

Strategic Claims Services Electronic Filing Instructions – Vintage Wine Estates, Inc. Securities Litigation
(Case No. 2:22-cv-01915-GMN-DJA)

Security Identifiers & Settlement Class Period

CUSIP: 92747V106

ISIN: US92747V1061

SEDOL: BM91SP8

Ticker Symbol: NASDAQ: VWE (during Settlement Class Period); OTCMKTS: VWESQ (suspended on August 2, 2024)

Settlement Class Period: October 13, 2021 through February 8, 2023 (inclusive)

90-Day Lookback Period: February 9, 2023 through May 9, 2023

Eligible Securities

Publicly traded common stock of Vintage Wine Estates, Inc. purchased from October 13, 2021 through February 8, 2023, inclusive.

Filing Summary

The Strategic Claims Services (“SCS”) Electronic Filing Template (“EFT”) is available to financial institutions, nominees, and approved third-party claims aggregators that submit claims on behalf of themselves or their clients. All EFT submissions must be made through efile@strategicclaims.net. EFT submissions sent to a different email address will not be processed nor confirmed as received by SCS. For security purposes, SCS does not accept EFT submissions made through removable media devices such as USB drives or CDs. SCS strongly encourages filers to submit their EFTs a few days prior to the claim filing deadline to allow for additional administrative requests or to account for complications which may occur during the filing process. EFTs that do not follow the court approved filing requirements and instructions may be subject to rejection.

SCS does not accept placeholder EFT submissions. EFTs submitted past the claim filing deadline will be marked late and may not be accepted for processing. Please allow three business days for SCS to confirm each EFT was received and accepted for processing. The EFT will not be considered properly submitted until confirmed by SCS in writing via email response.

Backup and Supporting Documentation Requests

Prior to distribution, SCS may request additional information and documentation regarding the data contained within the EFT for auditing and quality assurance purposes. The information requested may include, but is not limited to, backup documentation issued by the brokerage firm or institution on behalf of transactions conducted for the beneficial owners, or such comparable backup documentation as SCS may accept. For a complete list of acceptable documentation, please contact SCS directly.

Please note that documentation and audit requests are not optional. Failure to provide sufficient documentation detailing holdings and transactions through relevant time periods, as well as other requested information, may result in a full rejection of the claim or the entire submission, as applicable. Every filer should be aware that SCS will periodically make documentation requests for auditing and accuracy purposes. As such, filers should have readily available access to backup documentation if requested by SCS. This request also applies to assigned or purchased claims.

Account Combination

Separate claims should be submitted for each separate legal entity (*e.g.*, a claim from joint owners should not include separate transactions through an account that is in the name of just one of the joint owners, and an individual should not combine his or her IRA transactions with transactions made through an account in the individual’s name). Conversely, a single claim should be submitted on behalf of one legal entity including all transactions made by that entity on one claim form, no matter how many separate accounts that entity has (*e.g.*, a corporation with multiple brokerage accounts should include all transactions made in all accounts on one claim form).

Filing Instructions Overview

The relevant EFT will be provided on each case's individual website or profile through the main SCS website (<https://www.strategicclaims.net>). The filer may also request a copy of the EFT directly from SCS through efile@strategicclaims.net. Once a copy of the EFT has been obtained, the filer should fill out all relevant fields to the best of their ability and submit the completed EFT to efile@strategicclaims.net along with a signed umbrella claim form and authorization form (self-prepared). Unless previously discussed with SCS, do not add additional columns to the EFT as this information will not be processed nor will it be factored into the recognized loss calculation.

Please note that in most cases we do not require certifications, affidavits, cover letters, tax forms (W-8BEN) or a copy of the filer's bylaws upfront. Please do not include the aforementioned documents with the EFT. The only required items are:

- (1) The signed umbrella claim form.
- (2) A completed EFT.
- (3) A self-prepared authorization between the client and filer to file claims on their behalf.
- (4) Wire Instructions (where applicable).

