDACTED]

**From:** [REDACTED]  
**Sent:** Thursday, May 13, 2021 3:09 PM  
**To:** CA - info@OPKOHealthSecuritiesLitigation.com; [REDACTED].alstadt@[REDACTED]  
**Subject:** RE: In re: Your OPKO Health Securities Litigation Claim and Court Review

[REDACTED],

Thank you for your time earlier. We are just sending a follow up to confirm that the below email and written explanation has been received.

Please reach out if you have any questions.

Regards,

Claims Administrator (MT)  
OPKO Health Securities Litigation  
1-888-383-0345  
[www.opkohealthsecuritieslitigation.com](http://www.opkohealthsecuritieslitigation.com)

[REDACTED]

CONFIDENTIALITY NOTICE: This email transmission, and any documents, files or previous e-mail messages attached to it may contain confidential information that is legally privileged. If you are not the intended recipient, or a person responsible for delivering it to the intended recipient, you are hereby notified that any disclosure, copying, distribution or use of any of the information contained in or attached to this transmission is STRICTLY PROHIBITED. If you have received this transmission in error, please immediately notify the sender. Please destroy the original transmission and its attachments without reading or saving in any manner.

---

**From:** CA - info@OPKOHealthSecuritiesLitigation.com  
**Sent:** Thursday, May 6, 2021 6:41 PM  
**To:** [REDACTED].alstadt@[REDACTED] <[REDACTED].alstadt@[REDACTED]>  
**Cc:** CA - info@OPKOHealthSecuritiesLitigation.com <info@OPKOHealthSecuritiesLitigation.com>  
**Subject:** In re: Your OPKO Health Securities Litigation Claim and Court Review

[REDACTED],

Thank you for your time earlier. As per our discussion, you requested a written explanation of your why your claim did not calculate to a loss under the Plan of Allocation. Please note that a Recognized Loss is not the same as a market loss.

As per the Plan of Allocation (found on Page 19 of the Notice on the case website), for shares purchased on a U.S. Exchange, all shares sold before 1:57 p.m. Eastern time on September 7, 2018 have a US Recognized Loss of \$0.00. As the entirety of your purchases were sold on 9/30/2016, all shares in your claim would have a recognized loss of \$0.00.

Should this be a sufficient explanation, we will withdraw your court review as court review is intended for errors in processing and auditing and not the calculation itself.

Please reach out if you have any questions.

Regards,

Claims Administrator (MT)  
OPKO Health Securities Litigation  
1-888-383-0345  
[www.opkohealthsecuritieslitigation.com](http://www.opkohealthsecuritieslitigation.com)

CLAIM #  
DHSTQB2RGX

# PROOF OF CLAIM AND RELEASE

9/25/15  
1/11/16

**OPKO Health, Inc. Securities Litigation**  
Toll-Free Number: 1-888-383-0345  
Email: [info@OPKOHealthSecuritiesLitigation.com](mailto:info@OPKOHealthSecuritiesLitigation.com)  
Website: [www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com)

To be eligible to receive a share of the US Net Settlement Fund in connection with the Settlement of this Action based on your purchases of OPKO common stock on any U.S. stock exchange (including the New York Stock Exchange or the Nasdaq), you must complete and sign this Proof of Claim and Release Form ("Claim Form") and mail it by first-class mail to the address below, with supporting documentation, **postmarked no later than January 26, 2021**.

**Mail to:** **OPKO Health, Inc. Securities Litigation**  
c/o JND Legal Administration  
P.O. Box 91360  
Seattle, WA 98111

**Please Note:** If your only purchases of OPKO common stock during the Class Period were made on the Tel Aviv Stock Exchange (the "TASE") you should not submit this Claim Form. Your eligibility for a distribution from the Settlement based on shares purchased on the TASE will be determined based on information provided by your broker and does not require a Claim Form.

This Claim Form should only be used to report transactions and holdings of OPKO common stock traded on U.S. exchanges (or any other transactions in OPKO common stock purchased or acquired during the Class Period in any other manner other than purchases on the TASE).

**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 at the address set forth above.**

## CONTENTS

- 02 PART I - CLAIMANT INFORMATION
- 03 PART II - GENERAL INSTRUCTIONS
- 06 PART III - SCHEDULE OF TRANSACTIONS IN OPKO COMMON STOCK TRADED ON ANY U.S. STOCK EXCHANGE
- 08 PART IV - RELEASE OF CLAIMS AND SIGNATURE

# PART I - CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

Beneficial Owner's First Name

Beneficial Owner's Last Name

[Redacted]

CHAN

Joint Beneficial Owner's First Name (if applicable)

Joint Beneficial Owner's Last Name (if applicable)

[Redacted]

[Redacted]

If this claim is submitted for an IRA, and if you would like any check that you MAY be eligible to receive made payable to the IRA, please include "IRA" in the "Last Name" box above (e.g., Jones IRA).

Entity Name (if the Beneficial Owner is not an individual)

[Redacted]

Name of Representative, if applicable (executor, administrator, trustee, etc.), if different from Beneficial Owner

[Redacted]

Last 4 digits of Social Security Number or Taxpayer Identification Number

[Redacted]

Street Address

[Redacted]

City

State/Province

Zip Code

[Redacted]

[Redacted]

[Redacted]

Foreign Postal Code (if applicable)

Foreign Country (if applicable)

[Redacted]

[Redacted]

Telephone Number (Day)

Telephone Number (Evening)

[Redacted]

[Redacted]

Email Address (email address is not required, but if you provide it you authorize the Claims Administrator to use it in providing you with information relevant to this claim)

[Redacted]

Type of Beneficial Owner:

Specify one of the following:

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

13. By submitting a signed Claim Form, you will be swearing that you:
- (a) own(ed) the OPKO common stock you have listed in the Claim Form; or
  - (b) are expressly authorized to act on behalf of the owner thereof.

14. By submitting a signed Claim Form, you will be swearing to the truth of the statements contained therein and the genuineness of the documents attached thereto, subject to penalties of perjury under the laws of the United States of America. The making of false statements, or the submission of forged or fraudulent documentation, will result in the rejection of your claim and may subject you to civil liability or criminal prosecution.

15. If the Court approves the Settlement, payments to eligible Authorized Claimants pursuant to the Plan of Allocation (or such other plan of allocation as the Court approves) will be made after any appeals are resolved, and after the completion of all claims processing. The claims process will take substantial time to complete fully and fairly. Please be patient.

16. **PLEASE NOTE:** As set forth in the Plan of Allocation, each Authorized Claimant shall receive his, her, or its *pro rata* share of the US Net Settlement Fund based on his, her, or its transactions in OPKO common stock that were traded on any U.S. exchanges. If the prorated payment to any Authorized Claimant calculates to less than \$10.00, it will not be included in the calculation and no distribution of the US Net Settlement Fund will be made to that Authorized Claimant.

17. If you have questions concerning the Claim Form, or need additional copies of the Claim Form or the Notice, you may contact the Claims Administrator, JND Legal Administration, at the above address, by email at [info@OPKOHealthSecuritiesLitigation.com](mailto:info@OPKOHealthSecuritiesLitigation.com), or by toll-free phone at 1-888-383-0345, or you can visit the website, [www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com), where copies of the Claim Form and Notice are available for downloading.

18. **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.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com) or you may email the Claims Administrator's electronic filing department at [OPKSecurities@JNDLA.COM](mailto:OPKSecurities@JNDLA.COM). **Any file not in accordance with the required electronic filing format will be subject to rejection.** Only one claim should be submitted for each separate legal entity (see ¶ 11 above) and the **complete** name of the beneficial owner of the securities must be entered where called for (see ¶ 10 above). No electronic files will be considered to have been 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. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at [OPKSecurities@JNDLA.com](mailto:OPKSecurities@JNDLA.com) to inquire about your file and confirm it was received.**

**IMPORTANT: PLEASE NOTE**

**YOUR CLAIM IS NOT DEEMED FILED UNTIL YOU RECEIVE AN ACKNOWLEDGEMENT POSTCARD. THE CLAIMS ADMINISTRATOR WILL ACKNOWLEDGE RECEIPT OF YOUR CLAIM FORM BY MAIL, WITHIN 60 DAYS. IF YOU DO NOT RECEIVE AN ACKNOWLEDGEMENT POSTCARD WITHIN 60 DAYS, CALL THE CLAIMS ADMINISTRATOR TOLL FREE AT 1-888-383-0345.**

# PART III – SCHEDULE OF TRANSACTIONS IN OPKO COMMON STOCK TRADED ON ANY U.S. STOCK EXCHANGE

The only eligible security is OPKO Health, Inc. common stock (Ticker: OPK, CUSIP: 68375N103). Do not include information regarding securities other than OPKO common stock.

