

UNITED STATES DISTRICT COURT
CENTRAL DISTRICT OF CALIFORNIA

KENNETH S. GROSSMAN, Individually and on
Behalf of All Others Similarly Situated,

Plaintiff,

vs.

DAVID SIN, et al.,

Defendants.

Case No. 2:23-cv-09501-MRA-MAA

CLASS ACTION

NOTICE OF PENDENCY AND PROPOSED SETTLEMENT OF CLASS ACTION

A Federal Court authorized this Notice. This is not a solicitation from a lawyer.

NOTICE OF PENDENCY OF CLASS ACTION: Please be advised that your rights may be affected by the above-captioned class action lawsuit pending in this Court (the “Litigation”) if you purchased or otherwise acquired the common stock (“Common Stock”) of Rockley Photonics Holdings Limited (“Rockley” or the “Company”) between August 11, 2021 and January 23, 2023, inclusive (the “Class Period”).¹

NOTICE OF SETTLEMENT: Please also be advised that Lead Plaintiffs Jonathan Lottner, individually and as owner of Munsel Limited and indirect beneficial owner of Cosmos Investments Assets Limited, and Federico Huergo, individually and as owner of Lensis Group Limited and Zenalia Investment Corp. and director of Fitz Investment Limited (“Lead Plaintiffs”), on behalf of the Class (as defined in ¶1 below), have reached a proposed settlement of the Litigation for a total of \$10 million in cash that will resolve all claims in the Litigation (the “Settlement”).

This Notice explains important rights you may have, including your possible receipt of cash from the Settlement. Your legal rights will be affected whether or not you act. Please read this Notice carefully!

1. **Description of the Litigation and the Class:** This Notice relates to a proposed Settlement of a class action lawsuit pending against defendants Andrew Rickman, Mahesh Karanth, and Richard Meier (together, “Defendants”). The proposed Settlement, if approved by the Court, will apply to the following Class (the “Class”): All persons or entities that, between August 11, 2021 and January 23, 2023, inclusive (the “Class Period”), purchased or otherwise acquired Rockley Common Stock, and were harmed thereby. Excluded from the Class are: (i) Defendants; (ii) the former officers and directors of Rockley, Rockley Photonics Limited, SINCap, SC Health Corporation, SC Health Holdings Limited, and SC Health Group Limited; (iii) any persons or entities that automatically acquired Rockley Common Stock in exchange for securities of Rockley Photonics Limited in connection with the Merger (with such exclusion limited to their Rockley Common Stock exchanged for securities of Rockley Photonics Limited, and not Rockley Common Stock purchased or otherwise acquired during the Class Period); (iv) the immediate family members of any of the foregoing; (v) the legal representatives, heirs, successors, or assigns of any of the foregoing; (vi) any entity in which any of the foregoing have or had a controlling interest; and (vii) any Persons who properly exclude themselves by submitting a valid and timely request for exclusion. Anyone with questions as to whether or not they are excluded from the Class may call the Claims Administrator toll-free at 1-888-663-7634.

2. **Statement of Class’ Recovery:** Subject to Court approval, and as described more fully in ¶¶44-51 below, Lead Plaintiffs, on behalf of the Class, have agreed to settle all Released Plaintiffs’ Claims (as defined in ¶47 below) against Defendants and other Released Defendant Parties (as defined in ¶46 below) in exchange for a settlement payment of \$10 million in cash (the “Settlement Amount”) to be deposited into an escrow account. The Net Settlement Fund (the Settlement Fund less Taxes and Tax Expenses, Notice and Administration Expenses, attorneys’ fees and litigation expenses, and an amount to Lead Plaintiffs pursuant to 15 U.S.C. §78u-4(a)(4) in connection with their representation of the Class) will be distributed in accordance with a plan of allocation (the “Plan of Allocation”) that will be approved by the Court and will determine how the Net Settlement Fund shall be distributed to Members of the Class. The Plan of Allocation is a basis for determining the relative positions of Class Members for purposes of allocating the Net Settlement Fund. The proposed Plan of Allocation is included in this Notice, and may be modified by the Court without further notice.

3. **Statement of Average Distribution Per Share:** The Settlement Fund consists of the \$10 million Settlement Amount plus interest earned. Assuming all estimated potential Class Members elect to participate, the estimated average recovery is \$0.11 per damaged share before deduction of Court-approved fees and expenses. Class Members may recover more or less than this amount depending on, among other factors, the aggregate value of the Recognized Claims represented by valid and acceptable Proof of Claim and Release forms (“Claim Form” or “Proof of Claim”); when their shares were purchased or acquired and the price at the time of purchase or acquisition; whether the shares were sold, and if so, when they were sold and for how much. In addition, the actual recovery of Class Members may be further reduced

¹ All capitalized terms used in this Notice that are not otherwise defined herein shall have the meanings provided in the Stipulation of Settlement dated January 20, 2026 (the “Stipulation”), which is available on the website www.RockleySecuritiesSettlement.com.

by the payment of fees and costs from the Settlement Fund, as approved by the Court, including the cost of notifying Class Members, settlement administration, and any attorneys' fees and expenses awarded by the Court to Lead Counsel and any award to Lead Plaintiffs for their representation of the Class.

4. **Statement of the Parties' Position on Damages:** Defendants vigorously deny and have denied all claims of wrongdoing, that they engaged in any wrongdoing, that they are liable to Lead Plaintiffs and/or the Class, and that Lead Plaintiffs or other Members of the Class suffered any injury. Moreover, the parties do not agree on the amount of recoverable damages if Lead Plaintiffs were to prevail on each of the claims. The issues on which the parties disagree include, but are not limited to, whether: (i) the statements made or facts allegedly omitted were material, false, or misleading; (ii) Defendants are otherwise liable under the securities laws for those statements or omissions; and (iii) all or part of the damages allegedly suffered by Members of the Class were caused by economic conditions or factors other than the allegedly false or misleading statements or omissions.

5. **Statement of Attorneys' Fees and Expenses Sought:** Lead Counsel will apply to the Court for an award of attorneys' fees from the Settlement Fund of no more than 30% of the Settlement Amount, plus interest earned at the same rate and for the same period as earned by the Settlement Fund. In addition, Lead Counsel will also apply to the Court for payment from the Settlement Fund for Plaintiffs' Counsel's litigation expenses (reasonable expenses or charges of Plaintiffs' Counsel in connection with commencing and prosecuting the Litigation), in an amount not to exceed \$450,000, plus interest earned at the same rate and for the same period as earned by the Settlement Fund. If the Court approves Lead Counsel's fee and expense application, the estimated average cost per damaged share is \$0.037. In addition, each Lead Plaintiff intends to request an award not to exceed \$8,500 pursuant to 15 U.S.C. §78u-4(a)(4) in connection with their representation of the Class.

