

Electronic Claim Filing is intended for Institutions, Brokers and Nominees only.  
Failure to comply with these instructions may result in rejection of your claim(s).

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## OVERVIEW

Case Name: In Re SunPower Corporation Securities Litigation  
Case Number: 3:23-cv-05544-RFL  
Class Period: May 3, 2023, to July 19, 2024, inclusive  
Eligible Securities: SunPower common stock purchased/acquired during Class Period  
SunPower Call Options purchased/acquired during the Class Period  
SunPower Put Options written during the Class Period

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## LINKS

<a href="#">Claim Form</a>	<a href="#">Online Portal</a>
<a href="#">Beneficial Owner Data – Excel Template</a>	<a href="#">Main Settlement Website</a>
<a href="#">Common Stock Transactions - Excel Template</a>	<a href="#">Email to Settlement Inbox</a>
<a href="#">Options Transactions -Excel Template</a>	

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## FILING PROCESS

**Step 1 - Data Documents:** **⚠ CSV REQUIREMENT; Only CSV files will be accepted** Populate the Excel data templates as directed in the Excel data requirements.

Requirements For Beneficial Owner Data - Excel Template	Page 2
Requirements For Common Stock Transactions - Excel Template	Page 3
Requirements For Option Transactions - Excel Template	Page 4

**Step 2 - Supporting Documents:** Prepare PDF copies of the completed and signed Proof of Claim Form, Proof of Authority to File, Signature Verification, and Declaration of Data Source, (e.g. "All data was extracted directly from the beneficial owner's proprietary database", or a similar declaration).

**Step 3 - Claim Submission:** **⚠ ONLINE FILING REQUIREMENT;** Submit all documents via the online portal: [<enter settlement website>](#)

**Step 4 - Confirmation:** **⚠ CONFIRMATION REQUIREMENT;** Save a copy of the Submission Confirmation email for your records. Submissions will only be considered to have been properly submitted if the Claims Administrator issues an email indicating receipt of electronically submitted data. Do not assume your submission was accepted. If you do not receive such an email within 10 days of your submission, please email [<insert email address here>](#) to inquire about your file and confirm it was received. In the subject provide your entity name followed by "[ Pending Submission Confirmation ]."

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### **REQUIREMENTS FOR BENEFICIAL OWNER DATA – EXCEL TEMPLATE**

#### **Column A – Beneficial Owner Name**

The correct, complete, unabbreviated name of the beneficial owner(s) for each claim MUST be provided. Please do not put “FBO” or the like in front of the beneficial owner’s name.

#### **Column B – Co-Owner Name**

Name of Co-Owner (if applicable)

#### **Column C – Representative**

Representative Name, or Third-Party Entity. Only include c/o or FBO if required for Settlement Checks

#### **Column D – Addr1**

First Line of Address of the Beneficial Owner

#### **Column E - Addr2**

Second Line of Address of the Beneficial Owner

#### **Column F - City**

City for Addr1, Addr2 (DO NOT USE FOR FOREIGN ADDRESSES)

#### **Column G – State**

Two letter U.S. State Postal Code; e.g. NY (DO NOT USE FOR FOREIGN ADDRESSES)

#### **Column H – Zip**

Five digit zip code. If you are providing nine digit zip, format with hyphen; e.g. 99999-9999

#### **Column I - Country**

If foreign address, use this for country name. LEAVE BLANK IF THIS IS AN ADDRESS IN THE U.S.A., Puerto Rico, or Virgin Islands

#### **Column J – Foreign Address Flag: Identifier for addresses not located in the U.S.A.**

Y = If the address provided above is NOT a U.S. address

N = All other

#### **Column K – TIN Beneficial Owner**

Tax Identification Number for the Beneficial Owner. Please format NNN-NN-NNNN

#### **Column L – Account Number**

A Unique Account number must be provided for each separate beneficial owner. A separate claim will be created for each unique Account Number in your file.