Include only transactions and holdings of OPKO common stock traded on U.S. exchanges (including the New York Stock Exchange or Nasdaq)<sup>1</sup>, or any other transactions in OPKO common stock during the Class Period, other than shares traded on the Tel Aviv Stock Exchange ("TASE"). Do not include any holdings or transactions in OPKO common stock traded on the TASE.

Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 8, above.

<b>1. HOLDINGS AS OF SEPTEMBER 26, 2013</b> – State the total number of shares of OPKO common stock traded on a U.S. exchange that you held as of the opening of trading on September 26, 2013. (Must be documented.) If none, write "zero" or "0."				<b>Confirm Proof of Position Enclosed</b>  <input type="checkbox"/>
<div style="border: 1px solid black; width: 200px; height: 30px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> </div>				
<b>2. PURCHASES/ACQUISITIONS FROM SEPTEMBER 26, 2013 THROUGH SEPTEMBER 7, 2018</b> – Separately list each and every purchase or acquisition (including free receipts) of OPKO common stock traded on a U.S. exchange from after the opening of trading on September 26, 2013 through September 7, 2018. (Must be documented.)				
Date of Purchase/ Acquisition (List Chronologically) (Month/Day/Year)	Number of Shares Purchased/ Acquired	Purchase/ Acquisition Price Per Share	Total Purchase/ Acquisition Price (excluding any taxes, commissions, and fees)	Confirm Proof of Purchase Enclosed
9/25/2015	50	\$ 10.10	\$ 505.00	<input checked="" type="checkbox"/>
1 1		\$	\$	<input type="checkbox"/>
1 1		\$	\$	<input type="checkbox"/>
1 1		\$	\$	<input type="checkbox"/>
<b>3. PURCHASES/ACQUISITIONS FROM SEPTEMBER 8, 2018 THROUGH DECEMBER 4, 2018</b> – State the total number of shares of OPKO common stock traded on a U.S. exchange purchased or acquired (including free receipts) from September 8, 2018 through the close of trading on December 4, 2018. If none, write "zero" or "0." <sup>2</sup>				
<div style="border: 1px solid black; width: 200px; height: 30px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> </div>				

<sup>1</sup> In the United States, OPKO common stock traded on the New York Stock Exchange from the beginning of the Class Period through June 23, 2018 and on the Nasdaq from June 24, 2018 through the end of the Class Period.

<sup>2</sup> **Please note:** Information requested with respect to your purchases and acquisitions of OPKO common stock traded on a U.S. exchange from September 8, 2018 through and including December 4, 2018 is needed in order to balance your claim. However, purchases during this period, or at or after 1:57 p.m. on September 7, 2018, are not eligible under the Settlement and will not be used for purposes of calculating your US Recognized Claim pursuant to the Plan of Allocation.



## PART IV - RELEASE OF CLAIMS AND SIGNATURE

### YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON PAGE 9 OF THIS CLAIM FORM.

I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) and my (our) (the claimant(s)) heirs, executors, administrators, predecessors, successors, and assigns, in their capacities as such, shall be deemed to have, and by operation of law and of the judgment shall have, fully, finally, and forever compromised, settled, released, resolved, relinquished, waived, and discharged each and every Released Plaintiffs' Claim (including, without limitation, any Unknown Claims) against the Defendants' Releasees, and shall forever be barred and enjoined from prosecuting any or all of the Released Plaintiffs' Claims against any of the Defendants' Releasees.

### CERTIFICATION

By signing and submitting this Claim Form, the claimant(s) or the person(s) who represent(s) the claimant(s) agree(s) to the release above and certifies (certify) as follows:

1. that I (we) have read and understand the contents of the Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;
2. that the claimant(s) is a (are) Settlement Class Member(s), as defined in the Notice, and is (are) not excluded by definition from the Settlement Class as set forth in the Notice;
3. that the claimant(s) did *not* submit a request for exclusion from the Settlement Class;
4. that I (we) own(ed) the OPKO common stock identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Defendants' Releasees to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
5. that the claimant(s) has (have) not submitted any other claim covering the same purchases of OPKO common stock and knows (know) of no other person having done so on the claimant's (claimants') behalf;
6. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;
7. that I (we) agree to furnish such additional information with respect to this Claim Form as Lead Counsel, the Claims Administrator, or the Court may require;
8. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this Claim, and waives any right of appeal or review with respect to such determination;
9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and

10. that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. **If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.**

UNDER THE PENALTIES OF PERJURY, I (WE) CERTIFY THAT ALL OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM FORM IS TRUE, CORRECT, AND COMPLETE, AND THAT THE DOCUMENTS SUBMITTED HEREWITH ARE TRUE AND CORRECT COPIES OF WHAT THEY PURPORT TO BE.

  
\_\_\_\_\_  
Signature of claimant

11/23/2020  
\_\_\_\_\_  
Date

D. CHAN  
\_\_\_\_\_  
Print claimant name here

\_\_\_\_\_  
Signature of joint claimant, if any

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print joint claimant name here

**If the claimant is other than an individual, or is not the person completing this form, the following also must be provided:**

\_\_\_\_\_  
Signature of person signing on behalf of claimant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print name of person signing on behalf of claimant here

Capacity of person signing on behalf of claimant, if other than an individual, e.g., executor, president, trustee, custodian, etc. (Must provide evidence of authority to act on behalf of claimant – see ¶ 12 on page 4 of this Claim Form.)

## REMINDER CHECKLIST



1. Sign the above release and certification. If this Claim Form is being made on behalf of joint claimants, then both must sign.



2. Attach only **copies** of acceptable supporting documentation as these documents will not be returned to you.



3. Do not highlight any portion of the Claim Form or any supporting documents.

4. Keep copies of the completed Claim Form and documentation for your own records.



5. The Claims Administrator will acknowledge receipt of your Claim Form by mail, within 30 days. Your claim is not deemed filed until you receive an acknowledgement postcard. **If you do not receive an acknowledgement postcard within 60 days, please call the Claims Administrator toll free at 1-888-383-0345.**

6. If your address changes in the future, or if this Claim Form was sent to an old or incorrect address, you must send the Claims Administrator written notification of your new address. If you change your name, inform the Claims Administrator.



7. If you have any questions or concerns regarding your claim, contact the Claims Administrator at the address below, by email at [info@OPKOHealthSecuritiesLitigation.com](mailto:info@OPKOHealthSecuritiesLitigation.com), or by toll-free phone at 1-888-383-0345, or you may visit [www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com). **DO NOT** call OPKO or its counsel with questions regarding your claim.

**THIS CLAIM FORM MUST BE MAILED TO THE CLAIMS ADMINISTRATOR BY FIRST CLASS MAIL, POSTMARKED NO LATER THAN JANUARY 26, 2021, ADDRESSED AS FOLLOWS.**

*OPKO Health, Inc. Securities Litigation*  
c/o JND Legal Administration  
P.O. Box 91360  
Seattle, WA 98111

1-888-383-0345

[www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com)

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if a postmark date on or before January 26, 2021 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.

You should be aware that it will take a significant amount of time to fully process all of the Claim Forms. Please be patient and notify the Claims Administrator of any change of address.

September 1, 2015 - September 30, 2015

Account Number: [REDACTED]  
Account Type: JOINT  
Account Status: Pro Elite

**Customer Update:**

**Looking for Bond Ideas? E\*TRADE Can Help.**  
Our Fixed Income Representatives can analyze your portfolio, explain the benefits and risks of bond investing, and help you decide the role Bonds and CDs may play in your portfolio. Call 1-866-420-0007 for complimentary guidance today.

**E\*TRADE Securities LLC**  
P.O. Box 484  
Jersey City NJ 07303-0484  
1-800-ETRADE-1 (1-800-387-2331)  
etrade.com Member FINRA/SIPC

**E\*TRADE Pro Elite**  
Investment Account

**IMPORTANT INFORMATION**

Update your web browser today!  
Still using Microsoft Internet Explorer 8? In order to provide a more consistent browsing experience and greater data security, E\*TRADE is ending support for IE 8. To take advantage of everything etrade.com has offer, please update your browser now!

D [REDACTED] CHAN &  
[REDACTED] CHAN JTWROS  
[REDACTED]  
[REDACTED]



**Account At A Glance**



**Net Change:**

**E\*TRADE FINANCIAL**  
Trading • Investing • Banking

DETACH HERE ▲  
D [REDACTED] CHAN &  
[REDACTED] CHAN JTWROS  
[REDACTED]

**Use This Deposit Slip**

**Acct:** [REDACTED]

**Please do not send cash**

Make checks payable to E\*TRADE Clearing LLC.

