



## Electronic Filing Instructions IN RE ENERGY RECOVERY, INC. SECURITIES LITIGATION

### I. Important Notes – PLEASE READ

- Electronic claim submissions apply to institutions or claim preparers filing on behalf of multiple clients or proprietary accounts, or to individuals filing a large number of transactions who have requested or been requested to file claims electronically.
- Electronic claim submissions **MUST** be accompanied by all documentation requirements outlined in Section IV of these instructions.
- Please provide all trade dates in **US** date format (**MM/DD/YYYY**).
- Please provide the holdings and transactions of the eligible securities outlined in Section II in order to conform with these electronic filing requirements.
- **One** unique claim will be created for each account number included on each of your submissions. If, after the filing deadline (August 4, 2017), you submit transactional data for any **account numbers** that **were not** included on any of your timely submissions, the claims for these accounts will be considered **late**.

### II. Eligible Securities

- **Beginning Holdings** are the number of shares of Energy Recovery common stock owned at the close of trading on **March 6, 2013**.
- Provide (in chronological order) all purchases and sales of Energy Recovery common stock made between **March 7, 2013** through **March 5, 2015**, inclusive
- **Ending Holdings** are the number of shares of Energy Recovery common stock owned at the close of trading on **March 5, 2015**.

### III. Methods of Submission

Electronic files will not be deemed properly submitted unless the Claims Administrator issues an email after processing your file with your claim numbers and respective account information. Do not assume that your file has been received or processed until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at [eClaim@gardencitygroup.com](mailto:eClaim@gardencitygroup.com) to inquire about your file and confirm it was received and acceptable.

The following methods are available for submitting your electronic claims:

## 1. **Internet – GCG ICE® ([www.gcgice.com](http://www.gcgice.com))**

- GCG ICE® is GCG's secure and user-friendly website designed to meet the claim filing needs of institutional investors and claim preparers<sup>1</sup> in securities class actions and similar administrations. Using GCG ICE®, registered users have the ability to upload their electronic claim submissions directly and securely to GCG and the benefit of being able to view the history and status of these submissions 24 hours a day, 7 days a week. The history and status functionality features access to claim numbers and specific claim rejection reasons, with instructions on how to fix rejected claims.
- Please visit [www.gcgice.com](http://www.gcgice.com) to register today so you can benefit from this service in this settlement as well as other, future settlements.

## 2. **Email**

- You may email your electronic claim submission to [eClaim@gardencitygroup.com](mailto:eClaim@gardencitygroup.com).
- If you choose to email your file, you MUST also attach all documentation requirements in the email as .pdf documents or equivalent.

## 3. **Mail**

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

**IN RE ENERGY RECOVERY, INC. SECURITIES LITIGATION**  
**c/o GCG**  
**Attn: Electronic Filing Department**  
**5151 Blazer Parkway, Suite A**  
**Dublin, OH 43017**

## **IV. Documentation Requirements**

The documentation requirements outlined below must be submitted with your electronic file. Your electronic claims will not be considered valid until all documentation requirements are received. Please note that one single document may meet more than one requirement.

### 1. **One Signed Proof of Claim and Release**

- You must complete the Claimant Identification Page, (Part I, Page 2) and Certification Page, (Part VIII, Page 8) of a single Proof of Claim and Release form, which will serve as an "umbrella" or "master" claim form for all accounts on your electronic file.

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<sup>1</sup> Although GCG ICE® was not designed for individuals, if you are an individual with a large number of transactions who requests or is requested to file claims electronically you may use this feature to file claims. Please contact the Electronic Filing Department for further information related to using GCG ICE®.

- The claim form must be signed by an authorized signatory who is also listed on your signature verification document and state the capacity (job title) of the signatory.
- You may reference the term "Various Accts" for the beneficial owner name if you are filing on behalf of multiple accounts or clients.

## 2. **Signature Verification Document**

- If you are an institution or claim preparer filing on behalf of client/customer or proprietary accounts (i.e., not an individual claimant), you must provide a document verifying that the individual who signed the claim form and any supplemental documents is authorized to sign on behalf of his/her company. Some common types of documents that fulfill this requirement include the following (this list is not exclusive and non-US entities may have different documents that fulfill this requirement. If you are a non-US entity, you must submit an equivalent document):
  - Copy of company's By-Laws, including signature page(s)
  - Copy of company's Corporate Resolution, including signature page(s)
  - Notarized Affidavit signed by an officer of the institution clearly granting a specific individual(s) authorization or confirming his/her authority to sign on behalf of his/her company.

