EXHIBIT D

DISPUTED CLAIMS

	S	SECTION I: Claims Determined Not to Have a Recognized Claim
		A. Claimant Sold All Luckin ADSs for a Gain (Settlement Notice App. A ¶ 10) ⁱ
Disputed Claim No.	Name of Claimant(s) (Claim Number)	Claim Determination
-	Maria-Teresa De La Rosa Roth Contributory IRA	Reason for Rejection: No Recognized Claim. The Claimant sold all eligible Luckin ADSs they purchased during the Class Period for a gain.
	(16602)	Detailed Explanation: Because all shares were sold for a gain during the Class Period, the Recognized Loss Amount is \$0.00. See Settlement Notice App. A ¶ 10. Specifically, for Exchange Act Loss Amounts, "the purchase price minus the sale price" (see Settlement Notice App. A ¶ 7(b)) is a negative number. Similarly, the Securities Act Loss Amount is a negative number as the calculation for these shares is "the purchase price per share (not to exceed \$17.00) minus the sale price per share" (see Settlement Notice App. A ¶ 8(a)). Pursuant to ¶ 10 of Appendix A of the Settlement Notice, if a Recognized Loss Amount shall be zero.
		In response to the Notice of Deficient Proof of Claim Submission, the Claimant requested Court review. The response the Claimant provided did not reflect or support any additional transactions beyond those contained in the original submission. Epiq contacted the Claimant by telephone twice and left a voicemail to further explain the reason for the rejection. The Claimant did not take or return Epiq's calls. The 65 Luckin ADSs that the Claimant provided for a separate account on a different claim number (Claim 22970) are eligible to participate in the Settlement.

		Transactional History:	al History:						
		FI	Date of Transaction	Transaction Type	Number of Shares	Price per <u>Share</u>	Total (excluding commission)	Settlement Notice Reference	
			11/13/2019	Purchase	92	\$21.25	\$1,955.00	¶ 7(b), 8(a)	
			1/31/2020	Sale	92	\$27.465	\$2,526.78	¶ 7(b), 8(a)	
		. 7	10/20/2021	Unsold	0				
				Holdings					
	R All Inc	Lin ADGe C	old Prior to	B All Luckin ADS: Sold Prior to Innuary 31 2020 (Sottlement Notice Ann. A C 7(a))	2020 (Sottle	mont Notic	Thy uny or	((0))	
	D. All Luc an	nd Sales Pri	olu riioi tu ce Greater	and Sales Price Greater Than \$17.00 (Settlement Notice App. ¶ 8(a))	(Settlement	Notice App	$(x \in App. A \mid x \in App. A)$	/(d)),	
Disputed	Name of								
Claim No.	Claimant(s) (Claim Number)				Claim Determination	mination			
2	Andrew Shin (9084)	Reason for F	Rejection: No The The (Exc	Reason for Rejection: No Recognized Claim. The Claimant sold all eligible Luckin ADSs prior to the first corrective disclosure date (Exchange Act), and all eligible Luckin ADSs were sold at a price greater than \$17.00 per share (Securities Act).	im. ıll eligible Luc I all eligible L. s Act).	kin ADSs pric uckin ADSs w	or to the first co ere sold at a pr	rrective disclos ice greater than	ure date 1 \$17.00
		Detailed Explanation: Because all shares pu 31, 2020, the Exchan	planation: shares purchas s Exchange A	<u>Detailed Explanation:</u> Because all shares purchased during the Class Period were "sold before 11:00 a.m. Eastern time on January 31, 2020, the Exchange Act Loss Amount is zero." Settlement Notice App. A ¶ 7(a).	lass Period we t is zero." Sett	re "sold befor Jement Notice	e 11:00 a.m. Eɛ ? App. A¶7(a).	astern time on Ja	ınuary
		The Securiti	ies Act Loss A	The Securities Act Loss Amount for the shares is also \$0 00 as "the murchase price per share (not to exceed	Posts si sala	00 00 as "the r	uirchase price n	er share (not to	exceed
		\$17.00) minus the		sale price" (see Settlement Notice App. A $\P(8(a))$ results in a negative number. Pursuant to	ent Notice App	2. A ¶ 8(a)) re	sults in a negati	ive number. Pur	suant to
		¶ 10 of Appendix that Recognized L	endix A of the ized Loss Amo	¶ 10 of Appendix A of the Settlement Notice, if a Recognized Loss Amount calculates to a negative number, that Recognized Loss Amount shall be zero.	ice, if a Recogi o.	nized Loss At	nount calculate	s to a negative r	umber,
		0							
		In response documentation	to the Notice on the Claima	In response to the Notice of Deficient Proof of Claim Submission, the Claimant requested Court review. The documentation the Claimant submitted with the request for Court review did not reflect or support any eligible	of of Claim Suh the request for	or Court revie	Claimant reque w did not reflec	ested Court revi	ew. The eligible

		transactions beyond those contained in the original submission. Epiq contacted the Claimant twice by telephone and left a voicemail to further explain the reason for ineligibility but was unable to make contact with the Claimant.	se contained in email to further	the original explain the re	submission.	Epiq contacted gibility but was	the Claimant twi unable to make c	ce by ontact
		Transactional History:						
		Date of Transaction	Transaction Type	Number of Shares	Price per Share	Total (excluding commission)	Settlement Notice Reference	
		5/17/2019	Purchase	1,480	\$23.593	\$34,917.64	¶ 7(a), 8(a)	
		5/21/2019	Sale	1,480	\$17.982	\$26,613.36	¶ 7(a), 8(a)	
		10/20/2021	Unsold Holdings	0				
3	Loren Wayne Giles (20190)	Reason for Rejection: No Recognized Claim. The Claimant sold all (Exchange Act), and a	Recognized CI e Claimant sold vchange Act), an	laim. I all eligible Lu nd all eligible	ıckin ADSs pr. Luckin ADSs 1	ior to the first co were sold at a pr	No Recognized Claim. The Claimant sold all eligible Luckin ADSs prior to the first corrective disclosure date (Exchange Act), and all eligible Luckin ADSs were sold at a price greater than \$17.00	e date 317.00
		pe	per share (Securities Act).	tes Act).				
		Detailed Explanation: Because all shares purchased during the Class Period were "sold before 11:00 a.m. Eastern time on January 31, 2020, the Exchange Act Loss Amount is zero." Settlement Notice App. A ¶ 7(a).	ased during the	Class Period v int is zero." Se	were "sold bes ttlement Notic	fore 11:00 a.m. F se App. A¶7(a).	Eastern time on Ja	ınuary
		The Securities Act Loss Amount for the shares is also \$0.00 as "the purchase price per share (not to exceed \$17.00) <i>minus</i> the sale price" (<i>see</i> Settlement Notice App. A ¶ 8(a)) results in a negative number. Pursuant to ¶ 10 of Appendix A of the Settlement Notice, if a Recognized Loss Amount calculates to a negative number, that Recognized Loss Amount shall be zero.	Amount for the ice" (see Settler e Settlement No	e shares is also nent Notice A _I vtice, if a Reco _l ero.	\$0.00 as "the pp. A ¶ 8(a)) r gnized Loss A	purchase price p esults in a negati mount calculate	er share (not to ey ive number. Pursu s to a negative nu	ant to
		In response to the Notice of Deficient Proof of Claim Submission, the Claimant requested Court review. The documentation the Claimant submitted with the request for Court review did not reflect or support any eligible transactions beyond those contained in the original submission. Epiq contacted the Claimant twice	of Deficient Pro ant submitted we	oof of Claim S vith the request ned in the origi	ubmission, the for Court revinal submissic	e Claimant reque iew did not refle n. Epiq contacte	Notice of Deficient Proof of Claim Submission, the Claimant requested Court review. The Claimant submitted with the request for Court review did not reflect or support any as beyond those contained in the original submission. Epiq contacted the Claimant twice	. The ice

		by telep maintair	by telephone to further explain the reason for ineligibility, and the Claimant confirmed they wanted to maintain their request for Court review.	plain the reasor Court review.	ı for ineligibili	lty, and the Cla	limant confirmed	d they wanted to	
		Transac	Transactional History:						
			Date of	Transaction	Number of	Price per	Total (excluding	Settlement Notice	
			<u>Transaction</u>	Type	<u>Shares</u>	Share	commission)	Reference	
			7/23/2019	Purchase	2,900	\$22.39	\$64,931.00	¶ 7(a), 8(a)	
			8/2/2019	Purchase	8,300	\$24.50	\$203,350.00	$\P\P \ 7(a), 8(a)$	
			8/14/2019	Sale	110	\$21.22	\$2334.20	$\P\P \ 7(a), 8(a)$	
			8/14/2019	Sale	3,400	\$21.20	\$72,080.00	$\P\P$ 7(a), 8(a)	
			8/14/2019	Sale	2,196	\$21.12	\$46,379.52	¶ 7(a), 8(a)	
			8/14/2019	Sale	2,777	\$21.24	\$58,983.48	¶ 7(a), 8(a)	
			8/14/2019	Sale	2,702	\$21.18	\$57,228.36	¶ 7(a), 8(a)	
			8/14/2019	Sale	10	\$21.21	\$212.10	¶ 7(a), 8(a)	
			8/14/2019	Sale	5	\$21.19	\$105.95	¶ 7(a), 8(a)	
			10/20/2021	Unsold Holdings	0				
4	Loren W Giles IRA (20194)	Reason	Reason for Rejection: No Recognized Claim. The Claimant sold all e (Exchange Act), and air per share (Securities A	No Recognized Claim. The Claimant sold all elig (Exchange Act), and all el per share (Securities Act).	aim. all eligible Lu nd all eligible . ies Act).	ıckin ADSs pri. Luckin ADSs v	or to the first co vere sold at a pr	No Recognized Claim. The Claimant sold all eligible Luckin ADSs prior to the first corrective disclosure date (Exchange Act), and all eligible Luckin ADSs were sold at a price greater than \$17.00 per share (Securities Act).	e date \$17.00
		Detailed Because 31, 2020	Detailed Explanation: Because all shares purchased during the Class Period were "sold before 11:00 a.m. Eastern time on January 31, 2020, the Exchange Act Loss Amount is zero." Settlement Notice App. A¶7(a).	used during the Act Loss Amou	Class Period v nt is zero." Se	were "sold befi ttlement Notic	ore 11:00 a.m. E e App. A¶7(a).	Eastern time on Ja	ınuary
		The Sec (\$17.00)	The Securities Act Loss Amount for the shares is also \$0.00 as "the purchase price per share (not to exceed \$17.00) <i>minus</i> the sale price" (<i>see</i> Settlement Notice App. A \P 8(a)) results in a negative number. Pursuant to	Amount for the ice" (see Settler	shares is also nent Notice Ap	\$0.00 as "the op. A ¶ 8(a)) re	purchase price p esults in a negati	er share (not to exve number. Pursu	sceed ant to

		¶ 10 of Appendix.		A of the Settlement Noticooss Amount shall be zero.	otice, if a Reco	gnized Loss A	A of the Settlement Notice, if a Recognized Loss Amount calculates to a negative number, oss Amount shall be zero.	s to a negative n	umber,
		In respondocument transaction telephone their requirements	In response to the Notice of D documentation the Claimant su transactions beyond those co telephone to further explain th their request for Court review.	of Deficient Prant submitted was contained in ain the reason for view.	oof of Claim Sith the request the original or ineligibility,	Submission, the for Court revie submission. I and the Clain	In response to the Notice of Deficient Proof of Claim Submission, the Claimant requested Court review. The documentation the Claimant submitted with the request for Court review did not reflect or support any eligible transactions beyond those contained in the original submission. Epiq contacted the Claimant twice by telephone to further explain the reason for ineligibility, and the Claimant confirmed they wanted to maintain their request for Court review.	ested Court revior tor support any the Claimant to hey wanted to n	ew. The eligible vice by naintain
		Transactional Hist	onal History:						
			Date of Transaction	Transaction Type	Number of Shares	Price per <u>Share</u>	Total (excluding commission)	Settlement Notice Reference	
		<u> </u>	8/2/2019	Purchase	485	\$24.815	\$12,035.275	¶ 7(a), 8(a)	
			8/05/2019	Sale	485	\$23.103	\$11,204.955	¶ 7(a), 8(a)	
			10/20/2021	Unsold Holdings	0				
	C. A	C. All Luckin ADSs		Purchased and Sold Within Same Disclosure Period (Settlement Notice App. A ¶ 7)	e App. A ¶	ame Disclos	sure Period		
Disputed Claim No.	Name of Claimant(s) (Claim Number)				Claim Determination	rmination			
ν	Richard Wallace (319)		o <u>r Rejection</u> : Nc <i>Th</i> <i>pe</i> v	Reason for Rejection: No Recognized Claim. The Claimant purchase period.	aim. chased and soi	'd all eligible i	No Recognized Claim. The Claimant purchased and sold all eligible Luckin ADSs within the same disclosure period.	hin the same dis	closure

		Detailed Because period; i. Amount of artific date of strades, th Loss Am	<u>Detailed Explanation</u> : Because all shares purchased during the Class Period were purchased and sold within the same disclosure period; i.e., where the artificial inflation was the same on the date(s) of purchase and sale, the Recognized Loss Amount is \$0.00. For these trades, the Exchange Act Loss Amount per ADS is calculated utilizing the amount of artificial inflation per ADS on the date of purchase minus the amount of artificial inflation per ADS on the date of sale found in Table A of the Settlement Notice. Settlement Notice App. A ¶ 7(b). For this Claimant's trades, the result of this calculation is \$1.33 minus \$1.33 totaling \$0.00 per ADS resulting in a Recognized Loss Amount of \$0.00. Settlement Notice App. A ¶ 7(b), Table A.	sed during the icial inflation we trades, the Exc DS on the date e A of the Settle alculation is \$1.	Class Period as the same on change Act Lo of purchase moment Notice.	were purchase the date(s) of ss Amount per inus the amou Settlement No 33 totaling \$0.	ion: s purchased during the Class Period were purchased and sold within the same disclosure the artificial inflation was the same on the date(s) of purchase and sale, the Recognized Loss For these trades, the Exchange Act Loss Amount per ADS is calculated utilizing the amount on per ADS on the date of purchase minus the amount of artificial inflation per ADS on the in Table A of the Settlement Notice. Settlement Notice App. A ¶ 7(b). For this Claimant's of this calculation is \$1.33 minus \$1.33 totaling \$0.00 per ADS resulting in a Recognized 0.00. Settlement Notice App. A ¶ 7(b), Table A.	in the same dise, the Recognized utilizing the flation per AD b). For this Claulting in a Reculting in a Rec	sclosure ced Loss amount S on the nimant's
		In respor documen transacti telephon with the	In response to the Notice of Deficient Proof of Claim Submission, the Claimant requested Court review. The documentation the Claimant submitted with the request for Court review did not reflect or support any eligible transactions beyond those contained in the original submission. Epiq contacted the Claimant twice by telephone and left a voicemail to further explain the reason for ineligibility but was unable to make contact with the Claimant.	of Deficient Pro nt submitted wir e contained in mail to further	of of Claim S th the request the original explain the re	ubmission, the for Court revie submission. E ason for inelig	Notice of Deficient Proof of Claim Submission, the Claimant requested Court review. The Claimant submitted with the request for Court review did not reflect or support any eligible nd those contained in the original submission. Epiq contacted the Claimant twice by a voicemail to further explain the reason for ineligibility but was unable to make contact	sted Court revior support any or support any he Claimant to mable to make	ew. The eligible wice by contact
		Transact	Transactional History:						
			Date of Transaction	Transaction Type	Number of Shares	Price per Share	Total (excluding commission)	Settlement Notice Reference	
			5/26/2020	Purchase	239	\$2.22	\$530.58	4 7(b)	
			6/4/2020	Purchase	145	\$4.11	\$595.95	4 7(b)	
			6/8/2020	Purchase	256	\$5.08	\$1,300.48	¶ 7(b)	
			6/8/2020	Sale	384	\$4.97	\$1,908.48	¶ 7(b)	
			6/8/2020	Sale	256	\$4.25	\$1,088.00	¶ 7(b)	
			10/20/2021	Unsold Holdings	0				
9	Ronald Burton	Reason f	Reason for Rejection: No Recognized Claim.	Recognized Cla	iim.				
	(18435)		The Cl. period.	Claimant purciod.	hased and sold	t all eligible L	The Claimant purchased and sold all eligible Luckin ADSs within the same disclosure period.	iin the same dis	sclosure

