

NEWLINK SECURITIES LITIGATION
C/O RUST CONSULTING INC - 7212
PO BOX 44
MINNEAPOLIS MN 55440-0044

IMPORTANT LEGAL MATERIALS



CLAIM FORM

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

MICHAEL NGUYEN and KELLY NGUYEN, Individually
and on Behalf of All Others Similarly Situated,

Plaintiff,

vs.

NEWLINK GENETICS CORPORATION, CHARLES J.
LINK, JR., and NICHOLAS N. VAHANIAN,

Defendants.

Case No. 1:16-CV-3545

HON. WILLIAM H. PAULEY, III

PROOF OF CLAIM AND RELEASE

Deadline for Submission: August 16, 2021

If you purchased or otherwise acquired NewLink common stock (trading symbol NLNK) in a Covered Transaction between September 17, 2013 and May 9, 2016, inclusive, you could get a payment from a class action settlement.

IF YOU ARE A CLASS MEMBER, YOU MUST COMPLETE AND SUBMIT THIS FORM IN ORDER TO BE ELIGIBLE FOR ANY SETTLEMENT BENEFITS.

YOU MUST COMPLETE AND SIGN THIS PROOF OF CLAIM AND RELEASE ("PROOF OF CLAIM") AND MAIL IT BY FIRST CLASS MAIL, POSTMARKED NO LATER THAN AUGUST 16, 2021 TO THE FOLLOWING ADDRESS:

NewLink Securities Litigation
c/o Rust Consulting, Inc. - 7212
P.O. Box 44
Minneapolis, MN 55440-0044
(by regular mail)

NewLink Securities Litigation
c/o Rust Consulting, Inc. - 7212
625 Marquette Ave., Suite 900
Minneapolis, MN 55402
(by express mail)

YOUR FAILURE TO SUBMIT YOUR CLAIM BY AUGUST 16, 2021 WILL SUBJECT YOUR CLAIM TO REJECTION AND PRECLUDE YOUR RECEIVING ANY MONEY IN CONNECTION WITH THE SETTLEMENT OF THIS ACTION. DO NOT MAIL OR DELIVER YOUR CLAIM TO THE COURT OR TO ANY OF THE PARTIES OR THEIR COUNSEL AS ANY SUCH CLAIM WILL BE DEEMED NOT TO HAVE BEEN SUBMITTED. SUBMIT YOUR CLAIM ONLY TO THE CLAIMS ADMINISTRATOR.

CLAIMANT'S STATEMENT

1. I (we) purchased NewLink common stock in Covered Transactions and was (were) damaged thereby. (Do not submit this Proof of Claim if you did not purchase NewLink common stock during the designated Class Period).
2. By submitting this Proof of Claim, I (we) state that I (we) believe in good faith that I am (we are) a Class Member as defined above and in the Notice of Pendency and Proposed Settlement of Class Action (the "Notice"), or am (are) acting for such person(s); that I am (we are) not a Defendant in the Action or anyone excluded from the Class; that I (we) have read and understand the Notice; that I (we) believe that I am (we are) entitled to receive a share of the Net Settlement Fund, as defined in the Notice; that I (we) elect to participate in the proposed Settlement described in the Notice; and that I (we) have not filed a request for exclusion. (If you are acting in a representative capacity on behalf of a Class Member [e.g., as an executor, administrator, trustee, or other representative], you must submit evidence of your current authority to act on behalf of that Class Member. Such evidence would include, for example, letters testamentary, letters of administration, or a copy of the trust documents.)
3. I (we) consent to the jurisdiction of the Court with respect to all questions concerning the validity of this Proof of Claim. I (we) understand and agree that my (our) claim may be subject to investigation and discovery under the Federal Rules of Civil Procedure, provided that such investigation and discovery shall be limited to my (our) status as a Class Member(s) and the validity and amount of my (our) claim. No discovery shall be allowed on the merits of the Action or Settlement in connection with processing of the Proof of Claim.
4. I (we) have set forth where requested below all relevant information with respect to each purchase of NewLink common stock shares during the Class Period, and each sale, if any. I (we) agree to furnish additional information to the Claims Administrator to support this claim if requested to do so.
5. I (we) have enclosed photocopies of the stockbroker's confirmation slips, stockbroker's statements, or other documents evidencing each purchase, sale or retention of NewLink common stock listed below in support of our claim. (IF ANY SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN A COPY OR EQUIVALENT DOCUMENTS FROM YOUR BROKER BECAUSE THESE DOCUMENTS ARE NECESSARY TO PROVE AND PROCESS YOUR CLAIM.)
6. I (we) understand that the information contained in this Proof of Claim is subject to such verification as the Claims Administrator may request or as the Court may direct, and I (we) agree to cooperate in any such verification. (The information requested herein is designed to provide the minimum amount of information necessary to process most simple claims. The Claims Administrator may request additional information as required to efficiently and reliably calculate your recognized claim. In some cases, the Claims Administrator may condition acceptance of the claim based upon the production of additional information, including, where applicable, information concerning transactions in any derivatives securities such as options.)
7. Upon the occurrence of the Effective Date, as defined in the Notice, I (we) agree and acknowledge that my (our) signature(s) hereto shall effect and constitute a full and complete release, remise and discharge by me (us) and my (our) Immediate Family members, respective past, present and future general partners, limited partners, principals, shareholders, investors (however denominated), joint ventures, members, officers, directors, managers, managing directors, supervisors, employees, contractors, consultants, auditors, accountants, financial advisors, professional advisors, investment bankers, representatives, insurers, trustees, trustors, agents, attorneys, professionals, predecessors, successors, assigns, heirs, executors, administrators, and any controlling person thereof, of each of the "Released Defendants' Parties", as defined in the Notice.
8. 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. All Claimants MUST submit a manually signed paper Proof of Claim form whether or not they also submit electronic copies. If you wish to file your claim electronically, you must contact the Claims Administrator at 1-866-458-3187 or visit their website at www.newlinksecuritieslitigation.com to obtain the required file layout. No electronic files will be considered to have been properly submitted unless the Claims Administrator issues to the Claimant a written acknowledgment of receipt and acceptance of electronically submitted.