6. **Identification of Attorneys' Representatives:** Lead Plaintiffs and the Class are being represented by Theodore J. Pintar, Esq. of Robbins Geller Rudman & Dowd LLP ("Lead Counsel"), 655 W. Broadway, Suite 1900, San Diego, CA 92101, 1-800-449-4900, settlementinfo@rgdlaw.com. Further information regarding the Litigation, the Settlement, and this Notice also may be obtained by contacting the Claims Administrator at: *Rockley Securities Settlement*, Claims Administrator, c/o Verita Global, P.O. Box 301170, Los Angeles, CA 90030-1170; 1-888-663-7634; or by visiting the website for the Settlement, www.RockleySecuritiesSettlement.com.

YOUR LEGAL RIGHTS AND OPTIONS IN THE SETTLEMENT	
DO NOTHING	Receive no payment pursuant to this Settlement. Remain a Class Member. Give up your rights.
REMAIN A MEMBER OF THE CLASS AND SUBMIT A CLAIM FORM POSTMARKED (IF MAILED), OR ONLINE, NO LATER THAN OCTOBER 15, 2026	This is the only way to be potentially eligible to receive a payment.
EXCLUDE YOURSELF FROM THE CLASS (OPT OUT) BY SUBMITTING A WRITTEN REQUEST FOR EXCLUSION THAT IS POSTMARKED NO LATER THAN SEPTEMBER 29, 2026	Receive no payment pursuant to this Settlement. This is the only option that allows you to ever potentially be part of any other lawsuit against Defendants or the other Released Defendant Parties concerning the Released Plaintiffs' Claims.
OBJECT TO THE SETTLEMENT BY SUBMITTING A WRITTEN OBJECTION SO THAT IT IS RECEIVED NO LATER THAN SEPTEMBER 29, 2026	Write to the Court if you have any objection to the fairness of the Settlement, the request for attorneys' fees and expenses, the requested award to Lead Plaintiffs pursuant to 15 U.S.C. §78u-4(a)(4) in connection with their representation of the Class, or the proposed Plan of Allocation.
GO TO THE HEARING ON OCTOBER 20, 2026, AT 1:30 P.M., AND FILE A NOTICE OF INTENTION TO APPEAR SO THAT IS RECEIVED NO LATER THAN SEPTEMBER 29, 2026	Ask to speak in Court about the fairness of the Settlement, the proposed Plan of Allocation, the request for attorneys' fees and litigation expenses, or the requested award to Lead Plaintiffs.

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WHAT IS THE PURPOSE OF THIS NOTICE?

7. You or someone in your family may have purchased or otherwise acquired Rockley Common Stock between August 11, 2021 and January 23, 2023, inclusive.

8. The Court has directed the issuance of this Notice because you have a right to know about a settlement of a class action lawsuit, and about all of your options, before the Court decides whether to approve the Settlement. If the Court approves it and, after any objections or appeals (if there are any) are resolved, the Claims Administrator appointed by the Court will make the payments that the Settlement allows.

9. This Notice explains the lawsuit, the Settlement, your legal rights, what benefits are available, who is eligible for them, and how to get them.

WHAT IS THIS CASE ABOUT? WHAT HAS HAPPENED SO FAR?

10. The initial complaint in the Litigation was filed on November 9, 2023. On February 13, 2024, the Court appointed Lottner and Huergo as Lead Plaintiffs and Robbins Geller Rudman & Dowd LLP as Lead Counsel. On February 28, 2024, Lead Plaintiffs filed the Amended Complaint for Violations of the Federal Securities Laws (the "Amended Complaint"). The Amended Complaint asserted claims under: (i) §10(b) of the Securities Exchange Act of 1934 (the "Exchange Act"), and Rule 10b-5 promulgated thereunder, against Defendants and Angelo John Coloma ("Coloma"); and (ii) §20(a) of the Exchange Act against Defendants, Coloma, David Sin ("Sin"), and SIN Capital Group Pte. Ltd. ("SINCap").

11. Lead Plaintiffs' claims are based upon alleged material misrepresentations concerning the operations and financial prospects of Rockley. Specifically, the Amended Complaint alleges that Defendants made materially false and misleading misrepresentations concerning: (i) Rockley's revenue projections; (ii) the commercialization and development status of its products; (iii) its relationships with key customers, including, but not limited to, Apple and Samsung; (iv) the Company's joint venture with Jiangsu Hengtong Optic-Electric Co., Ltd.; (v) the Company's non-recurring engineering revenues; and (vi) the Company's ability to fund ongoing operations.

12. Defendants moved to dismiss the Amended Complaint on March 20, 2024, and Coloma moved to dismiss the Amended Complaint on August 26, 2024. The Court heard oral argument on the motions to dismiss filed by Defendants and Coloma on December 16, 2024.

13. On March 31, 2025, the Court issued an order denying in part and granting in part Defendants' motion to dismiss and dismissing all claims asserted against Coloma. Specifically, the Court denied Defendants' motion as to all claims concerning Defendants' "materially false or misleading statements made about Rockley's product development and commercialization." The claims against Sin and SINCap were voluntarily dismissed on April 11, 2025, following unsuccessful efforts to serve those parties through the Hague Convention.

14. Following the Court's order on Defendants' motion to dismiss, the Settling Parties engaged in extensive document discovery. Lead Plaintiffs served 78 requests for production of documents on Defendants, as well as 13 document

subpoenas on relevant non-parties. In response, Defendants and the subpoenaed non-parties produced approximately 62,000 documents totaling more than 262,000 pages, which were thoroughly reviewed and analyzed by Lead Counsel. Lead Plaintiffs also produced 231 documents totaling nearly 1,500 pages in response to Defendants' 32 requests for production. In addition, the Settling Parties participated in numerous meet and confer discussions regarding various discovery-related matters, and Lead Plaintiffs did the same with the subpoenaed non-parties.

15. Lead Plaintiffs filed their motion for class certification on August 29, 2025. In support of the motion, Lead Plaintiffs submitted a 21-page memorandum, declarations on behalf of both Lead Plaintiffs, and a 117-page report prepared by Lead Plaintiffs' finance expert. Defendants' opposition to Lead Plaintiffs' motion for class certification was due to be filed on October 28, 2025, but the Settling Parties stipulated to stay the remainder of the class certification briefing, along with certain ongoing discovery efforts, to engage in mediation.