If SCS requires additional administrative documentation, we will make the request directly to the email address reported in the EFT.

Receive/Deliver & Miscellaneous Transfers

Where applicable, it is the responsibility of the filer to pair receive and deliver transactions to reflect the accurate transfer of shares between accounts. Any purchases that are transferred from one account to another should be reflected in the receiving account with the original cost basis and trade date. For balancing purposes, the originating account may still reflect the original purchase amount, but the price should be zeroed out, and the transaction code should be reported as "R" so that the shares are not double counted in the recognized loss calculation.

Transfer transactions (receive & delivers) should not be removed from the submitted trade data unless they are considered a true wash and do not affect the recognized loss calculation (e.g., movement of shares from cash to margin or vice versa is acceptable to remove from the data set). If the filer is unsure what should be reported as a receive as opposed to a purchase, please contact SCS directly. Unless specifically dictated by the plan of allocation, trades between two or more trade desks at the same financial institution should be flagged as "R" or "D" and not assigned a price per share value unless they are considered true open-market public transactions.

Field Descriptions – Common Stock Template

Beneficial Owner 1 (Check Field 1) – This field should be for the full name of the beneficial owner (typically the fund name or individual purchaser). If you are a third-party filer filing on behalf of the beneficial owner, please include the necessary language that will allow your firm to cash checks on behalf of the underlying beneficial owner (i.e. “Strategic FBO John Smith”). Do not enter the name of the person submitting the data file. **This field has a max character limit of 95 characters.** If the beneficial owner’s name length exceeds this field, you may use the second beneficial owner field for the additional characters or abbreviate the name. If abbreviating the name and the beneficial owner is a fund, the fund name should still be recognizable for auditing purposes.

Beneficial Owner 2 (Check Field 1) – This field is for a second beneficial owner or additional room for the Beneficial Owner 1 field. **This field has a max character limit of 95 characters.**

Account Number – This field is for the account number. The true account number should be used when possible. If the account is combined or rolled up, a placeholder account number may be used.

Attention, Address 1, Address 2, City, State, Zip Code, Province, Country – These fields are where the checks will be sent if a wire is not possible. SCS will not send deficiency or status notices to these addresses; all notices will be sent to the email contained within the submitted EFT.

SSN or EIN (Last Four Digits) – This field is for the claimant’s/beneficial owner’s TIN, last four digits are acceptable. If the beneficial owner is foreign, please leave the field blank.

Filer’s Email – This field is where all correspondence will be sent, such as deficiency notices, inquiries, or claim status notices. For security purposes, SCS can only accept one email address per claim.

Security Identifier (CUSIP, SEDOL or ISIN) – This is a data validated field. A complete list of eligible securities is provided at the top of these instructions. The valid security identifier must be provided and must be correct. For security identifier changes during the settlement class period (if any), the filer does not need to provide the shares delivering out and the new shares being received in; a simple change in reported security identifier is sufficient so long as the claim balances.

Transaction Type (BB, P, R, S, D, EB) – Please use the following transaction types to represent each individual trade and/or holdings of the eligible security.

Trade Date – This is a data validated field. SCS will only accept dates reported in MM/DD/YYYY format. Beginning and Ending Balances should match the dates listed in the corresponding claim form and not deviate from the listed dates.

Share Quantity – This field is for the number of shares per each buy/sale transaction and/or the Beginning and Ending Balance.

Execution Price (Per Share in USD) – This field is for the execution price-per-share in USD. Do not report any other currencies other than USD. The execution price should not include commissions, fees, or taxes. Same date transactions should not be aggregated if the execution price is different.

Option A/E – Common stock that is acquired/sold through an exercise or assignment of an option should be denoted as a “E” for exercised or “A” for assignment.

Filer Comments – This field is for filer comments, any description or additional instructions for conversions or transfers should be listed here.

Failure to fill out the required fields may result in a processing delay or complete rejection of the submission.