Mail deposits to:

E\*TRADE CLEARING LLC  
P.O. Box 484  
Jersey City, NJ 07303-0484

**TOTAL DEPOSIT**

Dollars	Cents



E\*TRADE Pro Elite Investment Account



E\*TRADE FINANCIAL Trading • Investing • Banking

Please refer to the E\*TRADE Securities Investor Suitability Agreement for a complete explanation of the terms and conditions governing your account. For more information regarding the opening of your account, please refer to the E\*TRADE Pro Elite Investment Account Agreement. The information on this page is provided for informational purposes only and does not constitute an offer of any securities or investment services. E\*TRADE Pro Elite Investment Account is not a bank, and deposits and withdrawals are subject to the terms and conditions of the E\*TRADE Pro Elite Investment Account Agreement. E\*TRADE Pro Elite Investment Account is not a bank, and deposits and withdrawals are subject to the terms and conditions of the E\*TRADE Pro Elite Investment Account Agreement. E\*TRADE Pro Elite Investment Account is not a bank, and deposits and withdrawals are subject to the terms and conditions of the E\*TRADE Pro Elite Investment Account Agreement.

**Applicable Rules and Regulations.** All transactions in your account will be subject to the rules and regulations of the exchange or market, and the clearing house, where the transactions are executed by E\*TRADE or its agents, including E\*TRADE Clearing LLC. All orders placed in the market will be subject to the rules and regulations of the exchange or market, and the clearing house, where the transactions are executed by E\*TRADE or its agents, including E\*TRADE Clearing LLC. All orders placed in the market will be subject to the rules and regulations of the exchange or market, and the clearing house, where the transactions are executed by E\*TRADE or its agents, including E\*TRADE Clearing LLC.

**Interest Rates.** The applicable interest rate for margin loans (the "margin interest rate") is the Base Rate, which is set at the discretion of E\*TRADE and is subject to change without notice. The margin interest rate will change without notice unless you have elected to opt out of the Base Rate. For more information about E\*TRADE's Base Rate, please visit [www.etrade.com](http://www.etrade.com). For more information about E\*TRADE's Base Rate, please visit [www.etrade.com](http://www.etrade.com). For more information about E\*TRADE's Base Rate, please visit [www.etrade.com](http://www.etrade.com).

**Investment Objectives.** The primary objective of the E\*TRADE Pro Elite Investment Account is to provide you with a diversified portfolio of securities. The primary objective of the E\*TRADE Pro Elite Investment Account is to provide you with a diversified portfolio of securities. The primary objective of the E\*TRADE Pro Elite Investment Account is to provide you with a diversified portfolio of securities. The primary objective of the E\*TRADE Pro Elite Investment Account is to provide you with a diversified portfolio of securities.

**Free Credit Balances.** Any credit balances in your account, including any cash balances, will be subject to the terms and conditions of the E\*TRADE Pro Elite Investment Account. Any credit balances in your account, including any cash balances, will be subject to the terms and conditions of the E\*TRADE Pro Elite Investment Account. Any credit balances in your account, including any cash balances, will be subject to the terms and conditions of the E\*TRADE Pro Elite Investment Account.

**Trading in the U.S. Markets.** Investing outside the United States involves additional risks, including currency fluctuations, political and economic uncertainty, and differences in accounting standards. Investing outside the United States involves additional risks, including currency fluctuations, political and economic uncertainty, and differences in accounting standards. Investing outside the United States involves additional risks, including currency fluctuations, political and economic uncertainty, and differences in accounting standards.

**Financial Statement.** A financial statement of E\*TRADE is available to you, members of E\*TRADE, at [www.etrade.com](http://www.etrade.com). A financial statement of E\*TRADE is available to you, members of E\*TRADE, at [www.etrade.com](http://www.etrade.com). A financial statement of E\*TRADE is available to you, members of E\*TRADE, at [www.etrade.com](http://www.etrade.com).

**Margin Accounts.** The amount of margin required will be the greater of the amount required by applicable law, regulation, or the rules of the applicable self-regulatory organization, or the amount required by E\*TRADE. The amount of margin required will be the greater of the amount required by applicable law, regulation, or the rules of the applicable self-regulatory organization, or the amount required by E\*TRADE.

**Options Exercise Notices.** Exercise instructions received by E\*TRADE will be subject to the terms and conditions of the E\*TRADE Pro Elite Investment Account. Exercise instructions received by E\*TRADE will be subject to the terms and conditions of the E\*TRADE Pro Elite Investment Account. Exercise instructions received by E\*TRADE will be subject to the terms and conditions of the E\*TRADE Pro Elite Investment Account.

**Disclaimer.** E\*TRADE and E\*TRADE Clearing LLC are not registered investment advisers. E\*TRADE and E\*TRADE Clearing LLC are not registered investment advisers. E\*TRADE and E\*TRADE Clearing LLC are not registered investment advisers.

Table with 2 columns: Description and Value. Rows include: Account Type (E\*TRADE Pro Elite Investment Account), Total Portfolio Value (as of 11/19/2021), E\*TRADE Cash, E\*TRADE Securities, and E\*TRADE Other.



**E\*TRADE Pro Elite**  
Investment Account

Account Number: [REDACTED]

Statement Period : September 1, 2015 - September 30, 2015

Account Type: JOINT

Direct your service and investment questions to:  
Elite Client Service

[REDACTED]

**Customer Update:**  
Get your next statement via Electronic Delivery. Enrollment only takes a few seconds and you can access your statements online for 7 years. Visit [etrade.com/preferences](http://etrade.com/preferences) to learn more.

**ACCOUNT OVERVIEW**

[REDACTED]

**ASSET ALLOCATION (AS OF 09/30/15)**

[REDACTED]

Securities products and services are offered by E\*TRADE Securities LLC, Member FINRA/SIPC. Sweep Deposit Account is a bank deposit account with E\*TRADE Bank, a Federal savings bank, Member FDIC. Sweep deposit accounts at each bank are FDIC-insured up to a maximum of \$250,000. Securities products and cash balances other than Sweep Deposit Account funds are not FDIC-insured, are not guaranteed deposits or obligations of E\*TRADE Bank, and are subject to investment risk, including possible loss of the principal invested.



**E\*TRADE Pro Elite**  
Investment Account

Account Number: [REDACTED]

Statement Period : September 1, 2015 - September 30, 2015

Account Type: JOINT

**NET ACCOUNT VALUE BY MONTH END**

[REDACTED]

**ACCOUNT TRANSACTION SUMMARY**

DESCRIPTION	THIS PERIOD	YEAR TO DATE
[REDACTED]		



Account Number: [REDACTED]

Statement Period : September 1, 2015 - September 30, 2015

Account Type: JOINT

**ACCOUNT HOLDINGS**

**CASH & CASH EQUIVALENTS** [REDACTED] (Holdings)

DESCRIPTION	PORTFOLIO %	AMOUNT
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[REDACTED]		
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**STOCKS, OPTIONS & EXCHANGE-TRADED FUNDS** [REDACTED] (of Holdings)

DESCRIPTION	SYMBOL/ CUSIP	ACCT TYPE	QUANTITY	PRICE	TOTAL MKT VALUE	PORTFOLIO [%]	EST. ANNUAL INCOME	EST. ANNUAL YIELD (%)
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[REDACTED]								
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**E\*TRADE Pro Elite**  
Investment Account

Account Number: [REDACTED]

Statement Period : September 1, 2015 - September 30, 2015

Account Type: JOINT

STOCKS, OPTIONS & EXCHANGE-TRADED FUNDS (Continued)

DESCRIPTION	SYMBOL/ CUSIP	ACCT TYPE	QUANTITY	PRICE	TOTAL MKT VALUE	PORTFOLIO (%)	EST. ANNUAL INCOME	EST. ANNUAL YIELD (%)
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[REDACTED]								
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OPKO HEALTH INC	OPK	Cash	50	8,4100	420.50	0.44		
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[REDACTED]								
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FIXED INCOME [REDACTED] of Holdings)



Account Number: [REDACTED]

Statement Period : September 1, 2015 - September 30, 2015

Account Type: JOINT

CORPORATE BONDS [REDACTED] of Holdings)

DESCRIPTION	ACCT TYPE	BOND RATING (S&P/Moody)	QUANTITY	PRICE	TOTAL MKT VALUE	ACCRUED INTEREST	PORTFOLIO (%)	EST. ANNUAL INCOME	EST. ANNUAL YIELD (%)
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[REDACTED]									
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TRANSACTION HISTORY