Detailed Explanation:

period; i.e., where the artificial inflation was the same on the date(s) of purchase and sale, the Recognized Loss of artificial inflation per ADS on the date of purchase minus the amount of artificial inflation per ADS on the date of sale found in Table A of the Settlement Notice. Settlement Notice App. A ¶ 7(b). For this Claimant's Because all shares purchased during the Class Period were purchased and sold within the same disclosure Amount is \$0.00. For these trades, the Exchange Act Loss Amount per ADS is calculated utilizing the amount trades, the result of this calculation is \$1.33 minus \$1.33 totaling \$0.00 per ADS resulting in a Recognized Loss Amount of \$0.00. In response to the Notice of Deficient Proof of Claim Submission, the Claimant requested Court review. The documentation the Claimant submitted with the request for Court review did not reflect or support any eligible transactions beyond those contained in the original submission. Epiq contacted the Claimant twice by elephone to further explain the reason for ineligibility but was unable to make contact with the Claimant.

Transactional History

Date of Transaction	Transaction Type	Number of Shares	Price per <u>Share</u>	(excluding commission)	Settlement Notice Reference
5/20/2020	Purchase	7,000	\$3.05	\$21,350	¶ 7(b)
5/20/2020	Purchase	7,000	\$3.12	\$21,840	¶ 7(b)
5/21/2020	Purchase	4,000	\$2.60	\$10,400	¶ 7(b)
5/21/2020	Purchase	4,000	\$2.32	\$9,280	(d) / (lp)
5/20/2020	Sale	000'L	\$3.28	\$22,960	(d) / (lp)
5/20/2020	Sale	000'L	\$2.93	\$20,510	(d) / (lp)
5/22/2020	Sale	8,000	\$1.35	\$10,800	¶ 7(b)
10/20/2021	Unsold	0			
	Holdings				

7	Sonal Patel (21803)	Reason f	Reason for Rejection: No Recognized Claim. The Claimant purchase period.	No Recognized Cla The Claimant purch period.	im. hased and sola	l all eligible Lı	No Recognized Claim. The Claimant purchased and sold all eligible Luckin ADSs within the same disclosure period.	in the same dis	sclosure
		Detailed Because period; i Loss Arr amount c on the di Claimant	Detailed Explanation: Because all shares purchased during the Class Period were purchased and sold within the same disclosure period; i.e., where the artificial inflation was the same on the date(s) of purchase and sale, the Recognized Loss Amount is \$0.00. For these trades, the Exchange Act Loss Amount per ADS is calculated utilizing the amount of artificial inflation per ADS on the date of purchase minus the amount of artificial inflation per ADS on the Settlement Notice. Settlement Notice App. A ¶ 7(b). For this on the date of sale found in Table A of the Settlement Notice. Settlement Notice App. A ¶ 7(b). For this Claimant's trades, the result of this calculation is \$25.96 minus \$25.96 totaling \$0.00 per ADS resulting in a Recognized Loss Amount of \$0.00.	ased during the ifficial inflation or these trades, the on per ADS on the in Table A of ult of this calculation.	Class Period was the same he Exchange he date of purc the Settlemen ation is \$25.96	were purchase on the date(s) Act Loss Amor thase minus the t Notice. Settl 5 minus \$25.96	ion: s purchased during the Class Period were purchased and sold within the same disclosure the artificial inflation was the same on the date(s) of purchase and sale, the Recognized 0.00. For these trades, the Exchange Act Loss Amount per ADS is calculated utilizing the all inflation per ADS on the date of purchase minus the amount of artificial inflation per ADS e found in Table A of the Settlement Notice. Settlement Notice App. A ¶ 7(b). For this the result of this calculation is \$25.96 minus \$25.96 totaling \$0.00 per ADS resulting in a Amount of \$0.00.	n the same distance of the sale, the Rectalculated utilizing icial inflation ppp. A ¶ 7(b). The per ADS result	sclosure ognized zing the ser ADS For this
		In respondocumer transactic telephone	In response to the Notice of Deficient Proof of Claim Submission, the Claimant requested Court review. The documentation the Claimant submitted with the request for Court review did not reflect or support any eligible transactions beyond those contained in the original submission. Epiq contacted the Claimant twice by telephone and left a voicemail to further explain the reason for ineligibility but was unable to make contact with the Claimant.	of Deficient Pro int submitted wit e contained in email to further	of of Claim Such the request for the original seexplain the readers.	ubmission, the or Court reviers submission. Elason for inelig	Notice of Deficient Proof of Claim Submission, the Claimant requested Court review. The Claimant submitted with the request for Court review did not reflect or support any eligible nd those contained in the original submission. Epiq contacted the Claimant twice by a voicemail to further explain the reason for ineligibility but was unable to make contact	sted Court revior support any ne Claimant to nable to make	ew. The eligible wice by contact
		Transact	Transactional History:						
			Date of Transaction	Transaction Type	Number of Shares	Price per Share	Excluding commission)	Settlement Notice Reference	
			2/28/2020	Purchase	1,000	\$37.445	\$37,445.00	¶ 7(b)	
			3/19/2020	Purchase	1,331	\$24.285	\$32,323.34	¶ 7(b)	
			3/31/2020	Sale	2,000	\$26.69	\$53,380.00	¶ 7(b)	
			3/31/2020	Sale	531	\$27.21	\$14,448.51	¶ 7(b)	
			10/20/2021	Unsold Holdings	0				

ce of Deficient Proof of Claim Submission, the Claimant requested the organisation was the same on the date(s) of purchase and sa For these trades, the Exchange Act Loss Amount per ADS is calculation per ADS on the date of purchase minus the amount of artificial and in Table A of the Settlement Notice. Settlement Notice App. result of this calculation is \$1.33 minus \$1.33 totaling \$0.00 per unt of \$0.00. The original Submission, the Claimant requested in the original submission. Epiq contacted the original to further explain the reason for ineligibility but was unab transaction and the original submission. Transaction Number of Shares Share (excluding Shares) The Settlement Notice App. Total Spiane Submission, the Claimant requested in the original submission. Epiq contacted the Claimant submission of Shares Shar
5/21/2020 Sale 2,000 \$2.127 \$4,254 ¶ 7(b) 10/20/2021 Unsold 0 Holdings 0

	SECTIO	SECTION II: Claims with No Eligible Class Period Purchases of Luckin ADSs
Disputed Claim No.	Name of Claimant(s) (Claim	Claim Determination
6	Lou L Lai Contributory IRA	Reason for Rejection: Ineligible. The Claimant did not purchase or otherwise acquire Luckin ADSs during the Class Period.
		Detailed Explanation: The Claim submitted by the Claimant reflects that the Claimant did not purchase Luckin ADSs during the Class Period but actually purchased option contracts on Luckin ADSs. As stated in the Settlement Notice, "Option contracts or any other derivative securities are not eligible to participate in the Settlement." Settlement Notice App. A ¶ 17. Because the Claim does not indicate any Luckin ADSs purchased during the Class Period, the Claimant was sent a Notice of Deficient Claim Submission indicating this deficiency.
		In response to the Notice of Deficient Claim Submission, the Claimant requested Court review. The documentation the Claimant submitted with the request for Court review did not reflect or support any eligible transactions beyond those contained in the original submission. Epig contacted the Claimant by telephone two times to explain the reason for the rejection. After discussing with the Claimant, the Claimant wanted to maintain their request for Court review.

SE	CTION III:	SECTION III: Claims with Inadequate Documentation to Support Their Trades of Luckin ADSs
Disputed Claim No.	Name of Claimant(s) (Claim	Claim Determination
10	William Abbate (17888)	Reason for Rejection: Inadequate Supporting Documentation Provided to Support the Trades Claimed The Claimant provided information regarding Class Period purchases/acquisitions, but none of the documentation provided was deemed adequate.
		Detailed Explanation: The Claim submitted by the Claimant reflects that the Claimant purchased Luckin ADSs during the Class Period, but the documentation provided was purportedly from a defunct hedge fund, unregistered with the SEC. Because the Claim did not provide adequate supporting documentation of the trades claimed during the Class Period, the Claimant was sent a Notice of Deficient Claim Submission indicating this deficiency.
		The documentation the Claimant submitted in response to the Notice of Deficient Claim Submission did not reflect or support any eligible transactions beyond those contained in the original submission. The Claimant submitted a letter purportedly from the CFO of the defunct and unregistered hedge fund noted above. A second notarized letter from the same hedge fund was later provided attempting to explain the legitimacy of the trades the Claimant provided.
		Given the inadequacy of the documentation and in an attempt to resolve the issue, Epiq contacted the Claimant via email to request their permission to discuss directly with the purported broker (E*TRADE) to confirm the trades. The Claimant then requested Court review.

Exchange Act Loss Amounts

7. For each Luckin ADS purchased or otherwise acquired during the period from May 17, 2019 through July 15, 2020, inclusive (including ADSs purchased in Luckin's May 17, 2019 Initial Public Offering or its January 10, 2020 Secondary Public Offering, or on the secondary market from May 17, 2019 through July 15, 2020), and:

- (a) sold before 11:00 a.m. Eastern time on January 31, 2020, the Exchange Act Loss Amount is zero;
- (b) sold from 11:00 a.m. Eastern time on January 31, 2020 through the close of trading on July 15, 2020, the Exchange Act Loss Amount is the lesser of: (i) the amount of artificial inflation per ADS on the date of purchase/acquisition as stated in Table A minus the amount of artificial inflation per ADS on the date of sale as stated in Table A; or (ii) the purchase price minus the sale price;
 - (c) sold from July 16, 2020 through the close of trading on October 13, 2020, the Exchange Act Loss Amount is equal to the least of: (i) the amount of artificial inflation per ADS on the date of purchase/acquisition as stated in Table A; (ii) the purchase price minus the sale price; or (iii) the purchase price minus the average closing price between July 16, 2020 and the date of sale as stated in Table B;
 - (d) held as of the close of trading on October 13, 2020, the Exchange Act Loss Amount is equal to the lesser of: (i) the amount of artificial inflation per ADS on the date of purchase/acquisition as stated in Table A; or (ii) the purchase price minus \$2.75. (footnotes omitted)

Securities Act Loss Amounts

in the open market from January 10, 2020 through July 15, 2020, inclusive and for which the Claimant provides records establishing that those 8. Purchases of Luckin ADSs In or Traceable to the May 17, 2019 Initial Public Offering ("IPO"): For each Luckin ADS either (a) purchased directly in the May 17, 2019 Initial Public Offering, (b) purchased in the open market from May 20, 2019 through January 9, 2020, inclusive, or (c) purchased specific shares were originally issued in the IPO, and:

(a) sold before the close of trading on April 2, 2020, the Securities Act Loss Amount is the purchase price per share (not to exceed \$17.00) minus the sale price per share;

(b) sold after the close of trading on April 2, 2020 but before the close of trading on October 20, 2021, the Securities Act Loss Amount is the purchase price per share (not to exceed \$17.00) minus the greater of: (i) the sale price per share or (ii) \$1.38 (the value of Luckin ADSs on April 2, 2020, the date the lawsuit was filed, based on the closing price that day less the remaining artificial inflation in the shares);

(c) held as of the close of trading on October 20, 2021, the Securities Act Loss Amount is the purchase price per share (not to exceed \$17.00) minus \$1.38.

* * * 10. As noted above, for each purchase or acquisition of a Luckin ADS during the Class Period, a Recognized Loss Amount will be calculated which is the greater of: the Exchange Act Loss Amount, if any, or the Securities Act Loss Amount, if any. If a Recognized Loss Amount calculates to negative number, the Recognized Loss Amount for that transaction will be zero.

MARIA-TERESA DE LA ROSA ROTH CONTRIBUTORY IRA (16602)

In re Luckin Coffee Inc. Securities Litigation
Toll-Free Number: 1-855-535-1824
Email: info@LuckinCoffeeSecuritiesLitigation.com

Website: www.LuckinCoffeeSecuritiesLitigation.com

PROOF OF CLAIM AND RELEASE FORM

To be eligible to receive a payment from the Settlement, you must complete and sign this Claim Form and mail it by first-class mail to the address below, or submit it online at www.LuckinCoffeeSecuritiesLitigation.com, with supporting documentation, postmarked (or received) no later than March 15, 2022.

Mail to:

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

Failure to submit your Claim Form by the date specified will subject your claim to rejection and may preclude you from being eligible to receive a payment from the Settlement.