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### REQUIREMENTS FOR COMMON STOCK TRANSACTIONS – EXCEL TEMPLATE

**Column A – Account Number:** Account number where transaction occurred  
Alpha and numeric characters accepted

**Column B – Type of Security:** Code that explains the type of eligible instrument  
Common Stock

**Column C – CUSIP/ISIN:** Security identifier of the eligible instrument  
CUSIP = 867652406 • ISIN = US8676524064  
Ticker = SPWR & SPWRQ (Ticker symbol change from SPWR to SPWRQ occurred August 16, 2024)

**Column D – Transaction Type:** Code that represents the type of transaction  
B = Starting Position • U = Ending Position • P = Purchase • S = Sale • I = Transfer In  
O = Transfer Out

**Column E – Trade Date:** Trade Date (not Settlement Date) in date format MM/DD/YYYY  
05/02/2023 for B position • 07/19/2024 for U position  
05/03/2023 through 07/19/2024, dates inclusive, for P, S, I, and O transactions

**Column F – Quantity:** Number of shares traded  
Quantities for B and U positions should be negative for short and positive for long  
Absolute values are required for P, S, I, and O transaction types

**Column G – Price:** Price per share paid or received in USD  
Absolute values are required for P and S  
Leave blank for B, U positions as well as I and O transactions  
Price must be in US Dollars  
Exclude taxes, commissions, and fees

**Column H – Total Amount Paid or Received:** Total value of transaction in USD  
Absolute values required for P and S  
Leave blank for B, U, I, and O  
Amount must be in US Dollars  
Exclude taxes, commissions, and fees

**Column I - DRIP Flag:** Identifier for purchases through a dividend reinvestment plan  
Y = If P transaction was a dividend reinvestment  
Leave blank = All other

**Column J – Option Flag:** Identifier for purchases or sales resulting from an option  
Y = If P or S transaction was the result of an option exercise/assignment  
Leave blank = All other

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**Column K – Short Sale Flag:** Identifier for short sales and covering purchases

Y = If S transaction created a short position or P covered a short position

Leave blank = All other

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### REQUIREMENTS FOR OPTIONS TRANSACTIONS – EXCEL TEMPLATE

**Column A – Account Number:** Account number where transaction occurred

Alpha and numeric characters accepted

**Column B – CUSIP/ISIN:** Security identifier of the underlying eligible common stock

CUSIP = 867652406 • ISIN = US8676524064

Ticker = SPWR & SPWRQ (Ticker symbol change from SPWR to SPWRQ occurred August 16, 2024)

**Column C – Expiration Date:** Option expiration date) in date format MM/DD/YYYY

All elements of the date are required.

Do not provide month and year only.

**Column D – Option Type:** Type of option traded

C = Call • P = Put

**Column E – Strike Price:** The price at which the option holder can buy or sell the underlying common stock

C = Call • P = Put

**Column F – Transaction Type:** Code that represents the type of transaction

B = Starting Position • U = Ending Position • P = Purchase • S = Sale • I = Transfer In

O = Transfer Out

**Column G – Trade Date:** Trade Date (not Settlement Date) in date format MM/DD/YYYY

05/02/2023 for B position • 07/19/2024 for U position

05/03/2023 through 07/19/2024, dates inclusive, for P, S, I, and O transactions

**Column H – Contracts:** Number of contracts traded

Quantities for B and U positions should be negative for short and positive for long

Absolute values are required for P, S, I, and O transaction types

**Column I – Price:** Price per contract paid or received in USD

Absolute values are required for P and S

Leave blank for B, U positions as well as I and O transactions

Price must be in US Dollars

Exclude taxes, commissions, and fees

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**Column J – Total Amount Paid or Received:** Total value of transaction in USD

Absolute values required for P and S  
Leave blank for B, U, I, and O  
Amount must be in US Dollars  
Exclude taxes, commissions, and fees

**Column K - Currency:** Currency in which the price and total amount paid or received are being reported

USD (Column I and Column J values must be in USD)

**Column L – Exercised Assigned Expired:** Fate of contract not closed by an offsetting Purchase (P), Sale (S), Transfer In (I), or Transfer Out (O) of the same contract

E = Exercised (Purchased calls and puts)  
A = Assigned (Written calls and puts)  
X = Expired (Any option that was not offset by a P, S, I, or O of that same option and was not Exercised or Assigned)

**Column M – Date Of Exercise or Assignment:** in date format MM/DD/YYYY

Only populate for contracts designated as Exercised or Assigned in Column L.  
All elements of the date are required.  
Do not provide month and year only.