SECURITIES PURCHASED OR SOLD

TRADE DATE	SETTLEMENT DATE	DESCRIPTION	SYMBOL/ CUSIP	TRANSACTION TYPE	QUANTITY	PRICE	AMOUNT PURCHASED	AMOUNT SOLD
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[REDACTED]								
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**E\*TRADE Pro Elite**  
Investment Account

Account Number: [REDACTED]

Statement Period : September 1, 2015 - September 30, 2015

Account Type: JOINT

**SECURITIES PURCHASED OR SOLD (Continued)**

TRADE DATE	SETTLEMENT DATE	DESCRIPTION	SYMBOL/CUSIP	TRANSACTION TYPE	QUANTITY	PRICE	AMOUNT PURCHASED	AMOUNT SOLD
[REDACTED]								
09/25/15 08:03	09/30/15	OPKO HEALTH INC	OPK	Bought	50	10.1000	515.24	[REDACTED]
<b>TOTAL SECURITIES ACTIVITY</b>							[REDACTED]	[REDACTED]

**UNSETTLED TRADES**

TRADE DATE	SETTLEMENT DATE	DESCRIPTION	SYMBOL/CUSIP	TRANSACTION TYPE	QUANTITY	PRICE	AMOUNT PURCHASED	AMOUNT SOLD
[REDACTED]								



**E\*TRADE Pro Elite**  
Investment Account

Account Number: [REDACTED]

Statement Period : September 1, 2015 - September 30, 2015

Account Type: JOINT

**DIVIDENDS & INTEREST ACTIVITY (Continued)**

DATE	TRANSACTION TYPE	DESCRIPTION	SYMBOL/ CUSIP	AMOUNT DEBITED	AMOUNT CREDITED
[REDACTED]					

DATE	TRANSACTION TYPE	DESCRIPTION	WITHDRAWALS	DEPOSITS
[REDACTED]				

**OTHER ACTIVITY**

DATE	DESCRIPTION	SYMBOL/ CUSIP	TRANSACTION TYPE	QUANTITY	PRICE	AMOUNT DEBITED	AMOUNT CREDITED
[REDACTED]							



**E\*TRADE Pro Elite**  
Investment Account

Account Number: [REDACTED]

Statement Period : September 1, 2015 - September 30, 2015

Account Type: JOINT

**OTHER ACTIVITY (Continued)**

DATE	DESCRIPTION	SYMBOL/ CUSIP	TRANSACTION TYPE	QUANTITY	PRICE	AMOUNT DEBITED	AMOUNT CREDITED
------	-------------	------------------	---------------------	----------	-------	-------------------	--------------------

[REDACTED]							
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Account Number: [REDACTED]

Statement Period : September 1, 2015 - September 30, 2015

Account Type: JOINT

**MONEY FUND ACTIVITY (Continued)**

[REDACTED]

January 1, 2016 - January 31, 2016

Account Number: [REDACTED]  
Account Type: JOINT  
Account Status: Pro Elite

**Customer Update:**

2015 Tax Documents will be available by February 16, 2016

E\*TRADE Securities LLC  
P.O. Box 484  
Jersey City, NJ 07303-0484  
1-800-ETRADE-1 (1-800-387-2331)  
etrade.com Member FINRA/SIPC

**E\*TRADE Pro Elite**  
Investment Account

**IMPORTANT INFORMATION**

New on etrade.com: TipRanks

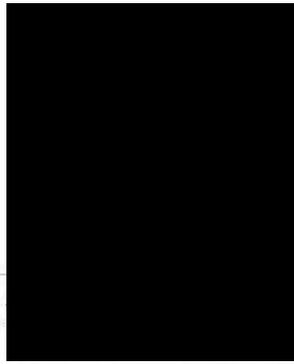
Get access to:

- Consensus buy/sell recommendations from over 3,700 analysts.
  - Market sentiment from over 4,500 financial bloggers.
  - Stock recommendations & price targets from high-performing analysts.
- Try TipRanks today. Log on and request a stock quote to get started.

D. [REDACTED] CHAN &  
[REDACTED] CHAN JTWROS



**Account At A Glance**



**Net Change:**

DETACH HERE ▲

[REDACTED] CHAN &  
[REDACTED] CHAN JTWROS

Make checks payable to E\*TRADE Clearing LLC.

Mail deposits to:

E\*TRADE CLEARING LLC  
P.O. Box 484  
Jersey City, NJ 07303-0484

DETACH HERE ▲

**Use This Deposit Slip**

**Acct:** [REDACTED]

Please do not send cash

Dollars	Cents

**TOTAL DEPOSIT**

**E\*TRADE FINANCIAL**  
Trading • Investing • Banking







Account Number: [REDACTED]

Statement Period : January 1, 2016 - January 31, 2016

Account Type: JOINT

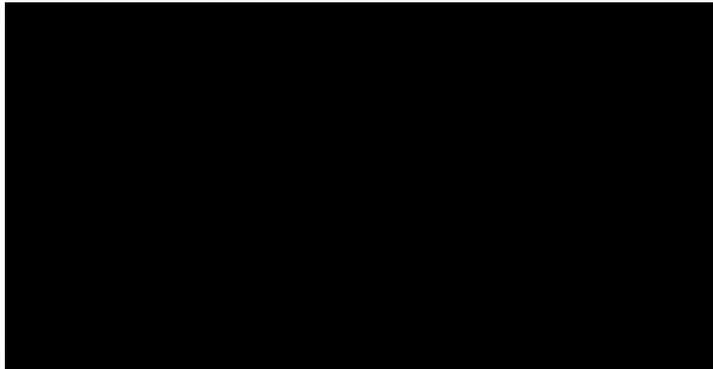
Direct your service and investment questions to:  
Elite Client Service

[REDACTED]

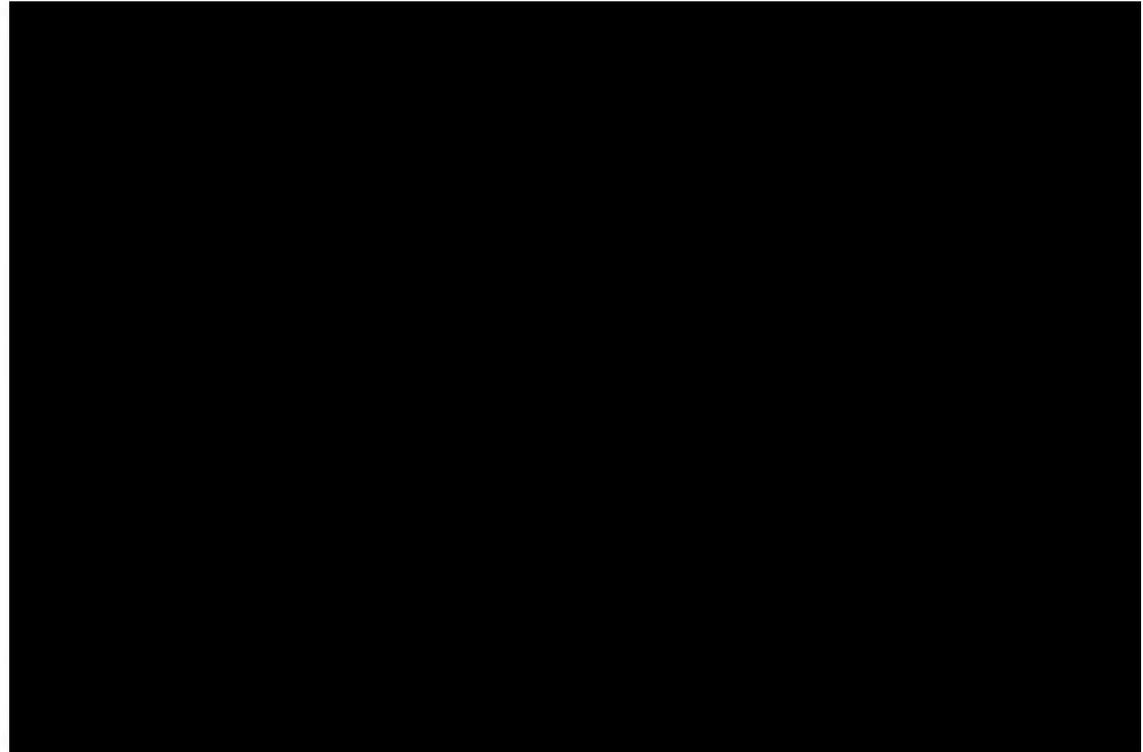
**Customer Update:**

Looking forward to tax time? We didn't think so. But at least the E\*TRADE Tax Center makes it a little easier. Get helpful tips, tools, and key dates at [etrade.com/tax](http://etrade.com/tax).