PART I - CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

Beneficial Owner's First Name	Name									ΜI		Las	t Na	me											
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PART II - GENERAL INSTRUCTIONS

- 1. It is important that you completely read and understand the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice") that accompanies this Claim Form, including the Plan of Allocation of the Net Settlement Fund set forth in the Settlement Notice. The Settlement Notice describes the proposed Settlement, how Class Members are affected by the Settlement, and the manner in which the Net Settlement Fund will be distributed if the Settlement and Plan of Allocation are approved. The Settlement Notice also contains the definitions of many of the defined terms (which are indicated by initial capital letters) used in this Claim Form. By signing and submitting this Claim Form, you will be certifying that you have read and that you understand the Settlement Notice, including the terms of the releases described therein and provided for herein.
- 2. This Claim Form is directed to all persons and entities (and their beneficiaries) who purchased or otherwise acquired the American Depository Shares ("ADSs") of Luckin Coffee Inc. ("Luckin") during the Class Period (from May 17, 2019 through July 15, 2020, inclusive) (the "Class"). Included in the Class are all persons and entities who purchased Luckin ADSs on the open market and/or in or traceable to the May 17, 2019 Initial Public Offering ("IPO") and January 10, 2020 Secondary Public Offering ("SPO") during the Class Period. Certain persons and entities are excluded from the Class by definition as set forth in ¶ 25 of the Settlement Notice.
- 3. By submitting this Claim Form, you will be making a request to receive a payment from the Settlement described in the Settlement Notice. IF YOU ARE NOT A CLASS MEMBER (see the definition of the Class on page 6 of the Settlement Notice, which sets forth who is included in and who is excluded from the Class), OR IF YOU, OR SOMEONE ACTING ON YOUR BEHALF, SUBMITTED A REQUEST FOR EXCLUSION FROM THE CLASS, DO NOT SUBMIT A CLAIM FORM. YOU MAY NOT, DIRECTLY OR INDIRECTLY, PARTICIPATE IN THE SETTLEMENT IF YOU ARE NOT A CLASS MEMBER. THUS, IF YOU ARE EXCLUDED FROM THE CLASS, ANY CLAIM FORM THAT YOU SUBMIT, OR THAT MAY BE SUBMITTED ON YOUR BEHALF, WILL NOT BE ACCEPTED.
- 4. Submission of this Claim Form does not guarantee that you will be eligible to receive a payment from the Settlement, if it is approved. The distribution of the payments to eligible purchasers of Luckin ADSs will be governed by the Plan of Allocation set forth in the Settlement Notice, if it is approved by the Court, or by such other plan of allocation as the Court approves.
- 5. Use the Schedule of Transactions in Part III of this Claim Form to supply all required details of your transaction(s) in, and holdings of, Luckin ADSs. On this schedule, provide all of the requested information with respect to your holdings, purchases, acquisitions, and sales of Luckin ADSs (including free transfers and deliveries), whether such transactions resulted in a profit or a loss. Failure to report all transaction and holding information during the requested time period may result in the rejection of your claim.
- 6. Please note: Only Luckin ADSs purchased or acquired from May 17, 2019 through July 15, 2020, inclusive, are eligible for payment under the Settlement. However, sales of Luckin ADSs during the period from July 16, 2020 through and including the close of trading on October 20, 2021, will be used for purposes of calculating your claim under the Plan of Allocation. Therefore, in order for the Claims Administrator to be able to balance your claim, the requested purchase/acquisition and sale/disposition information during this period must also be provided.
- 7. You are required to submit genuine and sufficient documentation for all of your transactions in and holdings of Luckin ADSs as set forth in the Schedule of Transactions in Part III of this Claim Form. Documentation may consist of copies of brokerage confirmation slips or monthly brokerage account statements, or an authorized statement from your broker containing the transactional and holding information found in a broker confirmation slip or account statement. The Settling Parties and the Claims Administrator do not independently have information about your investments in Luckin ADSs. IF SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN COPIES OF THE DOCUMENTS OR EQUIVALENT DOCUMENTS FROM YOUR BROKER. FAILURE TO SUPPLY THIS DOCUMENTATION MAY RESULT IN THE REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL DOCUMENTS. Please keep a copy of all documents that you send to the Claims Administrator. Also, do not highlight any portion of the Claim Form or any supporting documents.
- 8. Traceability of Luckin ADSs to Public Offerings in the Class Period. Public offerings of Luckin ADSs occurred during the Class Period on or about (i) May 17, 2019 (the IPO); and (ii) January 10, 2020 (the SPO). Claimants who purchased Luckin ADSs directly in one or both of the offerings, or who purchased shares "traceable" to one or both of the offerings (as opposed to generally on the open market) may be entitled to additional compensation under the Plan of Allocation. All Luckin ADSs purchased from May 17, 2019 through January 9, 2020 are assumed to be traceable to the IPO. However, if you purchased Luckin ADSs from January 10, 2020 through July 15, 2020 that were not purchased directly in the SPO but that you believe are specifically traceable to Luckin ADSs that were issued in the IPO or SPO, you must submit documentation with your Claim Form showing that the specific ADSs you purchased were shares issued in the IPO or SPO.
- 9. Use Part I of this Claim Form entitled "CLAIMANT INFORMATION" to identify the beneficial owner(s) of the Luckin ADSs. The complete name(s) of the beneficial owner(s) must be entered. If you held the Luckin ADSs in your own name, you were the beneficial owner as well as the record owner. If, however, your Luckin ADSs were registered in the name of a third party, such as a nominee or brokerage firm, you were the beneficial owner of the ADSs, but the third party was the record owner. The beneficial owner, not the record owner, must sign this Claim Form to be eligible to participate in the Settlement. If there were joint beneficial owners, each must sign this Claim Form and their names must appear as "Claimants" in Part I of this Claim Form.

- One Claim should be submitted for each separate legal entity or separately managed account. Separate Claim Forms should be submitted for each separate legal entity (e.g., an individual should not combine his or her IRA holdings and transactions with holdings and transactions made solely in the individual's name). Generally, a single Claim Form should be submitted on behalf of one legal entity including all holdings and transactions made by that entity on one Claim Form. However, if a single person or legal entity had multiple accounts that were separately managed, separate Claims may be submitted for each such account. The Claims Administrator reserves the right to request information on all the holdings and transactions in Luckin ADSs made on behalf of a single beneficial owner.
- 11. Agents, executors, administrators, guardians, and trustees must complete and sign the Claim Form on behalf of persons represented by them, and they must:
 - (a) expressly state the capacity in which they are acting;
 - (b) identify the name; account number; last four digits of the Social Security Number, taxpayer identification number, or comparable identification number for non-U.S. claimants; address; and telephone number of the beneficial owner of (or other person or entity on whose behalf they are acting with respect to) the Luckin ADSs; and
 - (c) furnish herewith evidence of their authority to bind to the Claim Form the person or entity on whose behalf they are acting. (Authority to complete and sign a Claim Form cannot be established by stockbrokers demonstrating only that they have discretionary authority to trade securities in another person's accounts.)
 - 12. By submitting a signed Claim Form, you will be swearing that you:
 - (a) own(ed) the Luckin ADSs you have listed in the Claim Form; or
 - (b) are expressly authorized to act on behalf of the owner thereof.
- By submitting a signed Claim Form, you will be swearing to the truth of the statements contained therein and the genuineness of the documents attached thereto, subject to penalties of perjury under the laws of the United States of America. The making of false statements, or the submission of forged or fraudulent documentation, will result in the rejection of your claim and may subject you to civil liability or criminal prosecution.
- 14. Payments to eligible Authorized Claimants pursuant to the Plan of Allocation will be made after final approval of the Settlement and any appeals from such approval, and after the completion of all claims processing. The claims process will take substantial time to complete fully and fairly. Please be patient.
- 15. PLEASE NOTE: As set forth in the Plan of Allocation, each Authorized Claimant shall receive his, her, or its pro rata share of the funds available under the Settlement. If the prorated payment to any Authorized Claimant calculates to less than \$10.00, it will not be included in the calculation and no distribution will be made to that Authorized Claimant.
- 16. If you have questions concerning the Claim Form, or need additional copies of the Claim Form, you may contact the Claims Administrator, Epiq Class Action & Claims Solutions, Inc., at the address on the first page of this Claim Form, by email at info@LuckinCoffeeSecuritiesLitigation.com, or by toll-free phone at 1-855-535-1824, or you can visit the website, www.LuckinCoffeeSecuritiesLitigation.com, where copies of the Claim Form and other relevant documents are available for downloading.
- 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. To obtain the *mandatory* electronic filing requirements and file layout, you may visit the Settlement website at www.LuckinCoffeeSecuritiesLitigation.com or you may email the Claims Administrator's electronic filing department at info@LuckinCoffeeSecuritiesLitigation.com. Any file not in accordance with the required electronic filing format will be subject to rejection. The *complete* name of the beneficial owner of the securities must be entered where called for (see ¶ 9 above). No electronic files will be considered to have been submitted unless the Claims Administrator issues an email to that effect. Do not assume that your file has been received until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at info@LuckinCoffeeSecuritiesLitigation.com to inquire about your file and confirm it was received.

IMPORTANT: PLEASE NOTE

YOUR CLAIM IS NOT DEEMED FILED UNTIL YOU RECEIVE AN ACKNOWLEDGEMENT POSTCARD. THE CLAIMS ADMINISTRATOR WILL ACKNOWLEDGE RECEIPT OF YOUR CLAIM FORM WITHIN 60 DAYS OF YOUR SUBMISSION. IF YOU DO NOT RECEIVE AN ACKNOWLEDGEMENT POSTCARD WITHIN 60 DAYS, CONTACT THE CLAIMS ADMINISTRATOR TOLL FREE AT 1-855-535-1824.

....

PART III - SCHEDULE OF TRANSACTIONS IN LUCKIN ADSs

Use this section to provide information on your holdings and trading of Luckin ADSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 7 above.

list each and every p	urchase or acquisition trading on July 15, 20 10, 2020 Secondary	(including free receipts) 20. Include Luckin ADSs Public Offering and Lu	GH JULY 15, 2020, INCI of Luckin ADSs from May purchased in Luckin's May ckin ADSs purchased on the	17, 2019 through and 17, 2019 Initial Public
Date of Purchase/ Acquisition (List Chronologically)	Number of ADSs Purchased/	Purchase	Total Purchase Price (excluding any fees,	Were the shares purchased in or traceable to the May 2019 IPO or the Jan. 2020 SPO? Confirm Purchase/ Acquisition SPO?
(Month/Day/Year)	Acquired	Price Per ADS	commissions, and taxes)	STO: Edichosed
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total number of Luckin	ADSs purchased or acq	ULY 16, 2020 THROUG uired (including free receip	H OCTOBER 20, 2021, IN its) from July 16, 2020 through	CLUSIVE - State the the close of trading on
October 20, 2021. If non	e, write "zero" or "0."			
3 SALES FROM MA	V 17 2019 THROUG	H OCTOBER 20, 2021	- Separately list each and ex	very sale or IF NONE,
disposition (including fr October 20, 2021. (Must	ee deliveries) of Luckin.	ADSs from May 17, 2019 th	rough and including the close of	of trading on CHECK HERE
Date of Sale (List Chronologically)	Number of	Sale Price Per ADS	Total Sale Price (not deducting any fees, commission	Confirm Proof of Sale ons. and taxes) Enclosed
(Month/Day/Year)	ADSs Sold	Ter Abs	(not deducting any rees, commission	
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052020	65	2 • 8 1	182.	42
]•	•	
		•	•	
4. HOLDINGS AS OF October 20, 2021. (Mus	OCTOBER 20, 2021 – t be documented.) If none	State the total number of Lu e, write "zero" or "0."	ckin ADSs held as of the close of	of trading on Confirm Proof of Position Enclosed
ZC I-VO	• 📙			
CAME ECOMAT DI	RINT THE BENEFIC ER IDENTIFI <u>CA</u> TION	TAL OWNER'S FIILL	ABOVE, ATTACH EXTRA NAME AND LAST FOUR DDITIONAL PAGE. IF YOU	DIGITS OF SOCIAL

Questions? Visit www.LuckinCoffeeSecuritiesLitigation.com or call 1-855-535-1824

05-CA40050093 AE9085 v.09

Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

PART IV - RELEASE OF CLAIMS AND SIGNATURE

YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON PAGE 7 OF THIS CLAIM FORM.

I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) and my (our) (the claimant(s)') heirs, executors, administrators, predecessors, successors, and assigns, in their capacities as such, shall be deemed to have, and by operation of law and of the judgment shall have, fully, finally, and forever compromised, settled, released, resolved, relinquished, waived, and discharged each and every Released Plaintiffs' Claim against Luckin and the other Defendants' Released Parties, and shall forever be barred and enjoined from prosecuting any or all of the Released Plaintiffs' Claims against any of the Defendants' Released Parties in any jurisdiction.

CERTIFICATION

By signing and submitting this Claim Form, the claimant(s) or the person(s) who represent(s) the claimant(s) agree(s) to the release above and certifies (certify) as follows:

- 1. that I (we) have read and understand the contents of the Settlement Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;
- 2. that the claimant(s) is a (are) Class Member(s), as defined in the Settlement Notice, is (are) not excluded by definition from the Class as set forth in the Settlement Notice and did *not* submit a request for exclusion from the Class;
- 3. that I (we) own(ed) the Luckin ADSs identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Defendants' Released Parties to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
- 4. that the claimant(s) has (have) not submitted any other claim covering the same purchases of Duckin ADSs and knows (know) of no other person having done so on the claimant's (claimants') behalf;
- 5. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;
- 6. that I (we) agree to furnish such additional information with respect to this Claim Form as Class Counsel, the Claims Administrator, or the Court may require;
- 7. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this claim, and waives any right of appeal or review with respect to such determination;
- in the Cayman Islands by way of a scheme of arrangement promulgated under section 86 of the Cayman Islands Companies Act 1981 (the "Scheme"), the claimant(s) appoint(s) Sjunde AP-Fonden and Louisiana Sheriff's Pension & Relief Fund as its/their proxy to vote in favor of the Scheme at all meetings convened for the purpose of approving the Scheme;
- 9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and
- that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.

	UE AND CORRECT COPIES OF WHAT THEY
Mario Lousa de la Rosa	Date: 01 - 03 - 2012 MM DD YYYY
Signature of claimant	
MANIA-TERESA DE LA ROSA	·
Print claimant name here	
	Date: MM DD YYYY
Signature of joint claimant, if here	IVIIVI DD 1111
Print joint claimant name here	
he claimant is other than an individual, or is not the person completi	ing this form, the following also mass be provided
	Date: MM DD YYYY
Signature of person signing on behalf of claimant	Will 22
Print name of person signing on behalf of claimant here	

REMINDER CHECKLIST

- Sign the above release and certification. If this Claim Form is being made on behalf of joint claimants, then both must sign.
- Attach only copies of acceptable supporting documentation as these documents will not be returned to you.
 Do not highlight any portion of the Claim Form or any supporting documents.
- Keep copies of the completed Claim Form and documentation for your own records.
- The Claims Administrator will acknowledge receipt of your Claim Form by mail, within 60 days of your submission. Your claim is not deemed filed until you receive an acknowledgement postcard. If you do not receive an acknowledgement postcard within 60 days, please call the Claims Administrator toll free at \$855-535-1824.
- 6. If your address changes in the future, or if this Claim Form was sent to an old or incorrect address, you must send the Claims Administrator written notification of your new address. If you change your name, inform the Claims Administrator.
- If you have any questions or concerns regarding your claim, contact the Claims Administrator at the address below, by email at info@LuckinCoffeeSecuritiesLitigation.com, or by toll-free phone at 1-855-535-1824, or you may visit www.LuckinCoffeeSecuritiesLitigation.com.