16. On November 6, 2025, the Settling Parties participated in a formal, full-day, in-person mediation with David Murphy of Phillips ADR Enterprises. The mediation session involved the Settling Parties' submission of confidential opening and reply mediation statements, which were accompanied by a combined total of 48 exhibits. At the conclusion of the November 6, 2025 mediation session, Mr. Murphy made a mediator's recommendation to settle the case for \$10 million, which the Settling Parties mutually accepted on November 11, 2025. This agreement-in-principle contemplated full releases of liability in return for a cash payment of \$10 million for the benefit of the Class, subject to the negotiation of the terms of a Stipulation of Settlement and approval by the Court. The Stipulation (together with the Exhibits) reflects the Settling Parties' final and binding agreement, and a compromise of all matters that were, are, or could have been in dispute between the Settling Parties.

HOW DO I KNOW IF I AM AFFECTED BY THE SETTLEMENT?

17. If you are a Member of the Class, you are subject to the Settlement unless you timely request to be excluded. The Class consists of all persons or entities that purchased or otherwise acquired Rockley Common Stock during the Class Period, and were harmed thereby. Excluded from the Class are: (i) Defendants; (ii) the former officers and directors of Rockley, Rockley Photonics Limited, SINCap, SC Health Corporation, SC Health Holdings Limited, and SC Health Group Limited; (iii) any persons or entities that automatically acquired Rockley Common Stock in exchange for securities of Rockley Photonics Limited in connection with the Merger (with such exclusion limited to their Rockley Common Stock exchanged for securities of Rockley Photonics Limited, and not Rockley Common Stock purchased or otherwise acquired during the Class Period); (iv) the immediate family members of any of the foregoing; (v) the legal representatives, heirs, successors, or assigns of any of the foregoing; (vi) any entity in which any of the foregoing have or had a controlling interest; and (vii) any Persons who properly exclude themselves by submitting a valid and timely request for exclusion. Anyone with questions as to whether or not they are excluded from the Class may call the Claims Administrator toll-free at 1-888-663-7634.

RECEIPT OF THIS NOTICE OR THE POSTCARD NOTICE DOES NOT NECESSARILY MEAN THAT YOU ARE A CLASS MEMBER OR THAT YOU ARE ENTITLED TO RECEIVE PROCEEDS FROM THE SETTLEMENT. IF YOU WISH TO BE POTENTIALLY ELIGIBLE TO RECEIVE A DISTRIBUTION OF THE SETTLEMENT PROCEEDS, YOU MUST COMPLETE, SIGN, AND SUBMIT A CLAIM FORM AND THE REQUIRED SUPPORTING DOCUMENTATION SET FORTH IN THE CLAIM FORM POSTMARKED (IF MAILED), OR, ONLINE AT WWW.ROCKLEYSECURITIESSETTLEMENT.COM, NO LATER THAN OCTOBER 15, 2026.

WHY DID LEAD PLAINTIFFS AGREE TO THE SETTLEMENT?

18. Lead Plaintiffs and Lead Counsel believe that the claims asserted in the action have merit. Lead Plaintiffs and Lead Counsel recognize, however, that pursuing their claims through trials and appeals would be expensive, lengthy, and may result in a smaller recovery or no recovery at all.

19. The Settlement provides a substantial and immediate recovery. Lead Plaintiffs and Lead Counsel believe that the proposed Settlement is fair, reasonable, adequate, and in the best interests of the Class. The Settlement was negotiated by both sides of the Litigation with the assistance of a highly respected mediator.

20. Defendants have vigorously denied each and all of the claims alleged by Lead Plaintiffs in the Litigation. Defendants expressly have denied all charges of wrongdoing or liability against them arising out of any of the conduct, statements, acts, or omissions alleged, or that could have been alleged, in the Litigation. Defendants deny that they made any materially false or misleading statement concerning SC Health, private Rockley Photonics, Inc., Rockley, or any of Rockley's subsidiaries. Defendants have denied and continue to deny that Lead Plaintiffs or the Class have suffered any damage, that the price of publicly traded warrants or Class A ordinary shares of SC Health, ordinary shares of Rockley, or publicly traded Rockley warrants were artificially inflated by reasons of alleged misrepresentations, non-disclosures or otherwise, or that Lead Plaintiffs or the Class were harmed by the conduct alleged, or that could have been alleged, in the Litigation. Although Defendants continue to deny Lead Plaintiffs' allegations, they have concluded that further defense of the Litigation would be protracted and expensive, and that it is desirable that the Litigation be fully and finally settled in the manner and upon the terms and conditions set forth in the Stipulation.

WHAT MIGHT HAPPEN IF THERE WERE NO SETTLEMENT?

21. If there were no Settlement, Lead Plaintiffs may fail to establish an essential legal or factual element of the alleged claims. Then, neither Lead Plaintiffs nor the Class would recover anything from Defendants. Also, if Defendants successfully proved any of their defenses, the Class may recover substantially less than the amount provided in the Settlement, or nothing at all.

HOW MUCH WILL MY PAYMENT BE?

22. Defendants have agreed to cause to be paid Ten Million Dollars (\$10,000,000) in cash into escrow for the benefit of the Class. At this time, it is not possible to make any final determination of how much individual Class Members may receive from the Settlement. Lead Plaintiffs have proposed a plan for allocating the Net Settlement Fund to those Class Members who timely submit valid Claim Forms. The Plan of Allocation proposed by Lead Plaintiffs is set forth below, and additional information is available on the website created for purposes of this Settlement, www.RockleySecuritiesSettlement.com.

23. Payment pursuant to the Plan of Allocation shall be conclusive against all Authorized Claimants. No person or entity shall have any claim based on distributions made substantially in accordance with the Stipulation and the Settlement contained therein, the Plan of Allocation, or further order(s) of the Court against Lead Counsel, Lead Plaintiffs, Class Members, the Claims Administrator, Defendants and the other Released Defendant Parties (defined below), or any person or entity designated by Lead Counsel. All Members of the Class who fail to timely submit an acceptable Claim Form by the deadline set by the Court, or such other deadline as may be ordered by the Court, or otherwise allowed, shall be forever barred from receiving any payments pursuant to the Settlement, but will in all other respects be subject to and bound by the terms of the Settlement, including the release of the Class Member's Released Plaintiffs' Claims.

24. The Court has reserved jurisdiction to allow, disallow, or adjust on equitable grounds the claim of any Member of the Class.

25. The Plan of Allocation set forth below is the proposed plan submitted by Lead Plaintiffs and Lead Counsel for the Court's approval. The Court may approve this plan as proposed or it may modify it without further notice to the Class.

26. Each Claimant shall be deemed to have submitted to the jurisdiction of the United States District Court for the Central District of California, Western Division, with respect to his, her, or its Claim Form.