**ACCOUNT OVERVIEW**



**ASSET ALLOCATION (AS OF 01/31/16)**



Securities products and services are offered by E\*TRADE Securities LLC, Member FINRA/SIPC. Sweep Deposit Account is a bank deposit account with E\*TRADE Bank, a Federal savings bank, Member FDIC. Sweep deposit accounts at each bank are FDIC-insured up to a maximum of \$250,000. Securities products and cash balances other than Sweep Deposit Account funds are not FDIC-insured, are not guaranteed deposits or obligations of E\*TRADE Bank, and are subject to investment risk, including possible loss of the principal invested.



**E\*TRADE Pro Elite**  
Investment Account

Account Number: [REDACTED]

Statement Period : January 1, 2016 - January 31, 2016

Account Type: JOINT

**NET ACCOUNT VALUE BY MONTH END**

**ACCOUNT TRANSACTION SUMMARY**

**TOP 10 ACCOUNT HOLDINGS (AS OF 01/31/16)**



Account Number: [REDACTED]

Statement Period: January 1, 2016 - January 31, 2016

Account Type: JOINT

**ACCOUNT HOLDINGS**

CASH & CASH EQUIVALENTS ([REDACTED] of Holdings)

DESCRIPTION	PORTFOLIO %	AMOUNT
[REDACTED]		



**E\*TRADE Pro Elite**  
Investment Account

Account Number: [REDACTED]

Statement Period : January 1, 2016 - January 31, 2016

Account Type: JOINT

STOCKS, OPTIONS & EXCHANGE-TRADED FUNDS (Continued)

DESCRIPTION	SYMBOL/ CUSIP	ACCT TYPE	QUANTITY	PRICE	TOTAL MKT VALUE	PORTFOLIO	EST. ANNUAL INCREASE	EST. ANNUAL LOSS
[REDACTED]								
OPKO HEALTH INC	OPK	Cash		8.0400	0.00	0.00		
[REDACTED]								



Account Number: [REDACTED]

Statement Period : January 1, 2016 - January 31, 2016

Account Type: JOINT

STOCKS, OPTIONS & EXCHANGE-TRADED FUNDS (Continued)

DESCRIPTION	SYMBOL/ CUSIP	ACCT TYPE	QUANTITY	PRICE	TOTAL MKT VALUE	PORTFOLIO (%)	EST. ANNUAL INCOME	EST. ANNUAL YIELD (%)
[REDACTED]								



**E\*TRADE Pro Elite**  
Investment Account

Account Number: [REDACTED]

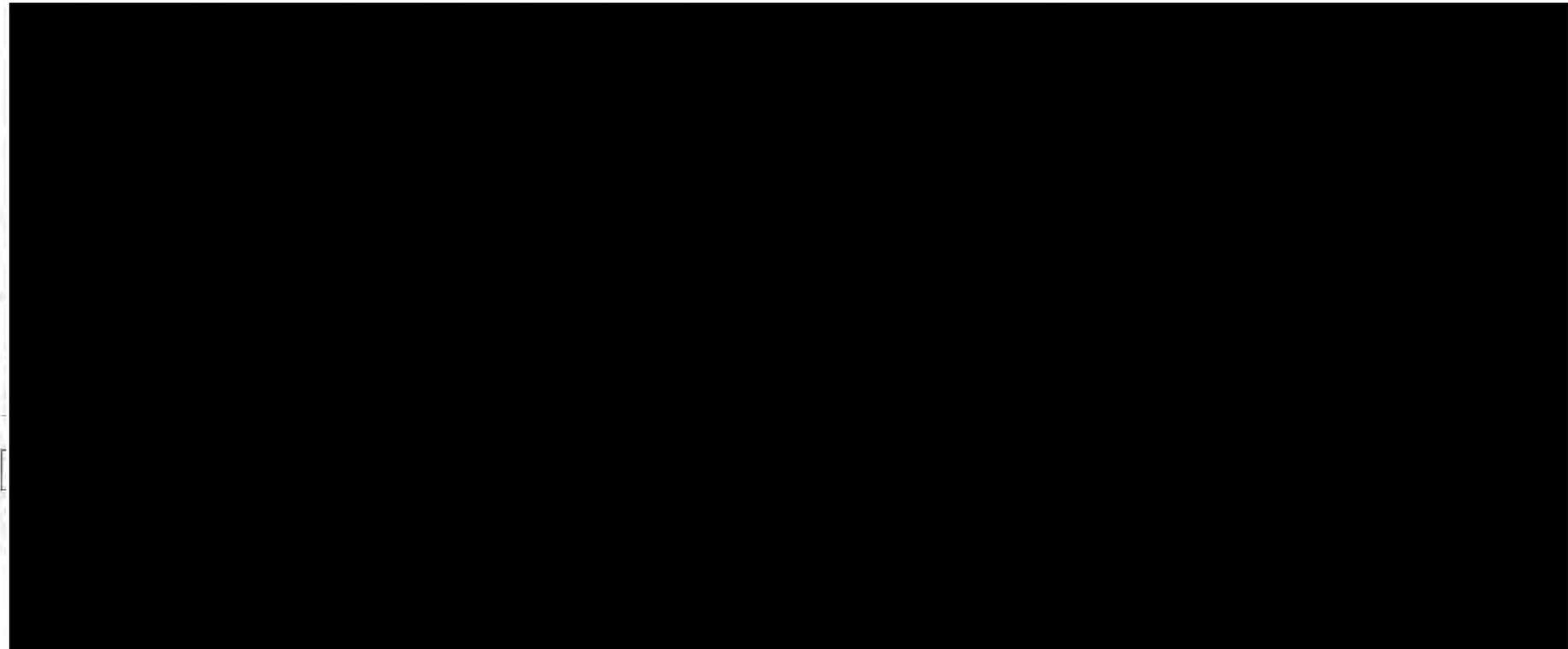
Statement Period : January 1, 2016 - January 31, 2016

Account Type: JOINT

**TRANSACTION HISTORY**

**SECURITIES PURCHASED OR SOLD**

TRADE DATE	SETTLEMENT DATE	DESCRIPTION	SYMBOL/ CUSIP	TRANSACTION TYPE	QUANTITY	PRICE	AMOUNT PURCHASED	AMOUNT SOLD
01/11/16 15:23	01/14/16	OPKO HEALTH INC	OPK	Sold	-50	8.5000		415.00





Account Number: [REDACTED]

Statement Period : January 1, 2016 - January 31, 2016

Account Type: JOINT

**DIVIDENDS & INTEREST ACTIVITY**

DATE	TRANSACTION TYPE	DESCRIPTION	SYMBOL/ CUSIP	AMOUNT DEBITED	AMOUNT CREDITED
------	---------------------	-------------	------------------	-------------------	--------------------

[REDACTED]					
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**E\*TRADE Pro Elite**  
Investment Account

Account Number: [REDACTED]

Statement Period : January 1, 2016 - January 31, 2016

Account Type: JOINT

**DIVIDENDS & INTEREST ACTIVITY (Continued)**

DATE	TRANSACTION TYPE	DESCRIPTION	SYMBOL/ CUSIP	AMOUNT DEBITED	AMOUNT CREDITED
------	------------------	-------------	------------------	----------------	-----------------

[REDACTED]					
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Account Number: [REDACTED]

Statement Period : January 1, 2016 - January 31, 2016

Account Type: JOINT

**OTHER ACTIVITY (Continued)**

DATE	DESCRIPTION	SYMBOL/ CUSIP	TRANSACTION TYPE	QUANTITY	PRICE	AMOUNT DEBITED	AMOUNT CREDITED
------	-------------	------------------	---------------------	----------	-------	-------------------	--------------------

[REDACTED]