## 3. **Data Verification Document(s)**

- If you are an institution or claim preparer filing on behalf of client/customer or proprietary accounts (i.e. not an individual claimant), you must provide a notarized affidavit or signed letter on firm letterhead which meets the below criteria:
  - Confirms the number of distinct accounts and transactions on your file
  - Discloses the source of your data (i.e. internal data retention system)
  - Attests to the truth and accuracy of the transactions and holdings on your electronic file
  - Is executed by an authorized signatory who is listed on your signature verification document, and specifies both the capacity and contact information of that signatory.

## 4. **Authorization Document** (if filing on behalf of client or customer accounts)

- If you are an institution or claim preparer filing on behalf of client/customer accounts (i.e. not an individual claimant), you must provide a current document verifying that you are authorized to file and sign claims on behalf of your clients.<sup>2</sup> Some common types of documents that fulfill this requirement include the following (this list is not exclusive and non-US entities may have different documents that fulfill this requirement. If you are a non-US entity, you must submit an equivalent document):
  - Power of Attorney
  - Service Agreement

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<sup>2</sup> If you are filing in a Third Party capacity and your client is not the beneficial owner then documentation must also be provided to confirm that your client is authorized to file on behalf of their clients who are the ultimate beneficial owners.

- Signed/dated letter on client's company letterhead specifically granting your company authority to file/sign claims on their behalf.
- Notarized affidavit or signed letter on your company's letterhead confirming your authority to file and sign claims on behalf of your clients. It must be executed by an officer of the company who is also listed on your signature verification document and reference the capacity and contact information of the signatory.

### **Additional Documentation (if requested) - Data Integrity Audit**

GCG may request random entities, as deemed appropriate by GCG, who file claims electronically to provide documentation to support certain transactions and/or holdings in specific claims. This data integrity audit is designed to verify the overall integrity of a data file. Accordingly, the documentation provided must be independent in nature and sufficient to verify the validity and accuracy of the entire data file.

Even if you provided a letter/affidavit attesting to the truth and accuracy of your data when initially submitting your file electronically, we will **require** specific documentary evidence (trade confirmations, monthly statement, or equivalent) to independently verify the details of the transactions and/or holdings requested, if your file is selected for a data integrity audit.

**\* Failure to comply with this audit request will result in the rejection of ALL claims on your electronic submission \***

## **V. Required Filing Format**

### **General Instructions**

- Files may be submitted as a fixed-length text file or an Excel spreadsheet
- All fields in the below format must be included on your file
- Any fields that do not apply to your file must be left blank (do not delete any fields)
- Your file must include one header row with column headings
- Your file must be sorted in the following order:
  - account number
  - security identifier
  - transaction type
- Do not exceed maximum character lengths for any field
- Do not provide any blank rows on your file
- Any files not in accordance with the below format are subject to rejection
- For Excel spreadsheets:
  - Whenever possible, your file should be limited to one tab with all account and transactional data

- The “Length” column in the below format specifies the maximum number of characters for each Excel field