27. Persons and entities that exclude themselves from the Class will not be eligible to receive a distribution from the Net Settlement Fund and should not submit Claim Forms.

PLAN OF ALLOCATION

28. The objective of the Plan of Allocation is to equitably distribute the settlement proceeds to those Class Members who suffered economic losses as a proximate result of the alleged wrongdoing. In developing the Plan of Allocation, Lead Plaintiffs' damages expert calculated the potential amount of estimated alleged artificial inflation in Rockley Common Stock that, according to Lead Plaintiffs' allegations, was caused by Defendants' alleged false and misleading statements and material omissions. In calculating the estimated artificial inflation caused by Defendants' alleged misrepresentations and omissions, Lead Plaintiffs' damages expert considered the market and industry adjusted price changes in Rockley Common Stock prices following certain corrective disclosures regarding Rockley and the allegations in the Amended Complaint.

29. The calculations made pursuant to the Plan of Allocation are not intended to be estimates of, nor indicative of, the amounts that Class Members might have been able to recover after a trial. Nor are the calculations pursuant to the Plan of Allocation intended to be estimates of the amounts that will be paid to Authorized Claimants pursuant to the Settlement. The computations under the Plan of Allocation are only a method to weigh the claims of Authorized Claimants against one another for the purposes of making *pro rata* allocations of the Net Settlement Fund.

HOW WILL MY CLAIM BE CALCULATED?

30. The Settlement Amount of \$10,000,000, together with any interest earned thereon, is the "Settlement Fund." The Settlement Fund, less all Taxes, Tax Expenses, Notice and Administration Expenses, and approved fees and expenses (the "Net Settlement Fund") shall be distributed to Class Members who submit timely and valid Proof of Claim forms to the Claims Administrator ("Authorized Claimants").

31. The objective of the Plan of Allocation is to equitably distribute the Net Settlement Fund among Class Members based on their respective alleged economic losses resulting from the securities law violations alleged in the Litigation.

32. In this case, Lead Plaintiffs allege that Defendants made materially false and misleading statements and omissions during the Class Period, which had the effect of artificially inflating the trading price of Rockley Common Stock. Lead Plaintiffs allege that corrective information allegedly impacted the price of Rockley Common Stock (the "corrective disclosure") on May 12, 2022, November 10, 2022, and January 25, 2023. The Plan of Allocation is intended to compensate

investors who purchased or otherwise acquired Rockley Common Stock during the Class Period, held through the issuance of at least one corrective disclosure, and have a “Recognized Loss Amount” as described below.²

33. The Plan of Allocation is not a formal damages analysis. The Recognized Loss Amount is not intended to estimate the amount a Class Member may have been able to recover after a trial, nor to estimate the amount the Class Member will receive. It is a formula for allocating the Net Settlement Fund among all Authorized Claimants. The allocation below is based on the following inflation per share amounts for Class Period share purchases, and sales as well as the statutory PSLRA 90-day look-back amount of \$0.03 per share of Rockley Common Stock.³

34. The Plan of Allocation was developed in consultation with Lead Plaintiffs’ damages expert. In developing the Plan of Allocation, Lead Plaintiffs’ damages expert calculated the estimated amount of alleged artificial inflation in the price of Rockley Common Stock that was allegedly proximately caused by Defendants’ alleged materially false and misleading statements and omissions the Court previously found to be actionable. In calculating the estimated impact allegedly caused by those misrepresentations and omissions, Lead Plaintiffs’ damages expert considered the price changes in Rockley Common Stock in reaction to the public disclosures that allegedly corrected the alleged misrepresentations or omissions, adjusting the price change for factors that were attributable to market or industry forces, and for non-fraud-related Company-specific information.

35. In order to have recoverable damages under the federal securities laws, disclosures relating to the alleged misrepresentations and/or omissions must be a cause of the decline in the price of the security.

CALCULATION OF RECOGNIZED CLAIM AMOUNT

36. Based on the formulas stated below, a “Recognized Loss Amount” will be calculated for each purchase or acquisition of Rockley Common Stock during the Class Period that is listed on the Claim Form and for which adequate documentation is provided. If a Recognized Loss Amount calculates to a negative number or zero under the formula below, that Recognized Loss Amount will be zero. A Claimant’s “Recognized Claim” under the Plan of Allocation will be the sum of their Recognized Loss Amounts.

37. For each share of Rockley publicly traded common stock purchased or otherwise acquired from August 11, 2021, through January 23, 2023, inclusive, and:

(a) sold prior to May 12, 2022, the Recognized Loss Amount will be \$0.00;

(b) sold on May 12, 2022, through January 23, 2023, inclusive, the Recognized Loss Amount will be **the lesser of**: (i) the decline in inflation during the holding period (as presented in Table 1 below), and (ii) the purchase price minus the sale price;

(c) sold from January 24, 2023, through and including the close of trading on March 14, 2023, the Recognized Loss Amount will be **the least of**: (i) the decline in inflation during the holding period (as presented in Table 1 below), (ii) the purchase price minus the sale price, or (iii) the purchase price minus the average closing price between January 24, 2023, and the date of sale as stated in Table 2 below;

(d) held as of the close of trading on March 14, 2023, the Recognized Loss Amount will be **the lesser of**: (i) the decline in inflation during the holding period (as presented in Table 1 below), and (ii) the purchase price minus \$0.03, the average closing price for Rockley Common Stock between January 24, 2023 and March 14, 2023 (the last entry in Table 2 below).

ADDITIONAL PROVISIONS

38. For Class Members who made multiple purchases, acquisitions, or sales during the Class Period, the First-In, First-Out (“FIFO”) method will be applied to such holdings, purchases, acquisitions, and sales for purposes of calculating a claim. Under the FIFO method, sales of Rockley Common Stock during the Class Period will be matched, in chronological order, against Rockley Common Stock purchased or acquired during the Class Period.

39. A Class Member will be eligible to receive a distribution from the Net Settlement Fund only if a Class Member had a net overall loss, after all profits from transactions in all Rockley Common Stock described above during the Class Period are subtracted from all losses. However, the proceeds from sales of Rockley Common Stock that have been matched against Rockley Common Stock held at the beginning of the Class Period will not be used in the calculation of such net loss. The Net Settlement Fund will be distributed to Authorized Claimants on a *pro rata* basis, based on the relative

² Any transactions in Rockley Common Stock executed outside regular trading hours for the U.S. financial markets shall be deemed to have occurred during the next trading session.