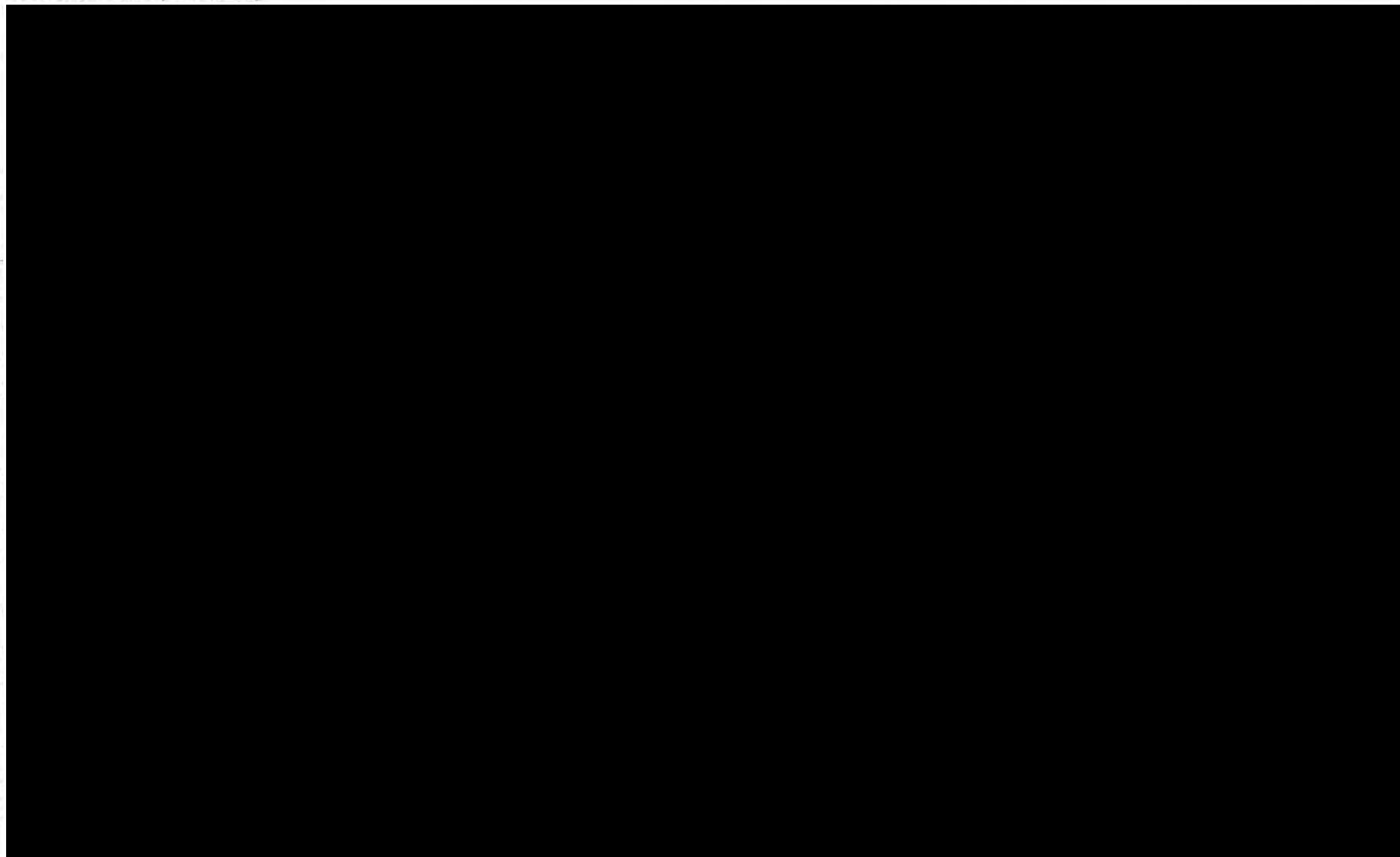
**E\*TRADE Pro Elite**  
Investment Account

Account Number: [REDACTED]

Statement Period : January 1, 2016 - January 31, 2016

Account Type: JOINT

OTHER ACTIVITY (Continued)





**E\*TRADE Pro Elite**  
Investment Account

Account Number: [REDACTED]

Statement Period : January 1, 2016 - January 31, 2016

Account Type: JOINT

**MONEY FUND ACTIVITY (Continued)**



D [REDACTED] CHAN

[REDACTED]

[REDACTED]



[REDACTED]

OPKO HEALTH, INC SECURITIES LITIGATION  
C/O JND LEGAL ADMINISTRATION  
P.O. BOX 91360  
SEATTLE, WA 98111

NOV 30 2020



Claim ID: DHSTQB2RGX

**OPKO Health Securities Litigation**  
c/o JND Legal Administration  
P.O. Box 91360  
Seattle, WA, 98111

Email: [info@OPKOHealthSecuritiesLitigation.com](mailto:info@OPKOHealthSecuritiesLitigation.com)  
Toll-Free Number: 1-888-383-0345  
Settlement Website: [www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com)

D [REDACTED] CHAN  
[REDACTED]  
[REDACTED], [REDACTED]  
UNITED STATES

Mailing Date: 1/26/2021  
Response Due Date: 02/15/2021

Claim ID: DHSTQB2RGX

Eligible Security: OPKO common stock

Class Period: Between September 26, 2013, and  
September 7, 2018, inclusive

**NOTICE OF DEFICIENT/INELIGIBLE CLAIM SUBMISSION**

Dear Claimant:

We received and processed the Proof of Claim and Release (“Claim Form” or “Proof of Claim Form”) you submitted for payment from the US Net Settlement Fund in the above-referenced securities litigation settlement. We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiency or ineligibility, you must submit a written response with any required documentation as specified below postmarked no later than the response due date printed at the top of this notice. Please include a copy of this notice with your response. **If you fail to respond by the response due date set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that any condition remains uncured. This is the only notice you will receive with respect to this Claim.**

**Reason for deficiency/ineligibility (Please see below for explanation):**

**CLAIM DOES NOT CALCULATE TO A US RECOGNIZED CLAIM UNDER THE PLAN OF ALLOCATION**



Claim ID: DHSTQB2RGX

**Explanation of Claim Deficiency/Ineligibility:**

**CLAIM DOES NOT CALCULATE TO A US RECOGNIZED CLAIM UNDER THE PLAN OF ALLOCATION**

In accordance with the Plan of Allocation set forth in the Notice of (I) Pendency of Class Action and Proposed Settlement; (II) Settlement Fairness Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses, the Claim referenced above does not calculate to a US Recognized Claim and is, therefore, ineligible to receive a payment from the US Net Settlement Fund.

**How To Fix:**

You can resolve this condition of ineligibility only by submitting additional purchase transactions of OPKO common stock during the Class Period, i.e., from September 26, 2016, through September 7, 2018, inclusive, that were traded on a U.S. exchange, including the NYSE or Nasdaq, or in any other manner other than through a purchase on the Tel Aviv Stock Exchange; that were not previously reflected in your Claim; and which make your Claim calculate to a US Recognized Claim. You must also support any additional transactions with acceptable documentation.

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



Claim ID: DHSTQB2RGX

**Please note that even if you cure all noted deficiencies, your Claim must then calculate to a US Recognized Claim under the Court-approved Plan of Allocation in order to be included in the list of eligible Claims presented to the Court for approval.** If you disagree with the conditions identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review, you must send a letter to the Claims Administrator at the address indicated above no later than the response deadline set forth above. Your letter, which must be signed, must: (1) specifically state that you “request that the Court review the full or partial rejection of your Claim”; (2) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (3) include any and all documentation supporting your argument(s). A copy of this letter must be included with your request for Court review.

**PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR’S DETERMINATION REGARDING YOUR CLAIM. IF YOU REQUEST COURT REVIEW, YOUR CLAIM AND THE SUPPORTING DOCUMENTATION WILL BE SUBMITTED TO THE COURT FOR CONSIDERATION AND WILL BECOME PART OF THE PUBLIC RECORD. FINANCIAL ACCOUNT NUMBERS AND CERTAIN OTHER PERSONAL INFORMATION PROVIDED ON YOUR CLAIM FORM AND THE SUPPORTING DOCUMENTATION WILL BE REDACTED TO PROTECT YOUR PRIVACY.**

If you have any questions about this notice or any noted deficiency, or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the telephone number or email address noted above.

Sincerely,

JND Legal Administration

OPKO Health Securities Litigation  
c/o JND Legal Administration  
P.O. Box 91360  
Seattle, WA 98111

FEB 09 2021

RE: Request that the Court review the full or partial rejection of the Claim

February 4, 2021

Dear Claims Administrator:

Enclosed are trade confirmations that showed the following:

- 9/25/2015: Purchased 50 shares of OPK at \$10.10
- 1/11/2016: Sold 50 shares of OPK at \$8.50

These trades are within the Class Period: September 26, 2013 and September 7, 2018, inclusive specified.

I would ask the Court to reconsider. Thank you for your assistance.

Sincerely,



D. Chan

Claim ID: DHSTQB2RGX



**E\*TRADE Securities**  
Investment Account

**TRADE CONFIRMATION**

Account Number: [REDACTED]

Account Name:

D [REDACTED] CHAN &  
[REDACTED] CHAN JTWROS

**E\*TRADE Securities LLC**  
PO Box 484  
Jersey City, NJ 07303-0484  
1-800-ETRADE-1 (1-800-387-2331)  
etrade.com

**Customer Update**

Get your next statement via Electronic Delivery. Enrollment takes a few seconds and you can access your statements online for 7 years. Visit [etrade.com/preferences](http://etrade.com/preferences) to learn more.