This Claim Form must be mailed to the Claims Administrator by first-class mail or submitted online at www.LuckinCoffeeSccuritiesLitigation.com, postmarked (or received) no later than March 15, 2022. If mailed, the Claim Form should be addressed as follows:

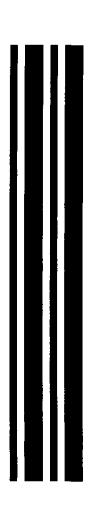
> In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if a postmark date on or before March 15, 2022 is indicated on the envelope and it is mailed First Class, and addressed in accordance with the above instructions. In all other cases, a Claim Form shall be deemed to have been submitted when actually received by the Claims Administrator.

You should be aware that it will take a significant amount of time to fully process all of the Claim Forms. Please be patient and notify the Claims Administrator of any change of address.



Attachments



Patch Code 3

Subject

Schwab eConfirms account ending in

From

Schwab Alerts <donotreply-comm@schwab.com>

To:

Date

Nov 14, 2019 at 12:56 AM



Electronic Trade Confirmation

November 14, 2019 | your account ending:

Schwab eConfirms[™]

This email contains your trade confirmations for 11/13/2019.

Please log in to the Schwab web site to view your confirmations at www.schwab.com/reports.

Security Description: LUCKIN COFFEE INC ADR

Action: BOUGHT

Type: Cash

Symbol:LK

Security No./CUSIP: 54951L-10-9

Trade Date: 11/13/19

Settle Date: 11/15/19

Quantity, Price j	Principal	Charges and/or Interest	Total Amount
92 521.25	\$1,955.00	N/A	\$1,955.00

Additional information for this security:

- Schwab acted as your agent.

If you have questions about this report, please contact Schwab at 800-435-4000.

UNSUBSCRIBE PRIVACY CONTACT US & LOG IN

View, print, or download terms and conditions of your transaction.

If you have any questions or concerns, PLEASE DO NOT REPLY TO THIS EMAIL. Please send us an email using the secure email feature on our website.

For your protection, we are unable to accept instructions to change your email address sent in reply to this message. To update your address using a secure channel, please log in to your account.

For your security, Charles Schwab will never request personal information through email...

View SchwabSafe® and The Schwab Security Guarantee.

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charles SCHWAB

Roth Contributory IRA of
MARIA-TERESA DE LA ROSA
CHARLES SCHWAB & CO INC CUST
ROTH CONTRIBUTORY IRA

Account Number

Statement Period November 1-30, 2019

Investment Detail - Other Assets

Annual Income **Estimated** Yield **Estimated** Unrealized Gain or (Loss) % of Account Assets Cost Basis Market Value **Market Price** Quantity Other Assets ž #

Estimated Annual Income ("EAI") and Estimated Yield ("EY") calculations are for informational purposes only. The actual income and yield might be lower or higher than the estimated amounts. EY is based upon EAI and the current price of the security and will fluctuate. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a

Total Investment Detail

Total Account Value

Total Cost Basis

Transaction Detail - Purchases & Sales

Equities Activity

Settle Date	Settle Date Trade Date Transaction	Insaction	Description	,	Quantity	itity	Unit Price	Total Amount
11/15/19	11/15/19 11/13/19 Bought	ught	LUCKIN COFFEE INC F UNSPONSORED ADR: LK		92.0000	000	21.2500	(1,955.00)
. Total Ec	Total Equittes Activity	***					-	(1,955.00)
age a comment of			and the second of the second o	en er er er en der dem er de de dem er og de	1	And the second s		Transfer to the total

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

Page 7 of 10

Subject

Schwab eConfirms account ending in

From

Schwab Alerts <donotreply-comm@schwab.com>

To:

Date

Feb 6, 2020 at 12:16 AM



Flectronic Trade Confirmation

February 06, 2020 | your account ending:

Schwab eConfirms

This email contains your trade confirmations for 02/05/2020.

Please log in to the Schweb web site to view your confirmations at www.schwab.com/reports.

Security Description: LUCKIN COFFEE INC ADR

Action: BOUGHT

Symbol:LK

Security No./CUSIP: 54951L-10-9

Trade Date: 02/05/20

Settle Date: 02/07/20

Quantity	Price	Principal	į	Charges and/or interest		Total Amount
65	\$37.14	\$2,414.10	ì	N/A .	į	\$2,414.10

Additional information for this security:

- Schwab acted as your agent.

If you have questions about this report, please contact Schwab at 800-435-4000.

CONTACT US #

100

UNSUBSCRIBE

in LOG IN

View, print, or download terms and conditions of your transaction.

If you have any questions or concerns, PLEASE DO NOT REPLY TO THIS EMAIL. Please send us an email using the secure email feature on our website.

For your protection, we are unable to accept instructions to change your email address sent in reply to this message. To update your address using a secure channel, please log in to your account.

For your security, Charles Schwab will never request personal information through email.

View SchwabSafe® and The Schwab Security Guarantee.

Notice: All email sent to or from the Charles Schwab corporate email system is subject to archival, monitoring and/or review by Schwab personnel.

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charles SCHWAB

Rollover IRA of
MARIA-TERESA DE LA ROSA
CHARLES SCHWAB & CO INC CUST
IRA ROLLOVER

Account Number

Statement Period February 1-29, 2020 Apr. 1. Ar. 100

Gain or (Loss) on Investments Sold (continued)

Investments (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Gain or (Loss)
Control of the solution of the solution of the premiums of assigned or exercised options. Please consult IRS publication 550, Investment income and Expenses, for additional information on Options.	nerever possible for mased the premiums of ass	t investments. C	iost basis data n ed options. Plea	nay be incomplete or un se consuit IRS publicati	ravailable for some of your holdii on 550, Investment Income and	igs. If all data for a given

Transaction Detail - Purchases & Sales

٠,

Equities Activity

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

Page 11 of 14

Subject Schwab eConfirms account ending in

From Schwab Alerts <donotreply-comm@schwab.com>

To:

Date Feb 1, 2020 at 12:55 AM



Symbol:LK

Electronic Trade Confirmation

February 01, 2020 | your account ending:

Schwab eConfirms[™]

This email contains your trade confirmations for 01/31/2020.

Please log in to the Schwab web site to view your confirmations at www.schwab.com/reports.

Security Description: LUCKIN COFFEE INC ADR

Action: SOLD

Security No./CUSIP: 54951L-10-9

Type: Cash

Trade Date: 01/31/20

Settle Date: 02/04/20

Quantity	Price	Principal	Charges and/or Interest	Total Amount
92	\$27.465	\$2,526.78	Exch Process Fee: \$0.0	5 \$2,528.73

Additional information for this security:

- The cost basis method requested was FIFO. Please view the Cost Basis Disclosure Statement for additional information on cost basis method choices and how Schwab reports adjusted cost basis information to the IRS.
- Exch Process Fee: This fee offsets costs incurred by Schwab for the exchange

Exch Process Fee: This fee offsets costs incurred by Schwab for the exchange
of securities - including those relating to assessments on broker-dealers by an
exchange or other SRO - for equity, option, or other covered security sell
transactions and option security buy transactions.

Schwab acted as your agent.

If you have questions about this report, please contact Schwab at 800-435-4000.

UNSUBSCRIBE PRIVACY CONTACT US & LOG IN

View, print, or download terms and conditions of your transaction.

If you have any questions or concerns, PLEASE DO NOT REPLY TO THIS EMAIL. Please send us an email using the secure email feature on our website.

For your protection, we are unable to accept instructions to change your email address sent in reply to this message. To update your address using a secure channel, please log in to your account.

For your security, Charles Schwab will never request personal information through email.

View SchwabSafe® and The Schwab Security Guarantee.

Notice: All email sent to or from the Charles Schwab corporate email system is subject to archival, monitoring and/or review by Schwab personnel.

Charles Schwab & Co., Inc., 211 Main Street, San Francisco, CA 94105.

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Roth Contributory IRA of MARIA-TERESA DE LA ROSA CHARLES SCHWAB & CO INC CUST ROTH CONTRIBUTORY IRA

Account Number

Statement Period February 1-29, 2020

Gain or (Loss) on Investments Sold

			Martine	/PI00			
Investments		Quantity/Par	Acquireu/ Opened	Closed	Total Proceeds	Cost Basis	Gain or (Loss)
LUCKIN COFFEE INC FUNSP	FUNSPONSORED ADR	92.0000	11/13/19	01/31/20	2,526.73	1,955.00	571.73
2 S & 3	ments Sold again and loss information ment will not be listed here. sments sold is adjusted to an Options.	wherever possible for merefect the premiums of as	ost investments. ssigned or exerc	Cost basis dat	2,526.73 Is may be incomplete or unavailable lease consult IRS publication 550, It	1,955.00 for some of your holdin	571.73 js. if all data for a given

Transaction Detail - Purchases & Sales

Settle Date Trade Date Transaction Description 02/04/20 01/31/20 Sold LUCKIN CC UNSPONS	iption IN COFFEE INC F ONSORED ADR: LK	Quantity Unit Price (92.0000) 27.4650		Total Amount
01/31/20 Sold	IN COFFEE INC F PONSORED ADR: LK			7 EDG 73
			:	2,020.13
Total Equities Activity				
Total Purchases & Sales	The second second of the second secon	The second confirmation of the second confirmati		

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

Page 8 of 11

Subject Schwab eC

Schwab eConfirms account ending in

From

Schwab Alerts <donotreply-comm@schwab.com>

To: Date

May 21, 2020 at 12:22 AM



Electronic Trade Confirmation

May 21, 2020 | your account ending:

Schwab eConfirms[™]

This email contains your trade confirmations for 05/20/2020.

Please log in to the Schwab web site to view your confirmations at www.schwab.com/reports.

Security Description: LUCKIN COFFEE INC ADR

Action: SOLD

Symbol:LK

Security No./CUSIP: 54951L-10-9 Type: Cash

Trade Date: 05/20/20

Settle Date: 05/22/20

Quantity:	Price	Principal	Charges and/or interest	Total Amount
65 5	2.8064	\$182.42	N/A ·	\$182.42

Additional information for this security:

 The cost basis method requested was FIFO. Please view the Cost Basis Disclosure Statement for additional information on cost basis method choices and how Schwab reports adjusted cost basis information to the IRS.

- Schwab acted as your agent.

If you have questions about this report, please contact Schwab at 800-435-4000.

UNSUBSCRIBE PRIVACY CONTACT US LOG IN

View, print, or download terms and conditions of your transaction.

If you have any questions or concerns, PLEASE DO NOT REPLY TO THIS EMAIL. Please send us an email using the secure email feature on our website.

For your protection, we are unable to accept instructions to change your email address sent in

reply to this message. To update your address using a secure channel, please log in to your

For your security, Charles Schwab will never request personal information through email.

View SchwabSafe® and The Schwab Security Guarantee.

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CHARLES SCHWAB & CO INC CUST MARIA-TERESA DE LA ROSA IRA ROLLOVER Rollover IRA of

Account Number

May 1-31, 2020 Statement Period

Gain or (Loss) on Investments Sold (continued)

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Investments (continued)	Quantity/Par	Opened	Closed	Total Proceeds	COST Basis	Call Of (Loss)
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Schwab has provided accurate realized gain and loss information						

Option Customers: Gainfoss on investments sold is adjusted to reflect the premiums of assigned or exercised options. Please consult IRS publication 550, Investment Income and Expenses, for additional information on Options. investment is not available, the investment will not be listed here.

Transaction Detail - Purchases & Sales

Quantity Unit Price Total Amount	EE INC (65.0000) 2.8064 182.42 (ED ADR: LK	
Description	LUCKIN COFFEE INC FUNSPONSORED ADR: LK	
Equitles Activity Settle Date Trade Date Transaction	05/22/20 05/20/20 Sold	Total Equities Activity Total Purchases & Sales

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

Page 10 of 13

	Case 1:20-cv-0	1293-JPC -	Document 347	4 Filed 03/06/23	Page 32 of 355 Document Received
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Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 34 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

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MARIA-TERESA DE LA ROSA ROTH
CONTRIBUTORY IRA
CHARLES SCHWAB & CO INC CUST

Claim Number: 16602

Response Deadline: May 16, 2022

April 26, 2022

Notice of Deficient Claim Submission

Dear Claimant:

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action *In re Luckin Coffee Inc. Securities Litigation*, Case No. 1:20-cv-01293-JPC-JLC (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fail to respond by the response deadline set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that those conditions remain uncured. This is the only notice you will receive with respect to this Claim.

PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

Ineligibility Condition: No Recognized Claim.

In accordance with the Plan of Allocation set forth in the Settlement Notice, the Claim referenced above does not calculate to a Recognized Claim. An example of a condition that would result in no Recognized Claim is that all of the Luckin ADSs purchased during the Class Period were sold for a gain. Because your Claim does not calculate to a Recognized Claim, either for the reason noted in the preceding sentence or for another reason, it is not eligible to receive a distribution from the Net Settlement Fund. Unless you had additional transactions in Luckin ADSs during the Class Period (i.e., May 17, 2019, through July 15, 2020, inclusive) that are not reflected in your Claim, this is NOT a curable deficiency.

<u>How to Resolve</u>: You can resolve this condition of ineligibility only by submitting additional transactions in Luckin ADSs during the Class Period that were not previously reflected in your Claim and which make your Claim calculate to a Recognized Claim. For additional information, please reference Appendix A of the Settlement Notice. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial acceptance," unless this deficiency is cured.



Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. The Court will consider approval of the Settlement and the proposed Plan of Allocation at a hearing to be held on July 22, 2022. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court with financial account numbers and certain other information redacted. PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR'S DETERMINATION REGARDING YOUR CLAIM.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator

Divider Page

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887
Portland, OR 97228-5887

Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

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MARIA-TERESA DE LA ROSA ROTH
CONTRIBUTORY IRA
CHARLES SCHWAB & CO INC CUST

Claim Number: 16602

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April 26, 2022

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PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

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If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator May 2, 2022

RE: Maria Teresa De La Rosa IRA Luckin Claim #16602

I respectfully request Court Review of the full or partial rejection of my claim. I have submitted all the necessary documentation previously.

As shown attached, I have suffered economic loss due to Luckin's fraud thus entitled to receive some form of settlement.

Thank you for your consideration.