³ “In any private action arising under this [Securities Exchange Act of 1934] in which the plaintiff seeks to establish damages by reference to the market price of a security, the award of damages to the plaintiff shall not exceed the difference between the purchase or sale price paid or received, as appropriate, by the plaintiff for the subject security and the mean trading price of that security during the 90-day period beginning on the date on which the information correcting the misstatement or omission that is the basis for the action is disseminated to the market.” Consistent with §28(D)(e)(1) of the Securities Exchange Act of 1934, Recognized Loss Amounts for Rockley Common Stock are reduced to an appropriate extent by taking into account the closing prices of Rockley Common Stock during the 90-day look-back period. The last date on which Rockley Common Stock was traded was March 14, 2023, effectively ending the 90-day period. The mean (average) closing price for Rockley Common Stock during the applicable 90-day look-back period was \$0.03 per share as shown in Table 2.

size of their Recognized Claims. Specifically, a “Distribution Amount” will be calculated for each Authorized Claimant, which will be the Authorized Claimant’s Recognized Claim divided by the total Recognized Claims of all Authorized Claimants, multiplied by the total amount in the Net Settlement Fund. No distributions will be made to Authorized Claimants who would otherwise receive a distribution of less than \$10.00.

40. If a Claimant suffered an overall market loss with respect to their overall transactions in Rockley Common Stock during the Class Period but that market loss was less than the Claimant’s total Recognized Claim calculated above, then the Claimant’s Recognized Claim will be limited to the amount of the actual market loss. For purposes of determining whether a Claimant had a market gain, or suffered a market loss, with respect to a Claimant’s overall transactions of Rockley Common Stock during the Class Period, the Claims Administrator will determine the difference between the Claimant’s (i) Total Purchase Amount⁴ and (ii) the sum of the Total Sales Proceeds⁵ and Holding Value.⁶

41. A purchase, acquisition, or sale of Rockley Common Stock shall be deemed to have occurred on the “contract” or “trade” date as opposed to the “settlement” or “payment” date. All purchase, acquisition, and sale prices shall exclude any fees and commissions. The receipt or grant by gift, devise, or operation of law of Rockley Common Stock during the Class Period shall not be deemed a purchase, acquisition, or sale of Rockley Common Stock for the calculation of a Claimant’s Recognized Claim nor shall it be deemed an assignment of any claim relating to the purchase or acquisition of such share unless specifically provided in the instrument of gift or assignment. The receipt of Rockley Common Stock during the Class Period in exchange for securities of Rockley Photonics Limited that were automatically converted into Rockley Common Stock in connection with the Merger shall not be deemed a purchase or acquisition of Rockley Common Stock.

42. The date of covering a “short sale” is deemed to be the date of purchase or acquisition of the Rockley Common Stock. The date of a “short sale” is deemed to be the date of sale of Rockley Common Stock. Under the Plan of Allocation, however, the Recognized Loss Amount on “short sales” is zero. In the event that a Claimant has an opening short position in Rockley Common Stock, their earliest Class Period purchases or acquisitions of Rockley Common Stock will be matched against the opening short position, and they will not be entitled to a recovery, until that short position is fully covered.

43. Distributions will be made to Authorized Claimants after all claims have been processed, after the Court has finally approved the Settlement, and after any appeals are resolved. If there is any balance remaining in the Net Settlement Fund after a reasonable amount of time from the initial date of distribution of the Net Settlement Fund (whether by reason of tax refunds, uncashed checks, or otherwise), the Claims Administrator shall, if feasible, reallocate such balance among Authorized Claimants in an equitable and economic fashion. These redistributions shall be repeated until the balance remaining in the Net Settlement Fund is no longer economically feasible to distribute to Class Members. Thereafter, any balance that still remains in the Net Settlement Fund shall be donated to the Council of Institutional Investors.

TABLE 1
Decline in Inflation Per Share by Date of Purchase and Date of Sale

Purchase Date	Sale Date			
	8/11/2021 – 5/11/2022	5/12/2022 – 11/9/2022	11/10/2022 – 1/23/2023	Sold on or Retained Beyond 1/24/2023
8/11/2021 – 5/11/2022	\$0.00	\$0.44	\$0.55	\$0.70
5/12/2022 – 11/9/2022		\$0.00	\$0.11	\$0.26
11/10/2022 – 1/23/2023			\$0.00	\$0.15
Purchased on or Beyond 1/24/2023				\$0.00

⁴ The “Total Purchase Amount” is the total amount the Claimant paid (excluding commissions and other charges) for Rockley Common Stock purchased or otherwise acquired during the Class Period. For any Claimant that automatically acquired Rockley common stock in exchange for securities of SC Health Corporation in connection with the Merger, the “Total Purchase Amount” is \$10.00 per share.

⁵ The Claims Administrator will match any sales of Rockley Common Stock from the start of the Class Period through and including the close of trading on January 23, 2023. The total amount received (excluding commissions and other charges) for the remaining sales of Rockley Common Stock sold from the start of the Class Period through and including the close of trading on January 23, 2023, will be the “Total Sales Proceeds.”

⁶ The Claims Administrator will ascribe a “Holding Value” equal to \$0.04 for each share of Rockley Common Stock purchased or acquired during the Class Period and still held as of the close of trading on January 23, 2023.

TABLE 2

Rockley Common Stock Average Closing Prices

Average Closing Price Between January 24, 2023 and the Date Shown		Average Closing Price Between January 24, 2023 and the Date Shown	
Date		Date	
1/24/2023	\$0.04	2/17/2023	\$0.03
1/25/2023	\$0.04	2/21/2023	\$0.03
1/26/2023	\$0.04	2/22/2023	\$0.03
1/27/2023	\$0.04	2/23/2023	\$0.03
1/30/2023	\$0.04	2/24/2023	\$0.03
1/31/2023	\$0.04	2/27/2023	\$0.03
2/1/2023	\$0.04	2/28/2023	\$0.03
2/2/2023	\$0.04	3/1/2023	\$0.03
2/3/2023	\$0.04	3/2/2023	\$0.03
2/6/2023	\$0.04	3/3/2023	\$0.03
2/7/2023	\$0.04	3/6/2023	\$0.03
2/8/2023	\$0.04	3/7/2023	\$0.03
2/9/2023	\$0.04	3/8/2023	\$0.03
2/10/2023	\$0.04	3/9/2023	\$0.03
2/13/2023	\$0.04	3/10/2023	\$0.03
2/14/2023	\$0.04	3/13/2023	\$0.03
2/15/2023	\$0.03	3/14/2023	\$0.03
2/16/2023	\$0.03		

WHAT RIGHTS AM I GIVING UP BY AGREEING TO THE SETTLEMENT?