TRADE DATE	SETL DATE	MKT / CPT	SYMBOL / CUSIP	BUY / SELL	QUANTITY	PRICE	ACCT TYPE		
[REDACTED]									

09/25/15	09/30/15	6 1	OPK	BUY	50	\$10.10	Cash	PRINCIPAL	\$505.00
								COMMISSION	\$9.99
								ECN FEE	\$0.25
								<b>NET AMOUNT</b>	<b>\$515.24</b>

▲ DETACH HERE  
D [REDACTED] CHAN &  
[REDACTED] CHAN JTWROS  
[REDACTED]

DETACH HERE ▲

Use This Deposit Slip

Acct: [REDACTED]

Please do not send cash

Dollars	Cents

TOTAL DEPOSIT

[REDACTED]

Make checks payable to E\*TRADE Clearing LLC.  
Mail deposits to:

E\*TRADE CLEARING LLC  
PO Box 484  
Jersey City, NJ 07303-0484



- Type of Transaction (Marked)
- |                                  |   |
|----------------------------------|---|
| 1. NYSE Exchange                 | 4. Chicago Board Options Exchange         |
| 2. American Stock Exchange       | 5. Over-the-Counter Market Exchange (OTC) |
| 3. Other U.S. Regional Exchanges | 6. International                          |
| 7. Market Maker                  | 8. Foreign Exchange/OTC                   |

(Capacity in which you trade is added)  
 (1) (2) (3) (4) (5) (6) (7) (8)  
 \* As a sign for both buyer and seller, the commission charged to the party buying/selling the stock transaction will be furnished per contract.  
 7. As a result

If the symbol (\*) appears in the security description on the trade report, the offering may be deemed to have been made solely by means of the Securities Offering Circular. A copy of such file can be obtained from the company of which is a member of the payment facility.  
 If the symbol (\*) appears in the security description it indicates that the security is "foreign" and may be subject to foreign tax obligations.  
 If the symbol (\*) appears in the security description, an initial deposit of E\*TRADE is a condition for use of the services involving in this transaction. A similar relationship may be established between the issuer and E\*TRADE. Please contact your administrator for more information. Foreign regulations apply, please refer to [www.etrade.com](http://www.etrade.com) for all regulations in the International Investor's Guide.

**Terms and Conditions**

I have agreed between you (E\*TRADE Financial ("E\*TRADE")) and FINRA (Financial Industry Regulatory Authority ("FINRA"))

The information contained in this confirmation shall be binding upon you if you do not object in writing within two (2) days after the confirmation is first received by you. E\*TRADE is acting as agent for your broker in performing certain executing and clearing functions. E\*TRADE accepts no liability or responsibility for any advice, recommendation or analysis of your broker or its employees. However, E\*TRADE is not liable for a principal or your broker's actions.

All transactions made by you are subject to the terms of any Customer or other Agreement between you and E\*TRADE or its broker, the provisions of the Securities Investor Protection Fund and the provisions of the Federal Reserve Board, the Exchange or market and its clearing agency, if any, which executed and any applicable state rules and regulations, public regulations in good market, and all applicable laws.

Securities held for your benefit at E\*TRADE is a clearing clearing facility but not registered in your name, and is subject to special procedures for other members. In the event that securities are held by you, the issuer after you have been notified will be determined by an internal and random selection system. If you security is subject to a redemption, it will be redeemed and your account credited with the proceeds. You have the right to withdraw, repledge, fully paid securities or any time you do a partial call and also to withdraw excess margin securities not subject to redemptions.

You acknowledge that you are assuming your entire risk with you. Any transaction that results from the proceeds of the sales that you have not included as to subject, prior to execution, will be recorded in your account. Please refer to the subject to immediately available and are difficult to locate.

It required payment of delivery of securities is not made by the seller, E\*TRADE or your broker may do its best and without further notice charge interest on the amount shown on the invoice. If you do not pay, you will be liable for the subject securities, and clearing your account for any applicable taxes or other costs related.

Investments or positions are not guaranteed by E\*TRADE, you broker or by a company not related by the E\*TRADE, or it will include with changes in market conditions. When selling a security, you may receive more or less than your original investment.

The principal amount or commission discount or financial benefit may involve a fee for second-party transfers. Other charges may include commission cost to effect or E\*TRADE, your broker, transaction fees, and exchange fees. All charges are subject to change by your broker. You may, in whole or in part, the security of payment. However, it is determined, investment proceeds will be held in escrow. Interest, dividend and/or yield is subject to fluctuation or applicable foreign currency exchange rates and costs including a markup charged by E\*TRADE or your broker. Please check and available upon notice related. The name of the party who will be the transaction made and time of execution of the transaction will be furnished upon your request.

Stocks purchased by you or held by E\*TRADE may be hypothecated (either loaned or sold) with securities owned for other business. If the securities sold by you, you may have been asked about by your broker's broker, acting as principal, system remain with such proceeds until the entire purchase price is received or until settlement date, whichever is later. Although E\*TRADE may appear to be acting as clearing agent for your broker, you do so without duty of inquiry or investigation to determine your broker's compliance with applicable laws, rules by laws, regulations, and your instructions.

Call features for bonds, money and cash bonds can be assumed, in whole or in part, based on the rate that could affect the yield. Considerations should be provided upon any sale. With respect to a zero coupon bond, you will not receive periodic payments, and the value may be volatile at a price below maturity value. Furthermore, a zero coupon issue that is callable and is callable form may be called without notice by the issuer, which the issuer is obligated.

On an assumed liability (e.g., CME, FINRA, CMLAC or CIMA), the bond yield may vary depending on the time at which the underlying assets of liability are prepaid. Information concerning factors that affect yield, including estimated yield, applicable overhead fee, and payment obligations, are available upon request. The name of the issuer in the description of some fixed income securities have been obtained from a clearing agency and are subject to change. However, we cannot guarantee the accuracy. Securities for which a rating is not available will be marked "Not Rated." A minimum rating "VW" signifies the minimum of a rating on either a "V" or "W" scale.

\*Additional Fees may include a broker's commission, the issuer's market costs, and the fee for E\*TRADE's changes to if you request to have a duplicate issue in your name and listed in the

D [REDACTED] CHAN & CHAN JTWR05

**Payment for Order Flow Disclosure**

Regulation NMS requires that all exchange-listed firms (their customers) when a new account is opened, will be an annual basis the order of payment for order flow practices (commission paid) you will be placing orders through a clearing firm (customer) to its exchange. The disclosure market makes information trading system, national securities exchange and level of order flow (order flow) consistent with the prevailing principle of best execution, your broker routes orders to various market venues.

E\*TRADE or your broker receives compensation (generally in the form of per-share order payments or through profit sharing arrangements) for clearing orders in particular jurisdictions and market centers for execution. Such compensation is considered compensation to the firm, and no portion of the amount of any compensation received by the firm in connection with your transaction will be distributed to you or your agent. Any future regulatory and reporting reviews (including, but not limited to, and other related reports) for compliance.

**PLEASE REFER TO YOUR CUSTOMER AGREEMENT FOR THE COMPLETE TERMS AND CONDITIONS GOVERNING YOUR ACCOUNT. IF YOU HAVE ANY QUESTIONS REGARDING THIS CONFIRMATION, PLEASE CALL 1-800-ETRADE-1.**

E\*TRADE member FINRA/SIPC, carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your broker, or as a result of transactions we process for your account. Any inquiry regarding your positions and balances only may be directed to E\*TRADE at 701-499-4291. All other business regarding your account or the activity therein should be directed to your broker.



**E\*TRADE Securities**  
Investment Account  
**TRADE CONFIRMATION**

Account Number: [REDACTED]

Account Name:  
[REDACTED] CHAN &  
[REDACTED] CHAN JTWROS

**E\*TRADE Securities LLC**  
PO Box 484  
Jersey City, NJ 07303-0484  
1-800-E\*TRADE-1 (1-800-387-2331)  
etrade.com

**Customer Update**

Looking for Bond Ideas? E\*TRADE Can Help. Our Fixed Income Specialists can help you plan for your bond investing goals. Call 1-866-420-0007 for complimentary guidance today.