### **Required File Layout**

<b>Col</b>	<b>Field</b>	<b>Start Position</b>	<b>Length</b>	<b>Notes</b>
A	Company Name	1	40	Name of Company for Mailing of Checks (see Address Notes below) <ul style="list-style-type: none"> <li>• Include a “c/o” before your company name if you require checks made out to the beneficial owner c/o your company.</li> </ul>
B	Address 1	41	40	Address1 Information for Mailing of Checks (see Address Notes below)
C	Address 2	81	40	Address2 Information for Mailing of Checks (see Address Notes below)
D	City	121	30	City for Mailing of Checks (see Address Notes below)
E	State	151	2	2 Character State Abbreviation for Mailing of Checks (see Address Notes below)
F	Zip5	153	5	5 Digit Zip for Mailing of Checks (see Address Notes below)
G	Zip4	158	4	4 Digit Zip for Mailing of Checks (see Address Notes below)
H	Country Code	162	2	2 character Country abbreviation ( <b>only</b> for foreign addresses)
I	Customer Acct Name	164	40	Name of Account / Beneficial Owner
J	Customer Acct Number	204	30	Account Number
K	SSN or Tax ID Number	234	4	Last four digits of Social Security Number or Tax ID Number (leave column blank for foreign entities)
L	Security Identifier Number	238	14	CUSIP, ISIN, or SEDOL Number of the Security
M	Transaction Type	252	2	<b>B</b> = Beginning Holdings <b>P</b> = Purchase (includes purchases to cover short sales) <b>S</b> = Sale (includes short sales) <b>U</b> = Unsold (Ending) Holdings <b>R</b> = Free Receipt (transfer in) <b>D</b> = Free Deliver (transfer out)  <b>Note:</b> When inputting beginning and unsold holdings, the trade date column <u>must</u> indicate the holding date. Price per share and net amount columns <u>must</u> be left blank.
N	Trade Date	254	10	Trade date in <b>MM/DD/YYYY</b> format (including foreign entities)
O	Quantity	264	20	Number of shares associated with this transaction (this value can <u>ONLY</u> be negative for short beginning or ending holdings positions)
P	Price Per Share	284	20	Price of each Share <ul style="list-style-type: none"> <li>• This column should be blank <u>ONLY</u> when providing beginning or ending holdings or shares involved in a receipt or deliver.</li> </ul>
Q	Aggregate Cost / Amount Received	304	20	Total value of the transaction (excluding commissions, taxes, and fees); <ul style="list-style-type: none"> <li>• This column should be blank <u>ONLY</u> when providing beginning or ending holdings or shares involved in a receipt or deliver.</li> </ul>
R	Currency Type	324	3	Type of currency associated to transaction (USD, EUR, GBP, etc.)
S	Exercise / Assign / Expiration Flag	327	1	<b>A</b> = Assigned, <b>E</b> = Exercised <ul style="list-style-type: none"> <li>• This column must be used if the common stock transaction is the result of the exercise or assignment of an option.</li> </ul>
T	Client Name	328	20	<b>If you are a third party claim preparer filing on behalf of multiple clients on a single claim submission, please provide a distinct client name in this column</b>

## **VI. Electronic Filing Notes**

### **Addresses**

- Claims and checks (if the claim is eligible) will be created based on the account and address information provided on your electronic file.
- If you require checks to be made out directly to the beneficial owner but still sent to your company, please include a “c/o” before your company name in column A of your file.
- If you require checks to be mailed to some other party (i.e. directly to the custodian bank for each account or directly to the beneficial owner), please **do not** include your company name on the electronic file, and contact us for additional details about the proper electronic file layout to accommodate your request.
- For foreign addresses, the two character country code must be provided in column H, all address information (including full country names and provinces) must be included in the two address fields (columns B-C), and the city, state, zip fields (columns D-G) must be left blank.
- If you are a third party claim preparer filing on behalf of multiple clients on a single claim submission, you **must** provide the distinct client name in column T of your electronic claim submission.

### **Securities**

- All transactions and holding positions **must** reference an appropriate security identifier (CUSIP, ISIN, or SEDOL) in column L of your file.
- All securities for each account must balance. This means that the beginning holdings plus purchases (including free receives) during the Class Period **MUST EQUAL** total sales (including free deliveries) during the Class Period plus the ending/unsold holdings.
- Negative values may **only** be given for beginning and ending/unsold holdings (transaction type “U”). All other transactions must reflect positive values.

### **Transfers**

Free receive/free deliver (transfer in/out) transactions are not eligible for payment unless you have additional information regarding the original purchase(s) from the prior account or the ultimate sale(s) or ending holdings from the subsequent account.

If you have this information, you must combine or amend your accounts as follows:

- **Shares Received into Account** – Provide the original purchase of these shares from the prior account rather than the “free receive” transaction.
- **Shares Delivered out of Account** – Provide the sale(s) and/or ending holdings from the subsequent account rather than the “free deliver” transaction.

If you have no information available on the original purchase/subsequent sale, you must provide the free receive/deliver transactions in their respective claim(s) for **balancing purposes only**. A free receive or transfer in must be reflected as a transaction type “R” and a free deliver or transfer out must be reflected as a transaction type “D” (prices and net amounts must be zero). **THESE TRANSACTIONS WILL NOT BE CONSIDERED ELIGIBLE AND WILL BE EXCLUDED FROM THE CALCULATION OF YOUR CLAIM.**