Maria Teresa De La Rosa



ROIIOVET IRA OF MARIA-TERESA DE LA ROSA CHARLES SCHWAB & CO INC CUST IRA ROLLOVER

Account Number

Statement Period May 1-31, 2020

vestments (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Gain or (Loss)
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1/22/20 05/20/20 Sold	LUCKIN C	OFFEE INC			(65.0000)	2.8064	182
/22/20 05/20/20 Sold		OFFEE INC NSORED ADR: LK			(65.0000)	2.8064	182
					(65.0000)	2.8064	182
/22/20 05/20/20 Sold Total Equities Activity					(65,0000)	2.8064	182

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

Page 10 of 13

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IN PE LUCKIN COFFEE INC SECURITIES LINGARTION
CLO EPIQ CLASS ACTION & CLATIMIS SOLUTIONS INC
P.O. 30X 5887
POPILAND, OR 97228-5887

Terri de la Rosa

Andrew Shin (9084)

In re Luckin Coffee Inc. Securities Litigation
Toll-Free Number: 1-855-535-1824
Email: info@LuckinCoffeeSecuritiesLitigation.com
Website: www.LuckinCoffeeSecuritiesLitigation.com

PROOF OF CLAIM AND RELEASE FORM

To be eligible to receive a payment from the Settlement, you must complete and sign this Claim Form and mail it by first-class mail to the address below, or submit it online at www.LuckinCoffeeSecuritiesLitigation.com, with supporting documentation, *postmarked* (or received) no later than March 15, 2022.

Mail to:

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

Failure to submit your Claim Form by the date specified will subject your claim to rejection and may preclude you from being eligible to receive a payment from the Settlement.

Submit your Claim Form only to the Claims Administrator at the address set forth above.

TABLE OF CONTENTS					,	PAGE #
PART I – CLAIMANT INFORMATION	******				•••••	2
PART II – GENERAL INSTRUCTIONS	,	·	•••••	·	•••••	3-4
PART III – SCHEDULE OF TRANSACTIONS IN LUCKIN AMERICAN DEPOSITORY SHARES						5
PART IV – RELEASE OF CLAIMS AND SIGNATURE						



PART I - CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

Beneficial Owner	er's Name							3.47															
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PART II - GENERAL INSTRUCTIONS

- 1. It is important that you completely read and understand the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice") that accompanies this Claim Form, including the Plan of Allocation of the Net Settlement Fund set forth in the Settlement Notice. The Settlement Notice describes the proposed Settlement, how Class Members are affected by the Settlement, and the manner in which the Net Settlement Fund will be distributed if the Settlement and Plan of Allocation are approved. The Settlement Notice also contains the definitions of many of the defined terms (which are indicated by initial capital letters) used in this Claim Form. By signing and submitting this Claim Form, you will be certifying that you have read and that you understand the Settlement Notice, including the terms of the releases described therein and provided for herein.
- 2. This Claim Form is directed to all persons and entities (and their beneficiaries) who purchased or otherwise acquired the American Depository Shares ("ADSs") of Luckin Coffee Inc. ("Luckin") during the Class Period (from May 17, 2019 through July 15, 2020, inclusive) (the "Class"). Included in the Class are all persons and entities who purchased Luckin ADSs on the open market and/or in or traceable to the May 17, 2019 Initial Public Offering ("IPO") and January 10, 2020 Secondary Public Offering ("SPO") during the Class Period. Certain persons and entities are excluded from the Class by definition as set forth in ¶ 25 of the Settlement Notice.
- 3. By submitting this Claim Form, you will be making a request to receive a payment from the Settlement described in the Settlement Notice. IF YOU ARE NOT A CLASS MEMBER (see the definition of the Class on page 6 of the Settlement Notice, which sets forth who is included in and who is excluded from the Class), OR IF YOU, OR SOMEONE ACTING ON YOUR BEHALF, SUBMITTED A REQUEST FOR EXCLUSION FROM THE CLASS, DO NOT SUBMIT A CLAIM FORM. YOU MAY NOT, DIRECTLY OR INDIRECTLY, PARTICIPATE IN THE SETTLEMENT IF YOU ARE NOT A CLASS MEMBER. THUS, IF YOU ARE EXCLUDED FROM THE CLASS, ANY CLAIM FORM THAT YOU SUBMIT, OR THAT MAY BE SUBMITTED ON YOUR BEHALF, WILL NOT BE ACCEPTED.
- 4. Submission of this Claim Form does not guarantee that you will be eligible to receive a payment from the Settlement, if it is approved. The distribution of the payments to eligible purchasers of Luckin ADSs will be governed by the Plan of Allocation set forth in the Settlement Notice, if it is approved by the Court, or by such other plan of allocation as the Court approves.
- 5. Use the Schedule of Transactions in Part III of this Claim Form to supply all required details of your transaction(s) in, and holdings of, Luckin ADSs. On this schedule, provide all of the requested information with respect to your holdings, purchases, acquisitions, and sales of Luckin ADSs (including free transfers and deliveries), whether such transactions resulted in a profit or a loss. Failure to report all transaction and holding information during the requested time period may result in the rejection of your claim.
- 6. Please note: Only Luckin ADSs purchased or acquired from May 17, 2019 through July 15, 2020, inclusive, are eligible for payment under the Settlement. However, sales of Luckin ADSs during the period from July 16, 2020 through and including the close of trading on October 20, 2021, will be used for purposes of calculating your claim under the Plan of Allocation. Therefore, in order for the Claims Administrator to be able to balance your claim, the requested purchase/acquisition and sale/disposition information during this period must also be provided.
- 7. You are required to submit genuine and sufficient documentation for all of your transactions in and holdings of Luckin ADSs as set forth in the Schedule of Transactions in Part III of this Claim Form. Documentation may consist of copies of brokerage confirmation slips or monthly brokerage account statements, or an authorized statement from your broker containing the transactional and holding information found in a broker confirmation slip or account statement. The Settling Parties and the Claims Administrator do not independently have information about your investments in Luckin ADSs. IF SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN COPIES OF THE DOCUMENTS OR EQUIVALENT DOCUMENTS FROM YOUR BROKER. FAILURE TO SUPPLY THIS DOCUMENTATION MAY RESULT IN THE REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL DOCUMENTS. Please keep a copy of all documents that you send to the Claims Administrator. Also, do not highlight any portion of the Claim Form or any supporting documents.
- 8. Traceability of Luckin ADSs to Public Offerings in the Class Period. Public offerings of Luckin ADSs occurred during the Class Period on or about (i) May 17, 2019 (the IPO); and (ii) January 10, 2020 (the SPO). Claimants who purchased Luckin ADSs directly in one or both of the offerings, or who purchased shares "traceable" to one or both of the offerings (as opposed to generally on the open market) may be entitled to additional compensation under the Plan of Allocation. All Luckin ADSs purchased from May 17, 2019 through January 9, 2020 are assumed to be traceable to the IPO. However, if you purchased Luckin ADSs from January 10, 2020 through July 15, 2020 that were not purchased directly in the SPO but that you believe are specifically traceable to Luckin ADSs that were issued in the IPO or SPO, you must submit documentation with your Claim Form showing that the specific ADSs you purchased were shares issued in the IPO or SPO.
- 9. Use Part I of this Claim Form entitled "CLAIMANT INFORMATION" to identify the beneficial owner(s) of the Luckin ADSs. The complete name(s) of the beneficial owner(s) must be entered. If you held the Luckin ADSs in your own name, you were the beneficial owner as well as the record owner. If, however, your Luckin ADSs were registered in the name of a third party, such as a nominee or brokerage firm, you were the beneficial owner of the ADSs, but the third party was the record owner. The beneficial owner, not the record owner, must sign this Claim Form to be eligible to participate in the Settlement. If there were joint beneficial owners, each must sign this Claim Form and their names must appear as "Claimants" in Part I of this Claim Form.

- 10. One Claim should be submitted for each separate legal entity or separately managed account. Separate Claim Forms should be submitted for each separate legal entity (e.g., an individual should not combine his or her IRA holdings and transactions with holdings and transactions made solely in the individual's name). Generally, a single Claim Form should be submitted on behalf of one legal entity including all holdings and transactions made by that entity on one Claim Form. However, if a single person or legal entity had multiple accounts that were separately managed, separate Claims may be submitted for each such account. The Claims Administrator reserves the right to request information on all the holdings and transactions in Luckin ADSs made on behalf of a single beneficial owner.
- 11. Agents, executors, administrators, guardians, and trustees must complete and sign the Claim Form on behalf of persons represented by them, and they must:
 - (a) expressly state the capacity in which they are acting;
 - (b) identify the name; account number; last four digits of the Social Security Number, taxpayer identification number, or comparable identification number for non-U.S. claimants; address; and telephone number of the beneficial owner of (or other person or entity on whose behalf they are acting with respect to) the Luckin ADSs; and
 - (c) furnish herewith evidence of their authority to bind to the Claim Form the person or entity on whose behalf they are acting. (Authority to complete and sign a Claim Form cannot be established by stockbrokers demonstrating only that they have discretionary authority to trade securities in another person's accounts.)
 - 12. By submitting a signed Claim Form, you will be swearing that you:
 - (a) own(ed) the Luckin ADSs you have listed in the Claim Form; or
 - (b) are expressly authorized to act on behalf of the owner thereof.
- By submitting a signed Claim Form, you will be swearing to the truth of the statements contained therein and the genuineness of the documents attached thereto, subject to penalties of perjury under the laws of the United States of America. The making of false statements, or the submission of forged or fraudulent documentation, will result in the rejection of your claim and may subject you to civil liability or criminal prosecution.
- 14. Payments to eligible Authorized Claimants pursuant to the Plan of Allocation will be made after final approval of the Settlement and any appeals from such approval, and after the completion of all claims processing. The claims process will take substantial time to complete fully and fairly. Please be patient.
- 15. **PLEASE NOTE:** As set forth in the Plan of Allocation, each Authorized Claimant shall receive his, her, or its *pro rata* share of the funds available under the Settlement. If the prorated payment to any Authorized Claimant calculates to less than \$10.00, it will not be included in the calculation and no distribution will be made to that Authorized Claimant.
- 16. If you have questions concerning the Claim Form, or need additional copies of the Claim Form, you may contact the Claims Administrator, Epiq Class Action & Claims Solutions, Inc., at the address on the first page of this Claim Form, by email at info@LuckinCoffeeSecuritiesLitigation.com, or by toll-free phone at 1-855-535-1824, or you can visit the website, www.LuckinCoffeeSecuritiesLitigation.com, where copies of the Claim Form and other relevant documents are available for downloading.
- 17. 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. To obtain the *mandatory* electronic filing requirements and file layout, you may visit the Settlement website at www.LuckinCoffeeSecuritiesLitigation.com or you may email the Claims Administrator's electronic filing department at info@LuckinCoffeeSecuritiesLitigation.com. Any file not in accordance with the required electronic filing format will be subject to rejection. The *complete* name of the beneficial owner of the securities must be entered where called for (see ¶ 9 above). No electronic files will be considered to have been submitted unless the Claims Administrator issues an email to that effect. Do not assume that your file has been received until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at info@LuckinCoffeeSecuritiesLitigation.com to inquire about your file and confirm it was received.

IMPORTANT: PLEASE NOTE

YOUR CLAIM IS NOT DEEMED FILED UNTIL YOU RECEIVE AN ACKNOWLEDGEMENT POSTCARD. THE CLAIMS ADMINISTRATOR WILL ACKNOWLEDGE RECEIPT OF YOUR CLAIM FORM WITHIN 60 DAYS OF YOUR SUBMISSION. IF YOU DO NOT RECEIVE AN ACKNOWLEDGEMENT POSTCARD WITHIN 60 DAYS, CONTACT THE CLAIMS ADMINISTRATOR TOLL FREE AT 1-855-535-1824.

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Case 1:20-cvp01293-JPCHEDOCLOPPTRANSACTIONS IN LUCKIN ADSS

Use this section to provide information on your holdings and trading of Luckin ADSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 7 above.

list each and every p including the close of Offering and January	urchase or acquisition trading on July 15, 20	(including free receipts) 20. Include Luckin ADSs Public Offering and Lu	GH JULY 15, 2020, INCLUSION of Luckin ADSs from May 17, 20 purchased in Luckin's May 17, 20 ckin ADSs purchased on the open	2019 through and 019 Initial Public
Date of Purchase/ Acquisition (List Chronologically) (Month/Day/Year)	Number of ADSs Purchased/ Acquired	Purchase Price Per ADS	sh: purch or tra to th Total Purchase Price (excluding any fees, the Ja	re the ares ased in ceable Proof of IPO or n. 2020 Acquisition O?
052119	1 4 8 0	23.59	34918.96	
October 20, 2021. If non	ADSs purchased or acque, write "zero" or "0."	ired (including free receip	H OCTOBER 20, 2021, INCLUS ts) from July 16, 2020 through the c	lose of trading on
3. SALES FROM MA disposition (including from October 20, 2021. (Must	ee deliveries) of Luckin A	H OCTOBER 20, 2021 ADSs from May 17, 2019 th	 Separately list each and every s rough and including the close of trad 	ale or IF NONE, CHECK HERE
Date of Sale (List Chronologically) (Month/Day/Year)	Number of ADSs Sold	Sale Price Per ADS	Total Sale Price (not deducting any fees, commissions, and	Confirm Proof of Sale taxes) Enclosed
052319	1480	17.98	266/3.3	6 V
		•		
		•	•	
4. HOLDINGS AS OF October 20, 2021. (Must	OCTOBER 20, 2021 – S be documented.) If none,	tate the total number of Luc write "zero" or "0."	ckin ADSs held as of the close of trad	ng on Confirm Proof of Position Enclosed
SAME FORMAT. PR	INT THE BENEFICL ER IDENTIFICATION	AL OWNER'S FULL N	BOVE, ATTACH EXTRA SCHE JAME AND LAST FOUR DIGIT DITTONAL PAGE. IF YOU DO A	IS OF SOCIAL

Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

PART IV - RELEASE OF CLAIMS AND SIGNATURE

YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON PAGE 7 OF THIS CLAIM FORM.

I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) and my (our) (the claimant(s)') heirs, executors, administrators, predecessors, successors, and assigns, in their capacities as such, shall be deemed to have, and by operation of law and of the judgment shall have, fully, finally, and forever compromised, settled, released, resolved, relinquished, waived, and discharged each and every Released Plaintiffs' Claim against Luckin and the other Defendants' Released Parties, and shall forever be barred and enjoined from prosecuting any or all of the Released Plaintiffs' Claims against any of the Defendants' Released Parties in any jurisdiction.

CERTIFICATION

By signing and submitting this Claim Form, the claimant(s) or the person(s) who represent(s) the claimant(s) agree(s) to the release above and certifies (certify) as follows:

- 1. that I (we) have read and understand the contents of the Settlement Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;
- 2. that the claimant(s) is a (are) Class Member(s), as defined in the Settlement Notice, is (are) not excluded by definition from the Class as set forth in the Settlement Notice and did **not** submit a request for exclusion from the Class;
- 3. that I (we) own(ed) the Luckin ADSs identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Defendants' Released Parties to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
- 4. that the claimant(s) has (have) not submitted any other claim covering the same purchases of Luckin ADSs and knows (know) of no other person having done so on the claimant's (claimants') behalf;
- 5. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;
- 6. that I (we) agree to furnish such additional information with respect to this Claim Form as Class Counsel, the Claims Administrator, or the Court may require;
- 7. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this claim, and waives any right of appeal or review with respect to such determination;
- that should Luckin determine in its absolute discretion that the Settlement should also be implemented in the Cayman Islands by way of a scheme of arrangement promulgated under section 86 of the Cayman Islands Companies Act 1981 (the "Scheme"), the claimant(s) appoint(s) Sjunde AP-Fonden and Louisiana Sheriff's Pension & Relief Fund as its/their proxy to vote in favor of the Scheme at all meetings convened for the purpose of approving the Scheme;
- 9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and
- that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.