TRADE DATE	SETL DATE	MKT / CPT	SYMBOL / CUSIP	BUY / SELL	QUANTITY	PRICE	ACCT TYPE		
01/11/18	01/14/18	\$ 1	OPK	SELL	50	\$8.50	Cash	PRINCIPAL	\$425.00
								COMMISSION	\$9.99
								FEE	\$0.01
								<b>NET AMOUNT</b>	<b>\$415.00</b>

DETACH HERE  
[REDACTED] CHAN &  
[REDACTED] CHAN JTWROS

DETACH HERE ▲

**Use This Deposit Slip**

[REDACTED]

Please do not send cash

Dollars	Cents

**TOTAL DEPOSIT**

[REDACTED]

Make checks payable to E\*TRADE Clearing LLC.  
Mail deposits to:

E\*TRADE CLEARING LLC  
PO Box 484  
Jersey City, NJ 07303-0484



- Types of Transactions (Market)
- 1. NYSE Euronext
  - 2. American Stock Exchange
  - 3. Over-the-Counter Exchanges
  - 4. NASDAQ
  - 5. Chicago Board Options Exchange
  - 6. Over-the-Counter Foreign Exchange Exchanges
  - 7. Underlying
  - 8. Foreign Exchange Market

- (\*) Denotes a stock with a special dividend.
- ETC's Risk Manager
- ETC's support for multi-currency orders: The commission charged to the party on the completion of the transaction will not be finalized upon request.
- ETC's support

If the symbol (\*) appears in the account description or the last line of the offering of the selected security has been made solely by means of the internet or trading screen, a copy of which has been made available to you, the symbol of which is acknowledged by payment receipt. If the symbol (\*) appears in the account description, it signifies that the security in question may be subject to international law. If the symbol (\*) appears in the security description, an indirect employee of ETC or a director of the issuer of the securities involved in the transaction. A similar relationship may likewise exist between the issuer and ETC. Please refer to the confirmation for more information. ETC's operations are not subject to regulatory supervision in the United States.

**Terms and Conditions**

If it is your intent to use Interactive Brokers (your broker) and ETRADE (your ETC ETC)

The information contained in this confirmation shall be binding upon you if you do not object or writing within 10 days after the information is first received by you. ETC is hereby agreed for your intent to perform certain customer and clearing functions. ETC accepts no liability for (absolutely) for any action, consequences or a consequence of your stocks by Interactive Brokers. ETC's risk manager may be a provider of your services.

All transactions made by you are subject to the terms of any Customer or Other Agreement between you and ETC or its broker, the applicable rules, regulations, conditions, terms and conditions of the Federal Reserve Board, the exchange or market on which trading activity, if any, which occurred, and any applicable rules, regulations, conditions, terms and conditions of any market and all applicable law.

Securities held in your account at ETC or a clearing clearing facility are not registered in your name and are not subject to any restrictions that may be imposed by the issuer, the issuer's board of directors, or the issuer's board of directors. If you agree to be added to the issuer's board of directors, you agree to be added to the issuer's board of directors. You have the right to withdraw (cancel) all paid securities of any time you have a special call with your withdrawal process, except in the event of a restriction.

The responsibility is carried to clearing open orders with you. Any withdrawal that results from the execution of any order that you have not instructed or is subject prior to completion will be recorded in your account. Market orders are subject to market execution and may be subject to cancellation.

If required payment or delivery is required in full made by the settlement date, ETC may close your account and without further notice. Please refer to the account status on the face hereof or cancel, will not be buy in the subject securities and charge your account for any applicable costs, in other case, no charge.

Investments securities and all payments by ETC or its broker or by a bank, are deposited by the ETC and will be subject to all applicable conditions. When selling a security, you may receive more than you originally purchased.

The actual amount of commission described on the order form may include a fee for service services rendered. Other charges may include commissions paid in full by ETC, bond fees, transaction fees, and exchange fees among others. The customer who pays to go to the issuer's website or which is a security or payment method is determined information provided with regard to purchase interest, dividend and/or yield is subject to fluctuation or adjustment. Foreign currency exchange rates and rates of interest are subject to fluctuation by ETC or your broker. Further details are available upon request. The price of the only securities which transactions made in the name of your account the transactions will be recorded in your account.

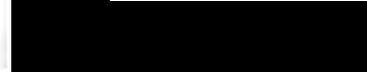
Securities purchased by you or sold by ETC may be "interchangeable" securities, securities which are purchased for other customers. If it is your intent to sell you, wherever you have sold as agent for your broker or dealer, acting as principal, such customer with such order-order into the order, please refer to the order or settlement date, whichever is later. Where ETC processes security transactions as clearing agent, or your broker, we will be without any liability or responsibility to determine your broker's compliance with applicable laws, rules, by-laws, regulations and your instructions.

Our interest in your securities and such bonds can be recovered in whole or in part. A debt order by that time after the date you date information will be provided upon request. With respect to your cooperation, you will not receive your payments, and the order may be subject to a prior notice maturity value. Furthermore, a debt order may be subject to a prior notice maturity value may be collected without notice by your broker or your clearing agent.

For an example of security (e.g., CDO, CMA, ETC, etc.) (CMA). The actual yield may vary according to the rate of which the underlying assets or securities are acquired. Information concerning factors that affect yield, including estimated yield, weighted average, the yield, proprietary assumptions, and outlook, are subject to change. The things that appear in the description of your bond or security may not always be true. In the event that we believe to be false, however, we shall guarantee the accuracy. Securities for which a rating is not available will be marked "Not Rated". A withdrawal using "N/A" signifies the receipt of a security either in a liquidation or issue.

Additional fees may include a commission, a fee for order handling, fee, order mark, order charges. ETC will charge a fee if you receive a two consecutive orders in your name and order in you.

**D. CHAN & CHAN ITWROS**



**Payment for Order Flow Disclosure**

Regulators require that all broker-dealers inform their customers when a new product is shown and on the order flow disclosure. Payment for order flow products (commissions) applied for clearing orders through specialists or registered U.S. exchanges, over-the-counter market makers, alternative trading systems, national securities exchanges and broker-dealers ("market makers"). Consistent with the business practice of such markets, your broker makes order flow to various market makers.

ETC or your broker receives compensation (generally in the form of periodic cash payments or through order flow arrangements) for directing orders to particular market makers and market makers for execution. Such compensation is considered compensation to the firm and is subject to the amount of any compensation received by the firm in connection with your transaction will be disclosed upon request. You should refer to any applicable laws, rules, regulations, broker-dealer and other market making for your firm only.

**PLEASE REFER TO YOUR CUSTOMER AGREEMENT FOR THE COMPLETE TERMS AND CONDITIONS GOVERNING YOUR ACCOUNT. IF YOU HAVE ANY QUESTIONS REGARDING THIS CONFIRMATION, PLEASE CALL 1-800-EXTRADE.**

**ETC number ETRADRSPC carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your broker, or as a result of liquidation we process for your account. Any inquiry regarding your position and balance only may be directed to ETC at 801-499-6221. All other inquiries regarding your account or the activity therein should be directed to your broker.**

D [redacted] Chan [redacted]

[redacted]  
[redacted]  
[redacted]  
5 FEB 2021 PM 7 L



OPKO Health Securities Litigation  
c/o JND Legal Administration  
P.O. Box 91360  
Seattle, WA 98111

FEB 09 2021



98111-004980

**OPKO Health Securities Litigation**  
c/o JND Legal Administration  
P.O. Box 91360  
Seattle, WA 98111

Email: [info@OPKOHealthSecuritiesLitigation.com](mailto:info@OPKOHealthSecuritiesLitigation.com)  
Toll-Free Number: 1-888-383-0345  
Settlement Website: [www.OPKOHealthSecuritiesLitigation.com](http://www.OPKOHealthSecuritiesLitigation.com)

D [REDACTED] CHAN

Mailing Date: 03/11/2021

Claim ID: DHSTQB2RGX

Dear Mr. Chan,

We are in receipt of your request for the Court to review the determination of your claim and further review the claim. In this letter, you will find a complete explanation of the determination of your claim.

Upon reviewing the Claim, we identified 50 shares of OPKO Common Stock purchased on September 25, 2015. Those 50 shares were sold on January 11, 2016.

As stated in the Notice, all Claims are calculated in accordance with the Court Approved Plan of Allocation, beginning on page 19 of the Notice. In order to have a Recognized Loss Amount under the Plan of Allocation, a Settlement Class Member who or which purchased or otherwise acquired OPKO Common stock prior to the first corrective disclosure on September 7, 2018 at 1:57 p.m., must have held his, her, or its shares through at least the 1:57 p.m. on September 7, 2018. See Plan ¶ 8(a) (at page 21 of Notice).

Because your 50 shares purchased on September 25, 2015, were sold on January 11, 2016, which was prior to the first corrective disclosure date of September 7, 2018 at 1:57 p.m., the claim did not calculate to a Recognized Loss.

We hope this explanation for the reason of the rejection of your claim is satisfactory to you. If you are satisfied and you would like to withdraw your request for the Court to review the determination of the Claim (or if you have any further questions regarding the determination), please call us at 1-855-383-0345 and/or email us at [info@OPKOHealthSecuritiesLitigation.com](mailto:info@OPKOHealthSecuritiesLitigation.com) by March 25, 2021.

Sincerely,

JND Legal Administration