44. If the Settlement is approved, the Court will enter a judgment (the “Judgment”). The Judgment will dismiss with prejudice the claims against Defendants and will provide that Lead Plaintiffs and all other Releasing Plaintiff Parties (as defined in ¶49 below) shall have waived, released, discharged, and dismissed each and every one of the Released Plaintiffs’ Claims (as defined in ¶47 below), including Unknown Claims (as defined in ¶50 below), against each and every one of the Released Defendant Parties (as defined in ¶46 below) and shall forever be barred and enjoined from commencing, instituting, prosecuting, or maintaining any and all of the Released Plaintiffs’ Claims against any and all of the Released Defendant Parties, whether or not they execute and deliver the Claim Form or share in the Settlement Fund. Claims to enforce the terms of the Settlement are not released.

45. Any Plan of Allocation, request for an award of attorneys’ fees and expenses, or an award to Lead Plaintiffs pursuant to 15 U.S.C. §78u-4(a)(4) in connection with their representation of the Class, will in no way disturb or affect the Judgment and are each considered separate from the Judgment. Any order or proceeding relating to the Plan of Allocation, any order entered regarding any award of attorneys’ fees and expenses or award to Lead Plaintiffs, or any appeal from any order relating thereto or reversal or modification thereof, shall not affect or delay the finality of the Judgment.

46. “Released Defendant Party” or “Released Defendant Parties” means Defendants, members of their immediate family, and each of their respective past, present, or future subsidiaries, parents, affiliates, attorneys, principals, successors and predecessors, joint venturers, assigns, officers, directors, shareholders, underwriters, trustees, partners, members, agents, fiduciaries, contractors, employees, insurers, co-insurers, reinsurers, controlling shareholders, accountants or auditors, commercial bank lenders, financial or investment advisors, consultants, banks or investment bankers, personal or legal representatives, estates, heirs, related or affiliated entities, in their capacity as such, and any entity in which Defendants have a controlling interest.

47. “Released Plaintiffs’ Claims” means any and all claims and causes of action of every nature and description, whether known or unknown, whether arising under federal, state, common, or foreign law, that Lead Plaintiffs or any other Members of the Class asserted or could have asserted in any forum that arise out of or are based upon (a) the allegations, transactions, facts, matters or occurrences, representations or omissions referred to in the original complaint or the operative complaint, and (b) the purchase or acquisition of Rockley Common Stock during the Class Period. “Released Plaintiffs’

Claims” includes “Unknown Claims” as defined in ¶150 below. “Released Plaintiffs’ Claims” does not include any claims relating to the enforcement of the Settlement.

48. “Released Defendants’ Claims” means any and all actions, suits, claims, demands, rights, liabilities, obligations, damages, costs, restitution, rescission, interest, attorneys’ fees, expert or consulting fees, expenses, matters and issues whatsoever, whether known or unknown, asserted or unasserted, whether arising under federal, state, local, statutory, common, foreign or administrative law, or any other law, rule or regulation, whether fixed or contingent, at law or in equity, whether class or individual in nature, that any Released Defendant Party could have asserted against any of the Releasing Plaintiff Parties that arise out of or relate in any way to the initiation, prosecution, or settlement of the Litigation or the Released Defendants’ Claims. “Released Defendants’ Claims” includes “Unknown Claims” as defined in ¶150 below. “Released Defendants’ Claims” does not include any claims relating to the enforcement of the Settlement.

49. “Releasing Plaintiff Party” or “Releasing Plaintiff Parties” means Lead Plaintiffs, Lead Counsel, each and every Class Member, and each of their respective past or present subsidiaries, parents, affiliates, principals, successors and predecessors, joint venturers, assigns, officers, directors, shareholders, underwriters, trustees, partners, members, agents, fiduciaries, contractors, employees, insurers, co-insurers, reinsurers, controlling shareholders, attorneys, accountants or auditors, financial or investment advisors or consultants, banks or investment bankers, personal or legal representatives, estates, heirs, and any related or affiliated entities in their capacity as such. Releasing Plaintiff Parties does not include any Person who timely and validly seeks exclusion from the Class.

50. “Unknown Claims” means any and all Released Plaintiffs’ Claims which the Releasing Plaintiff Parties do not know or suspect to exist in their favor at the time of the release of the Released Defendant Parties, and any and all Released Defendants’ Claims which the Released Defendant Parties do not know or suspect to exist in their favor at the time of the release of the Releasing Plaintiff Parties, which, if known by him, her, or it, might have affected his, her, or its decision(s) with respect to the Settlement, including the decision to object to the terms of the Settlement or to exclude himself, herself, or itself from the Class. With respect to any and all Released Plaintiffs’ Claims and Released Defendants’ Claims, the Settling Parties stipulate and agree that, upon the Effective Date, Lead Plaintiffs and Defendants shall expressly waive, and each Releasing Plaintiff Party and Released Defendant Party shall be deemed to have, and by operation of the Judgment shall have expressly waived, the provisions, rights, and benefits of California Civil Code §1542, which provides:

A general release does not extend to claims that the creditor or releasing party does not know or suspect to exist in his or her favor at the time of executing the release and that, if known by him or her, would have materially affected his or her settlement with the debtor or released party.

Lead Plaintiffs and Defendants shall expressly waive, and each Releasing Plaintiff Party and Released Defendant Party shall be deemed to have, and by operation of the Judgment shall have expressly waived, any and all provisions, rights, and benefits conferred by any law of any state or territory of the United States or any foreign country, or any principle of common law, which is similar, comparable or equivalent in substance to California Civil Code §1542. Lead Plaintiffs, any Releasing Plaintiff Party, Defendants, or any Released Defendant Party may hereafter discover facts, legal theories, or authorities in addition to or different from those which any of them now knows or believes to be true with respect to the subject matter of the Released Plaintiffs’ Claims and the Released Defendants’ Claims, but Lead Plaintiffs and Defendants shall expressly, fully, finally, and forever waive, compromise, settle, discharge, extinguish, and release, and each Releasing Plaintiff Party and Released Defendant Party shall be deemed to have waived, compromised, settled, discharged, extinguished, and released, and upon the Effective Date and by operation of the Judgment shall have waived, compromised, settled, discharged, extinguished, and released, fully, finally, and forever, any and all Released Plaintiffs’ Claims and Released Defendants’ Claims as applicable, known or unknown, suspected or unsuspected, contingent or absolute, accrued or unaccrued, apparent or unapparent, which now exist, or heretofore existed, or may hereafter exist, without regard to the subsequent discovery or existence of such different or additional facts, legal theories, or authorities. Lead Plaintiffs and Defendants acknowledge, and the Releasing Plaintiff Parties and Released Defendant Parties shall be deemed by operation of the Judgment to have acknowledged, that the foregoing waiver was separately bargained for and is a key element of the Settlement.