FOR OFFICIAL USE ONLY

01

**MUST BE POSTMARKED
ON OR BEFORE
AUGUST 16, 2021**

Page 1 of 3

PART I - CLAIMANT INFORMATION

Beneficial Owner's First Name: _____ MI: _____ Beneficial Owner's Last Name: _____

Co-Beneficial Owner's First Name: _____ MI: _____ Co-Beneficial Owner's Last Name: _____

Entity Name (if claimant is not an individual): _____

Representative or Custodian Name (if different from Beneficial Owner(s) listed above): _____

Address 1: _____

Address 2: _____

City: _____ State: _____ ZIP: _____

Foreign Province: _____ Foreign Country: _____

Day Phone: (_____) _____ - _____ Evening Phone: (_____) _____ - _____

Email Address: _____

Account Number: _____

Specify one of the following:

☐ Individual(s) ☐ Corporation ☐ UGMA Custodian ☐ IRA ☐ Partnership ☐ Estate ☐ Trust

☐ Other: _____

Enter Social Security Number (SSN) or Taxpayer Identification Number (TIN) below for the Beneficial Owner.

SSN (for individuals): _____ OR TIN (for estates, trusts, corporations, etc.): _____





PART II - TRANSACTIONS IN NEWLINK COMMON STOCK

Beginning Holdings:

State the total number of shares of NEWLINK common stock owned at the close of trading on September 16, 2013, long or short (*must be documented*).

Purchases:

A. Separately list each and every purchase of NEWLINK common stock in a Covered Transaction during the period from September 17, 2013 and May 9, 2016, inclusive, and provide the following information (*must be documented*):

Trade Date (List Chronologically) (Month/Day/Year)	Number of Shares Purchased	Price	Total Cost (Excluding Commissions, Taxes, and Fees)

Sales:

B. Separately list each and every sale of NEWLINK common stock in a Covered Transaction during the period September 17, 2013 and May 9, 2016, inclusive, and provide the following information (*must be documented*):

Trade Date (List Chronologically) (Month/Day/Year)	Number of Shares Sold	Price	Amount Received (Excluding Commissions, Taxes, and Fees)

Ending Holdings:

State the total number of NEWLINK common stock owned at the close of trading on May 9, 2016, long or short (*must be documented*).

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



Certification

I (We) certify that I am (we are) NOT subject to backup withholding under the provisions of Section 3406 (a)(1)(c) of the Internal Revenue Code because: (a) I am (We are) exempt from backup withholding, or (b) I (We) have not been notified by the I.R.S. that I am (we are) subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the I.R.S. has notified me (us) that I am (we are) no longer subject to backup withholding.

NOTE: If you have been notified by the I.R.S. that you are subject to backup withholding, please strike out the language that you are not subject to backup withholding in the certification above.

UNDER THE PENALTIES OF PERJURY, I (WE) CERTIFY THAT ALL OF THE INFORMATION I (WE) PROVIDED ON THIS PROOF OF CLAIM AND RELEASE FORM IS TRUE, CORRECT AND COMPLETE.

Signature of Claimant (If this claim is being made on behalf of Joint Claimants, then each must sign)

Beneficial Owner Signature: _____ Date: _____

Co-Beneficial Owner Signature: _____ Date: _____

Capacity of person(s) signing, e.g. beneficial purchaser(s), executor, administrator, trustee, etc. (See Item 2 on Page 2 for instructions):

THIS PROOF OF CLAIM MUST BE SUBMITTED NO LATER THAN AUGUST 16, 2021 AND MUST BE MAILED TO:

NewLink Securities Litigation
c/o Rust Consulting, Inc. - 7212
P.O. Box 44
Minneapolis, MN 55440-0044
(by regular mail)

NewLink Securities Litigation
c/o Rust Consulting, Inc. - 7212
625 Marquette Ave., Suite 900
Minneapolis, MN 55402
(by express mail)

A Proof of Claim received by the Claims Administrator shall be deemed to have been submitted when posted, if mailed by August 16, 2021 and if a postmark is indicated on the envelope and it is mailed first class and addressed in accordance with the above instructions. In all other cases, a Proof of Claim shall be deemed to have been submitted when actually received by the Claims Administrator.

REMINDER CHECKLIST

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