RG/2 ELECTRONIC FILING REQUIREMENTS
GRIDSUM SECURITIES SETTLEMENT

1. **Signed Master Proof of Claim** and release must be submitted with electronic file covering all the accounts included on the file.
2. **Cover Letter** specifying case name, <u>number of accounts</u> and number of lines included on the file, contact name including phone number and e-mail address, wording   indicating the company attests to the truth and accuracy of the information   on   the   file,   and   an authorized signature.
3. **Proof of Authority** indicating that the company is authorized to sign on behalf of its clients and that the signor of the claim is authorized to sign on behalf of the company submitting the file.
4. **Electronic File** in excel format. This file may be sent on either on a flash drive or sent via e-mail to tchiango@rg2claims.com or info@rg2claims.com.

5. There should be 3 tabs on the Excel file as follows:

First Tab – Labeled ADSs

COLUMN	FIELD	DESCRIPTION
A	Claimant #	Client's, account's or beneficial owner's account #
B	Tax ID	Social security number or Tax ID number of client
C	Care of	Name of company submitting the file
D	Company	Name of client, account, or beneficial owner
E	Account Type	Individual, Joint, Partnership, Estate, Corporation, Trust, IRA Account, Other
F	Address Line 1	
G	Address Line 2	
H	City	
I	State	
J	Zip Code	
K	Foreign Province	
L	Foreign Country	
M	Work Phone	
N	Home Phone	
O	Email	
P	Stock Ticker (GSUM)	
Q	Transaction Type	P=Purchases During Class Period **(9/22/2016 – 1/07/2019)** S=Sales During Extended Class Period **(9/22/2016 – 4/5/2019)*** R=Free Receipt** D=Free Delivery**
R	Trade Date	
S	No. of Shares	
T	Price Per Share	
U	Total Price (excluding taxes, commissions and fees)	
V	Was transaction a result of exercise or assignment of option ("E" if exercise; "A" if assignment). Leave blank if not result of exercise or assignment.	
W	Total ADSs Purchased/Acquired between **1/8/2019 – 4/5/2019**	
X	Ending ADS Balance 1 (as of the close of trading on **1/07/2019**)	
Y	Ending ADS Balance 2 (as of the close of trading on **4/5/2019**)	

 * Includes the 90-day lookback period

**Free Receipt/Free Delivery Shares:

If shares were transferred between accounts, the account that owned the shares most recently, or sold the shares, should be the account claiming the purchases. The purchases should NOT be included on both accounts. If the shares were for the same beneficial owner, the accounts should be combined and included on the most recent account name and number.

If no further information can be provided on the free receipt/free delivery shares, and the number of shares are being provided for balancing purposes only, please note that these transactions will NOT be eligible and will be excluded from the damage calculations of the claim.

Second Tab – Labeled Call Options

COLUMN	FIELD	DESCRIPTION
A	Claimant #	Client's, account's or beneficial owner's account #
B	Transaction Type	P=Purchases During Class Period **(9/23/2016 – 1/8/2019)**
		S=Sales During Extended Class Period **(9/23/2016 – 1/8/2019)**
		E=Ending (positions as of **close** on **1/8/2019**)
C	Trade Date (**not needed for ending**)	
D	Strike Price of Call Option	
E	Expiration Date of call (month/day/year)	
F	Option Class Symbol	
G	Number of Call Option Contracts	
H	Price Per Call (excluding taxes, commissions and fees) (**not needed ending**)	
I	Status: Exercised ("**E**"); Assigned ("**A**"); or Expired ("**X**")	
J	Exercise/Assignment Date (month/day/year)	

Third Tab – Labeled Put Options

COLUMN	FIELD	DESCRIPTION
A	Claimant #	Client's, account's or beneficial owner's account #
B	Transaction Type	P=Purchases During Class Period **(9/23/2016 – 1/8/2019)**
		S=Sales (Writing) During Class Period **(9/23/2016 – 1/8/2019)**
		E=Ending (positions as of **close** on **1/8/2019**)
C	Trade Date (**not needed for ending**)	
D	Strike Price of Put Option	
E	Expiration Date of Put (month/day/year)	
F	Option Class Symbol	
G	Number of Put Option Contracts	
H	Price Per Put (excluding taxes, commissions and fees) (**not needed for ending**)	
I	Status: Exercised ("**E**"); Assigned ("**A**"); or Expired ("**X**")	
J	Exercise/Assignment Date (month/day/year)	