51. The Judgment also will provide that Defendants and every Released Defendant Party shall be deemed to have fully, finally, and forever waived, released, discharged, and dismissed each and every one of the Released Defendants’ Claims against each and every one of the Releasing Plaintiff Parties and shall forever be barred and enjoined from commencing, instituting, prosecuting, or maintaining any and all of the Released Defendants’ Claims against any and all of the Releasing Plaintiff Parties. Claims to enforce the terms of the Stipulation are not released.

WHAT PAYMENT ARE THE ATTORNEYS FOR THE CLASS SEEKING? HOW WILL THE LAWYERS BE PAID?

52. Lead Counsel has not received any payment for its services in pursuing claims against Defendants on behalf of the Class, nor has Lead Counsel been paid for its expenses. Before final approval of the Settlement, Lead Counsel intends to apply to the Court for an award of attorneys’ fees, on behalf of all Plaintiffs’ Counsel, from the Settlement Fund of no more than 30% of the Settlement Amount and for payment of Plaintiffs’ Counsel’s litigation expenses in an amount not to exceed \$450,000, plus interest on both amounts. In addition, each Lead Plaintiff intends to request an award not to exceed \$8,500 pursuant to 15 U.S.C. §78u-4(a)(4) in connection with their representation of the Class. The Court will determine the amount of the award of fees and expenses and any awards for the Lead Plaintiffs. Such sums as may be

approved by the Court will be paid from the Settlement Fund. Class Members are not personally liable for any such fees or expenses or awards.

**HOW DO I PARTICIPATE IN THE SETTLEMENT?
WHAT DO I NEED TO DO?**

53. If you fall within the definition of the Class as described above, and you are not excluded by the definition of the Class and you do not elect to exclude yourself from the Class, then you are a Class Member, and you will be bound by the proposed Settlement if the Court approves it, and by any judgment or determination of the Court affecting the Class. If you are a Class Member, you must submit a Claim Form and supporting documentation to establish your potential entitlement to share in the proceeds of the Settlement. You can download a copy of the Claim Form or request that a Claim Form be mailed to you through the website maintained by the Claims Administrator for the Settlement. The website is www.RockleySecuritiesSettlement.com. You may also request a Claim Form by calling toll-free 1-888-663-7634. If you exclude yourself from the Class or do not submit a timely and valid Claim Form with adequate supporting documentation, you will not be entitled to share in the proceeds of the Settlement unless otherwise ordered by the Court. Please retain all original records of your ownership of, or transactions in, the shares, as they may be needed to document your claim.

54. As a Class Member, for purposes of the Settlement, you are represented by Lead Plaintiffs and Lead Counsel, unless you enter an appearance through counsel of your own choice at your own expense. You need not retain your own counsel, but if you choose to do so, your counsel must file a notice of appearance on your behalf and must serve copies of his or her notice of appearance on the attorneys listed in the section entitled, "When And Where Will The Court Decide Whether To Approve The Settlement?" below.

55. If you do not wish to remain a Class Member, you may exclude yourself from the Class by following the instructions in the section entitled, "What If I Do Not Want To Be A Part Of The Settlement? How Do I Exclude Myself?" below. If you exclude yourself from the Class, you will not be eligible to receive any benefit from the Settlement and you should not submit a Claim Form but you will retain the right to be a part of any other lawsuit against any of the Released Defendant Parties (as defined in ¶46 above) with respect to any of the Released Plaintiffs' Claims (as defined in ¶47 above).

56. If you wish to object to the Settlement or any of its terms, the proposed Plan of Allocation, or Lead Counsel's application for attorneys' fees and litigation expenses, and if you do not exclude yourself from the Class, you may present your objections by following the instructions in the section entitled, "When And Where Will The Court Decide Whether To Approve The Settlement?" below. If you exclude yourself from the Class, you are not entitled to submit an objection.

WHAT IF I DO NOT WANT TO BE A PART OF THE SETTLEMENT? HOW DO I EXCLUDE MYSELF?

57. Each Class Member will be bound by all determinations and judgments in this lawsuit concerning the Settlement, whether favorable or unfavorable, unless such person or entity mails, by first-class mail (or its equivalent outside the U.S.), or otherwise delivers a written request for exclusion from the Class, addressed to *Rockley Securities Settlement*, c/o Verita Global, EXCLUSIONS, P.O. Box 5100, Larkspur, CA 94977-5100. The exclusion request must be **postmarked** (or received if no postmark) no later than **September 29, 2026**. Each request for exclusion must state the name, address, and telephone number of the person or entity seeking exclusion, that the sender requests to be excluded from the Class in *Rockley Securities Settlement*, and must be signed by such person. Such persons or entities requesting exclusion must also provide the following information: the number of shares of Rockley Common Stock that the Person requesting exclusion purchased, acquired, and/or sold from August 11, 2021 through January 23, 2023, inclusive, as well as the dates and prices for each such purchase or acquisition and sale. The request for exclusion will not be effective unless it provides the required information and is made within the time stated above, or the exclusion is otherwise accepted by the Court. If you exclude yourself from the Class, you should understand that Defendants and the other Released Defendant Parties will have the right to assert any and all defenses they may have to any claims that you may seek to assert, including, without limitation, the defense that any such claims are untimely under applicable statutes of limitations and statutes of repose.

58. Excluding yourself from the Class is the only option that allows you to be part of any other current or future lawsuit against Defendants or any of the other Released Defendant Parties concerning the Released Plaintiffs' Claims. Please note, however, that if you decide to exclude yourself from the Class, you may be time-barred from asserting the claims covered by the Litigation by a statute of repose.

59. If you request to be excluded from the Class, you will not receive any benefit provided for in the Stipulation.

**WHEN AND WHERE WILL THE COURT DECIDE WHETHER TO APPROVE THE SETTLEMENT?
DO I HAVE TO COME TO THE HEARING?
MAY I SPEAK AT THE HEARING IF I DON'T LIKE THE SETTLEMENT?**

60. If you do not wish to object in person to the proposed Settlement, the proposed Plan of Allocation, and/or the application for attorneys' fees and litigation expenses, you do not need to attend the Settlement Hearing. You can object to or participate in the Settlement without attending the Settlement Hearing.

61. The Settlement Hearing will be held on October 20, 2026, at 1:30 p.m., before the Honorable Mónica Ramírez Almadani, at the United States District Court, Central District of California, Ronald Reagan Federal Building and U.S. Courthouse, 411 W. 4th Street, Santa Ana, California 92701, in Courtroom 9B, 9th Floor. The Court may approve the Settlement, the Plan of Allocation, Lead Counsel's motion for an award of attorneys' fees and expenses, and/or any other matter related to the Settlement at or after the Settlement Hearing without further notice to the Members of the Class.