UNDER THE PENALTY OF PERJURY UNDER THE LAWS OF THE UNITED STATES, I (WE) CERTIFY THAT ALL OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM FORM IS TRUE, CORRECT, AND COMPLETE,

AND THAT THE DOCUMENTS SUBMITTED HEREWITH ARE TRUE AND CORRECT COPIES OF WHAT THEY PURPORT TO BE. Signature of claimant ANDREW SHIN Print claimant name here Date: DD MM Signature of joint claimant, if here Print joint claimant name here If the claimant is other than an individual, or is not the person completing this form, the following also must be provided: Date: Signature of person signing on behalf of claimant Print name of person signing on behalf of claimant here

Capacity of person signing on behalf of claimant, if other than an individual, e.g., executor, president, trustee, custodian, etc. (Must provide evidence of authority to act on behalf of claimant -see ¶ 11 on page 4 of this Claim Form.)

REMINDER CHECKLIST

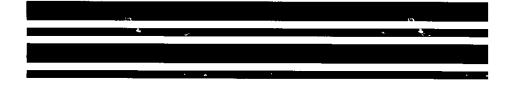
- 1. Sign the above release and certification. If this Claim Form is being made on behalf of joint claimants, then both must sign.
- 2. Attach only copies of acceptable supporting documentation as these documents will not be returned to you.
- 3. Do not highlight any portion of the Claim Form or any supporting documents.
- 4. Keep copies of the completed Claim Form and documentation for your own records.
- 5. The Claims Administrator will acknowledge receipt of your Claim Form by mail, within 60 days of your submission. Your claim is not deemed filed until you receive an acknowledgement postcard. If you do not receive an acknowledgement postcard within 60 days, please call the Claims Administrator toll free at 1-855-535-1824.
- 6. If your address changes in the future, or if this Claim Form was sent to an old or incorrect address, you must send the Claims Administrator written notification of your new address. If you change your name, inform the Claims Administrator.
- 7. If you have any questions or concerns regarding your claim, contact the Claims Administrator at the address below, by email at info@LuckinCoffeeSecuritiesLitigation.com, or by toll-free phone at 1-855-535-1824, or you may visit www.LuckinCoffeeSecuritiesLitigation.com.

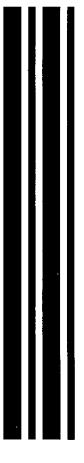
This Claim Form must be mailed to the Claims Administrator by first-class mail or submitted online at www.LuckinCoffeeSecuritiesLitigation.com, postmarked (or received) no later than March 15, 2022. If mailed, the Claim Form should be addressed as follows:

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if a postmark date on or before March 15, 2022 is indicated on the envelope and it is mailed First Class, and addressed in accordance with the above instructions. In all other cases, a Claim Form shall be deemed to have been submitted when actually received by the Claims Administrator.

You should be aware that it will take a significant amount of time to fully process all of the Claim Forms. Please be patient and notify the Claims Administrator of any change of address.





Attachments



Patch Code 3





RBC Direct Investing Inc. ORDER EXECUTION ONLY ACCOUNT

ADPRB10720_2954655_003-E:20846-00846 >MR ANDREW SHIN

Confirmation Notice

DATE MAY 17, 2019

ACCOUNT NO. TYPE

AS AGENTS, WE TODAY CONFIRM THE FOLLOWING BUY FOR YOUR ACCOUNT OVER THE COUNTER - USA

SETTLEMENT DATE

MAY 21, 2019

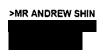
TRANSACTION TYPE

BOUGHT

Quantity Security Description		Unit Price
1,480 LUCKIN COFFEE INC	@	23.5939U\$
AMERICAN DEPOSITARY SHARES		
AVG PRICE SHOWN-DETAILS ON REQ		
UNSOLICITED		
DA		

GROSS AMOUNT	34,918.96
COMMISSION	9.95
•	,
SUB TOTAL	34,928.91 U\$
NET AMOUNT	34,928.91 U\$

CLIENT NAME
ACCOUNT NO.
INVESTMENT REPRESENTATIVE
I.R. NO. 3T4



REFERENCE H4898 / CUSIP US54951L1098 / SECURITY NO. L019978 / ORDER NO. 174898 / INTERNAL CODES AT 1D / 684 A

RBC Direct Investing Inc. and Royal Bank of Canada are separate corporate entities which are affiliated. RBC Direct Investing Inc. is a wholly owned subsidiary of Royal Bank of Canada and is a Member of the Investment Industry Regulatory Organization of Canada and the Canadian Investor Protection Fund. Royal Bank of Canada and certain of its issuers are related to RBC Direct Investing Inc. RBC Direct Investing Inc. does not provide investment advice or recommendations regarding the purchase or sale of any securities. Investors are responsible for their own investment decisions. RBC Direct Investing is a business name used by RBC Direct Investing Inc.

The use of the term "We" in this confirmation refers to RBC Direct Investing Inc.

If an order on this confirmation represents a stock exchange transaction, it is subject to the by-laws, rules and customs of that exchange. If not disclosed on this confirmation, the name of our representative will be provided upon request. The name of the other broker in this transaction is furnished upon written or verbal request.

All transactions are subject to the by-laws and regulations of the Investment Industry Regulatory Organization of Canada. If settlement or provision for settlement, of a transaction on this confirmation is not made by the settlement date shown hereon, or by the date to which accrued interest is calculated as shown hereon, whichever date is applicable, this transaction may be closed without notice to you by the sale or purchase of the related securities, whichever action is appropriate, and we will claim from you any balance owing to us from such action.

Customers accounts are protected by the Canadian Investor Protection Fund within specified limits. A brochure describing the nature and limits of the coverage is available upon request.

Please review this confirmation carefully. Failure to object to incorrect or unauthorized trades within 5 days of receipt of this confirmation, constitutes ratification by you of those trades.

We or our affiliate act as principal on foreign currency conversions and fixed income transactions and apply discretionary currency conversion rates. The foreign currency conversion rate shown on the confirmation includes our or our affiliates' spread-based revenues for performing this function. Spread means the difference between the rate we or our affiliates obtain and the rate you receive.

If the description on this confirmation reads "YIELD/RENDEMENT", please consult with your investment services representative for further information regarding the yield calculation applied to your trade.

Please note the following security description abbreviations may appear on your Trade Confirmation: NON VTG for non-voting shares; RES VTG for restricted voting shares; SUB VTG for subordinate voting shares.

We may facilitate trades in securities of related issuers and connected issuers of the firm in your account. For a list of such related issuers and connected issuers, refer to the following website: www.rbc.com/issuers-disclosures or contact your investment services representative.

NOTE: INTEREST PAYABLE ON OVERDUE ACCOUNTS

PLEASE RETAIN THIS CONFIRMATION FOR INCOME TAX PURPOSES.



RBC Direct Investing Inc. ORDER EXECUTION ONLY ACCOUNT

ADPRB10720_2996946_003-E:22455-02455 > MR ANDREW SHIN

Confirmation Notice

DATE MAY 21, 2019

ACCOUNT NO. TYPE

AS AGENTS, WE TODAY CONFIRM THE FOLLOWING SALE FOR YOUR ACCOUNT OVER THE COUNTER - U.S.A.

SETTLEMENT DATE

MAY 23, 2019

TRANSACTION TYPE

SOLD

Quantity Security Description		Unit Price
1,480 LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES UNSOLICITED CA	@	17.982U\$

GROSS AMOUNT		26,613.36
COMMISSION	9.95	
US TRAN FEE	.56	
FEE SUB TOTAL		10.51
SUB TOTAL		26,602.85 U\$
NET AMOUNT		26,602.85CR US

CLIENT NAME ACCOUNT NO. INVESTMENT REPRESENTATIVE I.R. NO. 4GA



REFERENCE W1534 / CUSIP US54951L1098 / SECURITY NO. L019978 / ORDER NO. 361534 / INTERNAL CODES UN 65 / 684 A

RBC Direct Investing Inc. and Royal Bank of Canada are separate corporate entities which are affiliated. RBC Direct Investing Inc. is a wholly owned subsidiary of Royal Bank of Canada and is a Member of the Investment Industry Regulatory Organization of Canada and the Canadian Investor Protection Fund. Royal Bank of Canada and certain of its issuers are related to RBC Direct Investing Inc. RBC Direct Investing Inc. does not provide investment advice or recommendations regarding the purchase or sale of any securities. Investors are responsible for their own investment decisions. RBC Direct Investing is a business name used by RBC Direct Investing Inc.

The use of the term "We" in this confirmation refers to RBC Direct Investing Inc.

If an order on this confirmation represents a stock exchange transaction, it is subject to the by-laws, rules and customs of that exchange. If not disclosed on this confirmation, the name of our representative will be provided upon request. The name of the other broker in this transaction is furnished upon written or verbal request.

All transactions are subject to the by-laws and regulations of the Investment Industry Regulatory Organization of Canada. If settlement or provision for settlement, of a transaction on this confirmation is not made by the settlement date shown hereon, or by the date to which accrued interest is calculated as shown hereon, whichever date is applicable, this transaction may be closed without notice to you by the sale or purchase of the related securities, whichever action is appropriate, and we will claim from you any balance owing to us from such action.

Customers accounts are protected by the Canadian Investor Protection Fund within specified limits. A brochure describing the nature and limits of the coverage is available upon request.

Please review this confirmation carefully. Failure to object to incorrect or unauthorized trades within 5 days of receipt of this confirmation, constitutes ratification by you of those trades.

We or our affiliate act as principal on foreign currency conversions and fixed income transactions and apply discretionary currency conversion rates. The foreign currency conversion rate shown on the confirmation includes our or our affiliates' spread-based revenues for performing this function. Spread means the difference between the rate we or our affiliates obtain and the rate you receive.

If the description on this confirmation reads "YIELD/RENDEMENT", please consult with your investment services representative for further information regarding the yield calculation applied to your trade.

Please note the following security description abbreviations may appear on your Trade Confirmation: NON VTG for non-voting shares; RES VTG for restricted voting shares; SUB VTG for subordinate voting shares.

We may facilitate trades in securities of related issuers and connected issuers of the firm in your account. For a list of such related issuers and connected issuers, refer to the following website: www.rbc.com/issuers-disclosures or contact your investment services representative.

NOTE: INTEREST PAYABLE ON OVERDUE ACCOUNTS

PLEASE RETAIN THIS CONFIRMATION FOR INCOME TAX PURPOSES.

SECURITIES LITTER NC.

SECURITIES LITTER NC.

SOCIATION & CLAIMS

SOCIATION & NC.

P. O. BOX SPFT

PORTION OREGON MAA 97228-588889

Page 56 of 355



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Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 58 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

400500930004533647 000 0000056 00000000 0001 0001 00054 INS: 0 0 ANDREW SHIN

Claim Number: 9084

Response Deadline: April 18, 2022

March 29, 2022

Notice of Deficient Claim Submission

Dear Claimant:

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action *In re Luckin Coffee Inc. Securities Litigation*, Case No. 1:20-cv-01293-JPC-JLC (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fail to respond by the response deadline set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that those conditions remain uncured. This is the only notice you will receive with respect to this Claim.

PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement, which has been approved by the Court and which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

Ineligibility Condition: No Recognized Claim.

In accordance with the Court-approved Plan of Allocation set forth in the Settlement Notice, the Claim referenced above does not calculate to a Recognized Claim. An example of a condition that would result in no Recognized Claim is that no Luckin ADSs were held through the alleged corrective disclosure on January 31, 2020 (see Settlement Notice Appendix A paragraph 7(a)). Because your Claim does not calculate to a Recognized Claim, either for the reason noted in the preceding sentence or for another reason, it is not eligible to receive a distribution from the Net Settlement Fund. Unless you had additional transactions in Luckin ADSs during the Class Period (i.e., May 17, 2019, through July 15, 2020, inclusive) that are not reflected in your Claim, this is NOT a curable deficiency.

<u>How to Resolve:</u> You can resolve this condition of ineligibility only by submitting additional transactions in Luckin ADSs during the Class Period that were not previously reflected in your Claim and which make your Claim calculate to a Recognized Claim. For additional information, please reference Appendix A of the Settlement Notice. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial acceptance," unless this deficiency is cured.



Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

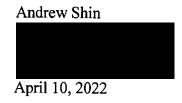
To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court with financial account numbers and certain other information redacted. PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR'S DETERMINATION REGARDING YOUR CLAIM.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator

Divider Page

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887



To the Claims Administrator:

I am writing to request that the Court review my submitted Claim as part of the class action against Luckin Coffee.

The Settlement Notice defines the Class at hand as following:

All persons and entities (and their beneficiaries) that purchased or otherwise acquired the American Depositary Shares of Luckin Coffee Inc. between May 17, 2019 through July 15, 2020, inclusive (6).

Please find enclosed my receipts for shares of Luckin Coffee purchased and sold, which took place during the designated period.

The Settlement Notice makes no reference to the "Ineligibility Condition" outlined in the subsequent Notice of Deficient Claim Submission, dated March 29, 2022, and in any case does not constitute legitimate grounds for disqualification.

I incurred a significant loss because of Luckin Coffee's financial misrepresentations and should be duly compensated.

Thank you for your consideration.

Sincerely

Andrew Shin



RBC Direct Investing Inc. ORDER EXECUTION ONLY ACCOUNT

ADPRB10720_2954655_003-E:20846-00846 >MR ANDREW SHIN

Confirmation Notice

DATE MAY 17, 2019

ACCOUNT NO. **TYPE**

AS AGENTS, WE TODAY CONFIRM THE FOLLOWING BUY FOR YOUR ACCOUNT OVER THE COUNTER - USA

SETTLEMENT DATE

MAY 21, 2019

TRANSACTION TYPE

BOUGHT

Quantity Security Description

Unit Price

1,480 LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES AVG PRICE SHOWN-DETAILS ON REQ UNSOLICITED DA

23.5939U\$

COMMISSION *** 9.95 r SUB TOTAL . 34,928.91 U\$ NET AMOUNT

CLIENT NAME ACCOUNT NO. INVESTMENT REPRESENTATIVE I.R. NO. 3T4

GROSS AMOUNT

>MR ANDREW SHIN

34,918.96

REFERENCE H4898 / CUSIP US54951L1098 / SECURITY NO. L019978 / ORDER NO. 174898 / INTERNAL CODES AT 1D / 684 A



RBC Direct Investing Inc. ORDER EXECUTION ONLY ACCOUNT

ADPRB10720_2996946_003-E:22455-02455 >MR ANDREW SHIN

Confirmation Notice

DATE MAY 21, 2019

ACCOUNT NO. TYPE

AS AGENTS, WE TODAY CONFIRM THE FOLLOWING SALE FOR YOUR ACCOUNT OVER THE COUNTER - U.S.A.