62. Any Class Member who does not timely request exclusion may object to the Settlement, the Plan of Allocation, and/or Lead Counsel's request for an award of attorneys' fees and litigation expenses, including Lead Plaintiffs' request for an award pursuant to 15 U.S.C. §78u-4(a)(4) in connection with their representation of the Class.⁷ You must submit your objection in writing. You must file any written objection or opposition, together with copies of all other supporting papers and briefs, with the Clerk's Office at the United States District Court for the Central District of California, at the address set forth below on or before **September 29, 2026**. You must also serve the papers on Lead Counsel for the Class and counsel for Defendants at the addresses set forth below so that the papers are **received** on or before **September 29, 2026**.

<u>Court</u>	<u>Lead Counsel for the Class</u>	<u>Counsel for Defendants</u>
UNITED STATES DISTRICT COURT CENTRAL DISTRICT OF CALIFORNIA Clerk of the Court Ronald Reagan Federal Building and U.S. Courthouse 411 W. 4th Street Room 1053 Santa Ana, CA 92701	ROBBINS GELLER RUDMAN & DOWD LLP Theodore J. Pinter 655 West Broadway Suite 1900 San Diego, CA 92101	PILLSBURY WINTHROP SHAW PITTMAN LLP Bruce A. Ericson Four Embarcadero Center 22nd Floor San Francisco, CA 94111

63. Your objection must document the objecting Person's membership in the Class, including the number of shares of Rockley Common Stock that you (i) owned as of the opening of trading on August 11, 2021, and (ii) purchased, acquired, and/or sold during the Class Period, as well as the dates and prices for each such purchase, acquisition, or sale. Your objection must state whether it applies only to you, to a specific subset of the Class, or to the entire Class, and also state with specificity the grounds for the objection. Your objection must also identify all objections that the objector and his or her attorney have submitted in any other class action settlement. Your objection must include copies of any papers, briefs, or other documents upon which the objection is based, a statement of whether the objector intends to appear at the Settlement Hearing, and your signature, even if you are represented by counsel. Documentation establishing your membership in the Class must consist of copies of brokerage confirmation slips or monthly brokerage account statements, or an authorized statement from the objector's broker containing the transactional and holding information found in a broker confirmation slip or account statement. If you object and desire to present evidence at the Settlement Hearing in support of your objection, you must include in your written objection or notice of appearance the identity of any witnesses you may call to testify and any exhibits they intend to introduce into evidence at the hearing.

64. You may not appear at the Settlement Hearing to present your objection unless you first filed and served a written objection in accordance with the procedures described above, unless the Court orders otherwise.

65. You need not hire an attorney to represent you in making written objections or in appearing at the Settlement Hearing. However, if you hire an attorney, which will be at your own expense, he or she must file a notice of appearance with the Court and serve it on Lead Counsel so that the notice is received on or before September 29, 2026.

66. The Settlement Hearing may be adjourned by the Court without further written notice to the Class, other than a posting of the adjournment on the Settlement website, www.RockleySecuritiesSettlement.com. If you plan to attend the Settlement Hearing, you should confirm the date and time with Lead Counsel.

Unless the Court orders otherwise, any Class Member who does not object in the manner described above will be deemed to have waived any objection and shall be forever foreclosed from making any objection to the proposed Settlement, the proposed Plan of Allocation, or Lead Counsel's request for an award of attorneys' fees and litigation expenses and any amount sought by Lead Plaintiffs pursuant to 15 U.S.C. §78u-4(a)(4) in connection with their representation of the Class. Class Members do not need to appear at the hearing or take any other action to indicate their approval.

⁷ Lead Plaintiffs' initial motion papers in support of these matters will be filed with the Court on or before September 15, 2026.

WHAT IF I BOUGHT SHARES ON SOMEONE ELSE'S BEHALF?

Nominees who purchased or acquired Rockley Common Stock for beneficial owners who are Class Members are directed to: (a) request within seven (7) calendar days of receipt of the Postcard Notice sufficient copies of the Postcard Notice from the Claims Administrator for such beneficial owners; or (b) send a list of the names and addresses of such beneficial owners to the Claims Administrator within seven (7) calendar days after receipt of the Postcard Notice. If a nominee elects to send the Postcard Notice to beneficial owners, such nominee is directed to mail the Postcard Notice via First Class Mail within seven (7) calendar days of receipt of the additional copies of the Postcard Notice from the Claims Administrator, and upon such mailing, the nominee shall send a statement to the Claims Administrator confirming that the mailing was made as directed, and the nominee shall retain the list of names and addresses for use in connection with any possible future notice to the Class. Upon full compliance with these instructions, including the timely mailing of the Postcard Notice to beneficial owners, such nominees may seek reimbursement of their reasonable expenses actually incurred in complying with these instructions by providing the Claims Administrator with proper documentation supporting the expenses for which reimbursement is sought and reflecting compliance with these instructions, including timely mailing of the Postcard Notice, if the nominee elected or elects to do so. Reasonable out-of-pocket expenses actually incurred in connection with the foregoing include up to \$0.03 for providing names, addresses, and email addresses to the Claims Administrator per record; up to a maximum of \$0.03 per Postcard Notice mailed by you, plus postage at the rate used by the Claims Administrator; or \$0.03 per Postcard Notice sent by email. Such properly documented expenses incurred by nominees in compliance with the terms of these instructions will be paid from the Settlement Fund. All communications concerning the foregoing should be addressed to the Claims Administrator at notifications@veritaglobal.com or: *Rockley Securities Settlement*, Claims Administrator, c/o Verita Global, P.O. Box 301170, Los Angeles, CA 90030-1170.

**CAN I SEE THE COURT FILE?
WHOM SHOULD I CONTACT IF I HAVE QUESTIONS?**

67. This Notice contains only a summary of the terms of the proposed Settlement. More detailed information about the matters involved in the Litigation is available at www.RockleySecuritiesSettlement.com, including, among other documents, copies of the Stipulation and Claim Form. All inquiries concerning this Notice or the Claim Form should be directed to:

Rockley Securities Settlement
Claims Administrator
c/o Verita Global
P.O. Box 301170
Los Angeles, CA 90030-1170
Toll-free number: 1-888-663-7634

OR

Theodore J. Pinter
ROBBINS GELLER RUDMAN & DOWD LLP
655 West Broadway, Suite 1900
San Diego, CA 92101
1-800-449-4900
settlementinfo@rgrdlaw.com

**DO NOT CALL OR WRITE THE COURT OR THE OFFICE OF THE CLERK OF COURT
REGARDING THIS NOTICE.**

Dated: June 26, 2026

By Order of the Court
United States District Court
Central District of California