SETTLEMENT DATE

MAY 23, 2019

TRANSACTION TYPE

SOLD

Quantity	Security Description		Unit Price
1,480	LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES UNSOLICITED CA	@	17,982U\$

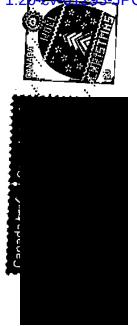
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CLIENT NAME ACCOUNT NO. INVESTMENT REPRESENTATIVE I.R. NO. 4GA

>MR ANDREW SHIN

REFERENCE W1534 / CUSIP US54951L1098 / SECURITY NO. L019978 / ORDER NO. 361534 / INTERNAL CODES UN 65 / 684 A

Case 1 Document 347-4 Filed 03/06/23 Page 64 of 355



yo EPIQ CLASSACTION & CLAIMS IN RE. LUCKIN COFFEE SECURITIES P. O. BOX 5887 PORTLAND, OR 97228-587 SOCUTIONS, INC.

Loren Wayne Giles (20190)

PART I - CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

Beneficial Owner's Nan First Name	ne							8./1		Last	. Ma												
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PART II - GENERAL INSTRUCTIONS

- 1. It is important that you completely read and understand the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice") that accompanies this Claim Form, including the Plan of Allocation of the Net Settlement Fund set forth in the Settlement Notice. The Settlement Notice describes the proposed Settlement, how Class Members are affected by the Settlement, and the manner in which the Net Settlement Fund will be distributed if the Settlement and Plan of Allocation are approved. The Settlement Notice also contains the definitions of many of the defined terms (which are indicated by initial capital letters) used in this Claim Form. By signing and submitting this Claim Form, you will be certifying that you have read and that you understand the Settlement Notice, including the terms of the releases described therein and provided for herein.
- 2. This Claim Form is directed to all persons and entities (and their beneficiaries) who purchased or otherwise acquired the American Depository Shares ("ADSs") of Luckin Coffee Inc. ("Luckin") during the Class Period (from May 17, 2019 through July 15, 2020, inclusive) (the "Class"). Included in the Class are all persons and entities who purchased Luckin ADSs on the open market and/or in or traceable to the May 17, 2019 Initial Public Offering ("IPO") and January 10, 2020 Secondary Public Offering ("SPO") during the Class Period. Certain persons and entities are excluded from the Class by definition as set forth in ¶ 25 of the Settlement Notice.
- 3. By submitting this Claim Form, you will be making a request to receive a payment from the Settlement described in the Settlement Notice. IF YOU ARE NOT A CLASS MEMBER (see the definition of the Class on page 6 of the Settlement Notice, which sets forth who is included in and who is excluded from the Class), OR IF YOU, OR SOMEONE ACTING ON YOUR BEHALF, SUBMITTED A REQUEST FOR EXCLUSION FROM THE CLASS, DO NOT SUBMIT A CLAIM FORM. YOU MAY NOT, DIRECTLY OR INDIRECTLY, PARTICIPATE IN THE SETTLEMENT IF YOU ARE NOT A CLASS MEMBER. THUS, IF YOU ARE EXCLUDED FROM THE CLASS, ANY CLAIM FORM THAT YOU SUBMIT, OR THAT MAY BE SUBMITTED ON YOUR BEHALF, WILL NOT BE ACCEPTED.
- 4. Submission of this Claim Form does not guarantee that you will be eligible to receive a payment from the Settlement, if it is approved. The distribution of the payments to eligible purchasers of Luckin ADSs will be governed by the Plan of Allocation set forth in the Settlement Notice, if it is approved by the Court, or by such other plan of allocation as the Court approves.
- 5. Use the Schedule of Transactions in Part III of this Claim Form to supply all required details of your transaction(s) in, and holdings of, Luckin ADSs. On this schedule, provide all of the requested information with respect to your holdings, purchases, acquisitions, and sales of Luckin ADSs (including free transfers and deliveries), whether such transactions resulted in a profit or a loss. Failure to report all transaction and holding information during the requested time period may result in the rejection of your claim.
- 6. Please note: Only Luckin ADSs purchased or acquired from May 17, 2019 through July 15, 2020, inclusive, are eligible for payment under the Settlement. However, sales of Luckin ADSs during the period from July 16, 2020 through and including the close of trading on October 20, 2021, will be used for purposes of calculating your claim under the Plan of Allocation. Therefore, in order for the Claims Administrator to be able to balance your claim, the requested purchase/acquisition and sale/disposition information during this period must also be provided.
- 7. You are required to submit genuine and sufficient documentation for all of your transactions in and holdings of Luckin ADSs as set forth in the Schedule of Transactions in Part III of this Claim Form. Documentation may consist of copies of brokerage confirmation slips or monthly brokerage account statements, or an authorized statement from your broker containing the transactional and holding information found in a broker confirmation slip or account statement. The Settling Parties and the Claims Administrator do not independently have information about your investments in Luckin ADSs. IF SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN COPIES OF THE DOCUMENTS OR EQUIVALENT DOCUMENTS FROM YOUR BROKER. FAILURE TO SUPPLY THIS DOCUMENTATION MAY RESULT IN THE REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL DOCUMENTS. Please keep a copy of all documents that you send to the Claims Administrator. Also, do not highlight any portion of the Claim Form or any supporting documents.
- 8. Traceability of Luckin ADSs to Public Offerings in the Class Period. Public offerings of Luckin ADSs occurred during the Class Period on or about (i) May 17, 2019 (the IPO); and (ii) January 10, 2020 (the SPO). Claimants who purchased Luckin ADSs directly in one or both of the offerings, or who purchased shares "traceable" to one or both of the offerings (as opposed to generally on the open market) may be entitled to additional compensation under the Plan of Allocation. All Luckin ADSs purchased from May 17, 2019 through January 9, 2020 are assumed to be traceable to the IPO. However, if you purchased Luckin ADSs from January 10, 2020 through July 15, 2020 that were not purchased directly in the SPO but that you believe are specifically traceable to Luckin ADSs that were issued in the IPO or SPO, you must submit documentation with your Claim Form showing that the specific ADSs you purchased were shares issued in the IPO or SPO.
- 9. Use Part I of this Claim Form entitled "CLAIMANT INFORMATION" to identify the beneficial owner(s) of the Luckin ADSs. The complete name(s) of the beneficial owner(s) must be entered. If you held the Luckin ADSs in your own name, you were the beneficial owner as well as the record owner. If, however, your Luckin ADSs were registered in the name of a third party, such as a nominee or brokerage firm, you were the beneficial owner of the ADSs, but the third party was the record owner. The beneficial owner, not the record owner, must sign this Claim Form to be eligible to participate in the Settlement. If there were joint beneficial owners, each must sign this Claim Form and their names must appear as "Claimants" in Part I of this Claim Form.

- One Claim should be submitted for each separate legal entity or separately managed account. Separate Claim Forms should be submitted for each separate legal entity (e.g., an individual should not combine his or her IRA holdings and transactions with holdings and transactions made solely in the individual's name). Generally, a single Claim Form should be submitted on behalf of one legal entity including all holdings and transactions made by that entity on one Claim Form. However, if a single person or legal entity had multiple accounts that were separately managed, separate Claims may be submitted for each such account. The Claims Administrator reserves the right to request information on all the holdings and transactions in Luckin ADSs made on behalf of a single beneficial owner.
- 11. Agents, executors, administrators, guardians, and trustees must complete and sign the Claim Form on behalf of persons represented by them, and they must:
 - (a) expressly state the capacity in which they are acting;
 - (b) identify the name; account number; last four digits of the Social Security Number, taxpayer identification number, or comparable identification number for non-U.S. claimants; address; and telephone number of the beneficial owner of (or other person or entity on whose behalf they are acting with respect to) the Luckin ADSs; and
 - (c) furnish herewith evidence of their authority to bind to the Claim Form the person or entity on whose behalf they are acting. (Authority to complete and sign a Claim Form cannot be established by stockbrokers demonstrating only that they have discretionary authority to trade securities in another person's accounts.)
 - 12. By submitting a signed Claim Form, you will be swearing that you:
 - (a) own(ed) the Luckin ADSs you have listed in the Claim Form; or
 - (b) are expressly authorized to act on behalf of the owner thereof.
- By submitting a signed Claim Form, you will be swearing to the truth of the statements contained therein and the genuineness of the documents attached thereto, subject to penalties of perjury under the laws of the United States of America. The making of false statements, or the submission of forged or fraudulent documentation, will result in the rejection of your claim and may subject you to civil liability or criminal prosecution.
- 14. Payments to eligible Authorized Claimants pursuant to the Plan of Allocation will be made after final approval of the Settlement and any appeals from such approval, and after the completion of all claims processing. The claims process will take substantial time to complete fully and fairly. Please be patient.
- 15. PLEASE NOTE: As set forth in the Plan of Allocation, each Authorized Claimant shall receive his, her, or its pro rata share of the funds available under the Settlement. If the prorated payment to any Authorized Claimant calculates to less than \$10.00, it will not be included in the calculation and no distribution will be made to that Authorized Claimant.
- 16. If you have questions concerning the Claim Form, or need additional copies of the Claim Form, you may contact the Claims Administrator, Epiq Class Action & Claims Solutions, Inc., at the address on the first page of this Claim Form, by email at info@LuckinCoffeeSecuritiesLitigation.com, or by toll-free phone at 1-855-535-1824, or you can visit the website, www.LuckinCoffeeSecuritiesLitigation.com, where copies of the Claim Form and other relevant documents are available for downloading.
- 17. 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. To obtain the *mandatory* electronic filing requirements and file layout, you may visit the Settlement website at www.LuckinCoffeeSecuritiesLitigation.com or you may email the Claims Administrator's electronic filing department at info@LuckinCoffeeSecuritiesLitigation.com. Any file not in accordance with the required electronic filing format will be subject to rejection. The *complete* name of the beneficial owner of the securities must be entered where called for (see ¶ 9 above). No electronic files will be considered to have been submitted unless the Claims Administrator issues an email to that effect. Do not assume that your file has been received until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at info@LuckinCoffeeSecuritiesLitigation.com to inquire about your file and confirm it was received.

IMPORTANT: PLEASE NOTE

YOUR CLAIM IS NOT DEEMED FILED UNTIL YOU RECEIVE AN ACKNOWLEDGEMENT POSTCARD. THE CLAIMS ADMINISTRATOR WILL ACKNOWLEDGE RECEIPT OF YOUR CLAIM FORM WITHIN 60 DAYS OF YOUR SUBMISSION. IF YOU DO NOT RECEIVE AN ACKNOWLEDGEMENT POSTCARD WITHIN 60 DAYS, CONTACT THE CLAIMS ADMINISTRATOR TOLL FREE AT 1-855-535-1824.

PART III - SCHEDULE OF TRANSACTIONS IN LUCKIN ADSS

Use this section to provide information on your holdings and trading of Luckin ADSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 7 above.

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Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

PART IV - RELEASE OF CLAIMS AND SIGNATURE

YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON PAGE 7 OF THIS CLAIM FORM.

I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) and my (our) (the claimant(s)') heirs, executors, administrators, predecessors, successors, and assigns, in their capacities as such, shall be deemed to have, and by operation of law and of the judgment shall have, fully, finally, and forever compromised, settled, released, resolved, relinquished, waived, and discharged each and every Released Plaintiffs' Claim against Luckin and the other Defendants' Released Parties, and shall forever be barred and enjoined from prosecuting any or all of the Released Plaintiffs' Claims against any of the Defendants' Released Parties in any jurisdiction.

CERTIFICATION

By signing and submitting this Claim Form, the claimant(s) or the person(s) who represent(s) the claimant(s) agree(s) to the release above and certifies (certify) as follows:

- 1. that I (we) have read and understand the contents of the Settlement Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;
- 2. that the claimant(s) is a (are) Class Member(s), as defined in the Settlement Notice, is (are) not excluded by definition from the Class as set forth in the Settlement Notice and did *not* submit a request for exclusion from the Class;
- 3. that I (we) own(ed) the Luckin ADSs identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Defendants' Released Parties to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
- 4. that the claimant(s) has (have) not submitted any other claim covering the same purchases of Luckin ADSs and knows (know) of no other person having done so on the claimant's (claimants') behalf;
- 5. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;
- 6. that I (we) agree to furnish such additional information with respect to this Claim Form as Class Counsel, the Claims Administrator, or the Court may require;
- 7. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this claim, and waives any right of appeal or review with respect to such determination;
- 8. that should Luckin determine in its absolute discretion that the Settlement should also be implemented in the Cayman Islands by way of a scheme of arrangement promulgated under section 86 of the Cayman Islands Companies Act 1981 (the "Scheme"), the claimant(s) appoint(s) Sjunde AP-Forden and Louisiana Sheriff's Pension & Relief Fund as its/their proxy to vote in favor of the Scheme at all meetings convened for the purpose of approving the Scheme;
- 9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and
- 10. that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.

UNDER THE PENALTY OF PERJURY UNDER THE LAWS OF THE UNITED STATES, I (WE) CERTIFY THAT ALL OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM FORM IS TRUE, CORRECT, AND COMPLETE, AND THAT THE DOCUMENTS SUBMITTED HEREWITH ARE TRUE AND CORRECT COPIES OF WHAT THEY PURPORT TO BE.

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(Must provide evidence of authority to act on behalf of claimant – see ¶ 11 on page 4 of this Claim Form.)

REMINDER CHECKLIST

- 1. Sign the above release and certification. If this Claim Form is being made on hehalf of joint claimants, then both must sign.
- 2. Attach only copies of acceptable supporting documentation as these documents will not be returned to you.
- 3. Do not highlight any portion of the Claim Form or any supporting documents.
- 4. Keep copies of the completed Claim Form and documentation for your own records.
- The Claims Administrator will acknowledge receipt of your Claim Form by mail, within 60 days of your submission. Your claim
 is not deemed filed until you receive an acknowledgement postcard. If you do not receive an acknowledgement postcard
 within 60 days, please call the Claims Administrator toll free at 1-855-535-1824.
- If your address changes in the future, or if this Claim Form was sent to an old or incorrect address, you must send the Claims Administrator written notification of your new address. If you change your name, inform the Claims Administrator.
- 7. If you have any questions or concerns regarding your claim, contact the Claims Administrator at the address below, by email at info@LuckinCoffeeSecuritiesLitigation.com, or by toll-free phone at 1-855-535-1824, or you may visit www.LuckinCoffeeSecuritiesLitigation.com.

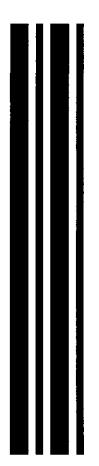
This Claim Form must be mailed to the Claims Administrator by first-class mail or submitted online at www.LuckinCoffeeSecuritiesLitigation.com, postmarked (or received) no later than March 15, 2022. If mailed, the Claim Form should be addressed as follows:

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if a postmark date on or before March 15, 2022 is indicated on the envelope and it is mailed First Class, and addressed in accordance with the above instructions. In all other cases, a Claim Form shall be deemed to have been submitted when actually received by the Claims Administrator.

You should be aware that it will take a significant amount of time to fully process all of the Claim Forms. Please be patient and notify the Claims Administrator of any change of address.

27



Attachments



Patch Code 3



LOREN WAYNE GILES

Terms and Conditions

accounts with activity and quarterly statements for TD Amenitade provides monthly statements for inactive accounts with assets.1 Portfolio Sumnary: Tracks the current value of your portfolio as of the report date and compares it to the prior month? The asset altocation indicates your portfolio diversification by investment type.

λλιδιρία abcatons unite 5% villee groupsclitte brockesgory of "Other" in the pie chair, klasgin [clasky = TrishAccount Carity (Total Long Alargenatio Value + Total Short Value)

Activity Summary. The opening and closing cash halances are reconciled here for All account activity is summarized for the current period and year-to-date, Income & Expense Summary (nor-IRAs only): This saction details the income and expense totals from the Activity Summary and classifies the tax treatment.

Retirement Account Summary (INAs only); Review the IKS regulated transactions for the current and prior years. IKS Form 5498 Fair market value is based on the current account value including Alternative Investments as of December 31 of the previous year and will be furnished to the IKS.

Performance Summary, Monitor amusi porticlo performance and the unrealized gains and basses for your future investment strategy.

Account Positions. View your envestments at the current market value and compare the original cost to see aurentacked gains and lesses in your profites. Onguid cost is easegned tarieg the first-out (FIPO) method, which assumes the first shares you self are it toos you purchesed first. The retiritive diversiment income and average rost per stains and established for your reference (the otbos) purchase date is shown for an indication of your holding period). There is no guarantee that you will recaive this escoul amount or any dividing of your account only. There is no guarantee that you will recaive his

Account Activity: All expount activity is fisled in date order, and reflected in the closing each balance.

Trades Pending Settlement: Confirm executor trades with a sottlement date after moranent, These transcritors will be inflected in the Account Activity eaction next month.

Online Cash Services Transaction Detail. Cash managament varsactions that cleared during this period, including check, debt card and ATM activity, are listed in date order.

Online Cash Services Summary: Crodit and debit transaction lotals for the current period no summarized. Individual transactions are not listed.

TD Ameritrade does not provide legal or tax adotes. Please consult your legal advisor or tax

Accuracy of Reports: Please raviow this statement carefully, I you disagree with any transaction, or if there are any errors or ornissions, please contact us at 800-669-3800 within ton [10] days of your receipt of this statement. Any oral statements that you have made to us should accountant when necessary.

be confirmed in writing. The statement will otherwise be considered condusive.

Account Protection: 1D Amentado FDIC Insund Deposit Account (TDA) deposits are half at one or more basis of ProgramBarles 7. Two of the Program Barles are TD Barle, M.A. and TD Barle USA N.A. both affallades of TDA amentades. LDA deposits are insured by the FDIC (not covered by SIPC) up (\$250,000. Limits and prevaccount ownership per institution. To learn more about FDIC coverage go to with visit of the prevaccioust ownership per institution. To learn more about FDIC coverage go to demy clinical and prevaccioust ownership per institution. To learn more about FDIC coverage go to demy clinical and programmed by, any bruit, net rost FDIC-ratured, and involve innessment risks including producing ITD Amentacks as a member of SIPC, which protects securities customers up its memerales up to \$500,000 (including \$250,000 for dames for cash). Explematory boochers is available on request at www.sipc.og.

Actionally, TD Antarbacks provides each clear \$144.5 inflar worth of protection for securities and \$2.5 million of provided by conform returners. In the event of the inflation constitution of the conformation of the conformati poliny provides covera-

An avestment in a money market fund is not insurad or guaranteed by the FDIC or any other government agency. Although certain money merket kinds may safe to preserve their value of your investment at \$1 par dance, it is prosciate in these money by evesting in runts a time, Mutual fund purchases may be subject to edgibility and other restrictions, as well as charges and expenses. Certain money market funds may arroose liquidity fees and redemption gales in certain circumstances.

Pun to rounding adjustments, the statement detais may not equal the statement totals. Estimated Annual Income and Estimated Annual Yold values are based upon the number of strates control or turnel value belance as of the statement date and the most lecent dividend rate or cash yield provided,

Dividends are declared daily and pakifelinvested monthly. The prospectus contains this and other important information. Hand the prospenus candidy before investing franchoussineins helithysur broken-drailer an NOT FDIC INSURED / NOT BANK GUARANTEED / MAY LOSE VAULUS.

The betance is your bank deposit account or shares of your money market mutual fund can be tquiddind on your order, and the proceeds returned to your securities account or remitted to you.

Tax Reporting: The portfolo report is not a tax document. You will receive Form 1099 for arrural its reporting: in complement with RES reporterments (rockdes taxable interest, dividencis, capital againt, taxes withhalf, and sales proceeds). Some payments are suited to reclassification which will be reflected on subsequent tax reports.

Cost Basis: Cost-Basis, tax for and performance reporting and Galeskeeper are affected and cannot and ALM MCDRPORATE. In DAmentade a new responsible for the reliability or suitability of the reliability of suitability of the reliability o and is not affected with TD Ameritade. Margin and Options Account Agreements: Prompty advise TD Ameritade in writing of any defined in your invastrant objectives or financial situation as they perfain to your rangin or options account agreements. Commissionifion represents base commission and any options contract eventue, and assignment leass.

Current Marker Prices: The market values of counties how boon obtained; if anothely, from quistions devices and other instanced success. Visiting an abreadable, from an another control services of the success. Visiting an abreadable from a quistion service or done response for control service or done response from a quistion service or done response from a quistion service or done response from the service or done quistion service or done response from the service or done done for the visiting the service or done from the service or done report service or the service or done from the service or done report service or the service or done from the service or device or done from the service or device or done from the service or device or done coveral metal or device or device or done from the from the properties or device or done from the from the properties or device or done from the from the from the service or done from the from

Bonds Quantity: The figure on the statement represents the number of tracks. For exemple, \$3,000 of a \$1,000 face value bond would display as '3' in the quantity.

Alternative investments ("AI"), ato called than Sparked Assets (NSA"), are lycically inestments indeed participation organises causes (contract for burded lattily companies, or real estate investments and participation organises causes (professed for burded lattily companies, or real estate investments are destinated and the organise and professed investments are destinated or a retoral sociation contracts. The volume shown for these investments are destinated and the order as the organises, and the resolution of managements are destinated and professed, and professed investments are destinated and participation of confirmation and processed, or and confirmed management destinates, independently the management of the destination and investment weterstood by 10 Americana, if an estimated and international for the organise and processed in the confirmation of the destination and international for the confirmation of the confirmation o

A Districtions on Direct Penticipation Programs and/or RUTs are reported and a ret investment por strate estimated what is also reported. Principated fixing information has been provided by the sported scales or other estimated private parties before other establishment provided by the POP or RUTE man the dissistance of carsochem ser recover or mature of capital invention or practices as recover or mature of capital invention or practices subject to final dissociation of carsochem ser recovering by such partitions and well be reported to you on a Form 1093 or K-1, as applicable.

Auction Rate Securities ("ARS") Pricing: The market values for ANS securities have been obtained, if available, from quotalion services content independent sources. The accusery of the pricing is not guinarianed, if a newfor which or mot available, ID whatebeel wifes the ANS poston strong is not guinarianed. It is newfor which or market have a prose the ANS poston straight or consisteration but the futury and under quirtuing with method in and, as a result, there can be no assurance that such securities can be sold under current market.

Altansactions are subject to (i) the constattion rules, rag belone, cretowns and usuges of the machange or marks antischeringscale it any contribusculturare actions are amounted (i) inclusivated and see note and the rules and regulations promitated trenument; and (ii) the rules and regulations of Finkth and the Federal Newson System.

For an investor brochuse that includes information describing FNNA's Public Dischosuse Program, phoses contact FNNA at 800-289-8869 or www.fnra.org.

The Interest rate shown for TD Ameritranko Casch as taken from the epiplicable interest rate tier for the Market Veture belance in the TD Ameritrans Casth, as of the statement dooring date. Sinyte interest is accrused daly tossed on the freenest rate for applicable to each day's betance.

MSRB RULE G-10: TO Amentrede, Inc. is registered with the Municipal Seturities Rulemaking Board and the U.S. Securities and Exchange Commission. The website address for the Numbp

Securities Rulemaking Board is http://www.msrb.org. An investor brochure is avadashe on the website of the Municipal Securities Rulemaking Board which describos the protections that may b provided by the Municipal Securities Rulemaking Board nules and how to the a compliaint with an provided by the Municipal Securities Rulemaking Board nules and how to the a compliaint with an Appropriate regulatory authority.

Financial Statement Northcation: The striement of financial condition for TO Ameritado Clearing, Inc. is available twice a year and may be obtained at no cost, via the sitement in Inthyloww.klamentaede.com/insercietsatement.html.

Option Assignment: AB short equity option positions and some index option positions are available for essegment. Exercise assignment notices for equity or Index options are randomly available for essignment. Exercise assignment attocated among all clients' short positions.

Ş Froe Credit Balances (Rule 15c3-0 & 3); Under the client protection rules, we may tree credit balances in your account in the ordinary course of our business which are payable to you on demand.

Hargin Accounts (Regulation IT): If you have a margin account, this report is a combination of your margin account, Tedging on margin baces additional risks and as not suitable for all mestars. A complete list other less assocrated with margin tading available in the margin risk and a consistent of the account of you may other in copy of this occurrent by contacting us at the number listed on page one of your statement.

Payment for Order Flow Disclosurs (Rules 606 and 607); The firm receives compensation (or developed lead and OTC counters, and options outs he was bedoch meast enteres (e.g., broken-desibs), activation of Constants, and options outs he was a solid and of the constant counters (e.g., broken-desibs), activation, compensation persons compensation related to the foreign control control cash payment. To Amenitade disc may receive compensation related to the foreign control control cash payment. To Amenitade desible to foreign as exceptions in foreign ascurines from market centers averaling such traffer. To Amenitade spets SEC white 606 quantity received that inches code routing placebases at www.kfornestizade.com, A written copy is available upon inquest, in addition, on request. To Amenitade in the presence of the bransactions, if any, that resulted from such orders or condended nodes, and the firms of the bransactions.

Trade Confirmations (Rule 10b-10): All confirmations are innumited on the innumerion date, if you pathicipate in the Divined Namvestment Plan (DNP) (cleaks regarding the retirestment of dividends will be hadded on your mentify strikements. TD Amentinde will act as agent in having your DNIP purchasers avecated.

Futures/Options Disclosures for EU Cleants: In accordance with the Packaged Rethil and Insurate-based Investment Packings Regulation. EUN of 1281, mals Trivestors based in the Eustrapean (Coordinct Agen (ECA) and access Key Information Documents (KIDs) through the fedforms kindling pages. https://intaincetiade.com/picips-regulation.page

Faxes: Transactions in foreign securities (including fornign company ADPs that trada in the U.S.) may include taxes and fees charged by the loratyn markets or governments, which may be reflected in the price of the security or charged as an inclapendert line item.

Privacy Policy Notification: A copy of the TD Ameritade privacy policy is available at www.tdameritrade.com Callable Securities. The althonion of periol responsibles or calls is done using a pro-rain lothery system. A description of the procedures for callable securities is available on the websile or hard copies are available upon request.

In other of errors or questions about your Chertomic Fund Transfors, phase contact its at 1400/2663-3900, or in winning to P.O. Box 2290, Ohran, N.E. 881 003, or by errors at all effects expected by the second statement shall be briefing throw you if you id you if not object within stay (Fig.) days for any tenrate of items subject to Regulation III, anot as ATAM and politic-state transfers, albeit transfers, of must here to the second statement and within the arror or produced suppressed.

Statement on which the error or produced appeared.

(2) Describe the error or the transfer you are unsure about, and explain as clearly as your

(2) Describe the error of the transfer you are unsure about, and explain as clearly as you make you believe it is an error or with you need more information.
(3) Tell is the facilities of other amount of the suspected error.
We will investigate your complaint and well correctly any error promptly. If we take more than 10 business days to othis, we will coeld your account for the amount you tink is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

TDA 150 12/18



TD AMERITRADE DIVISION OF TD AMERITRADE INC TD Ameritrade Clearing, Inc., Member SIPC

Statement Reporting Period: 07/01/19 - 07/31/19

Statement for Account # LOREN WAYNE GILES

			Portfolio	Portfolio Summary			
	Current	Prior	Period	%	Estimated	Estimated	
Investment	Value	Value	Change	Change	Income	Yield	Portfolio Allocation
Cash	·	(\$1,331.73)	\$1,331.73		49		
Insrd Dep Acct (IDA)	86.22	110,265.55	(110,179.33)	%(6.66)	ı	70.0	
Money Market		,		,	Ţ		
Short Balance	,		•	,			
Stocks	291,382.00	267,733.25	23.648.75	%8 8%	334 00	7070	;
Short Stocks	•		•	<u> </u>	9	2	`.,
Fixed Income	•	•	,	•	•	!	
Options			1	I		• •	
Short Options		,	•	•		, 1	
Mutual Funds	ı	ı	•	,		1 1	
Other	•	,	•	•		• !	:
Total	\$291,468.22	\$376,667.07	(\$85,198.85)	(22.6)%	\$334.00	0.1%	Stocks
Margin Equity	100.0%						.00.0% 100.0%

Cash Activity Summary	į		Income & Ex	e & Expense Summary.			Performance Summary	
	Current	TTD		Reportable	Non Reportable	YTD		
Opening Balance	(\$1,331.73)	- \$	Income				Cost Basis As Of - 07/31/10**	¢£04 £26 42
Securities Purchased	(64.937.95)	(845,924.65)	Dividends	\$83,50	, 63	\$83.50	\$83.50 University of Coine	24.026,1004
Securities Sold	•	912,681.83 Interest	Interest	•	,	0.02	0.00 Margalized Const	0,000,00
Funds Deposited	•	•	Other	•		0.02	Cincalized Losses	(315,647.47)
Funds Dishursed	(44,000,00)	(65,000,00)		ı	•	•	runds Deposited/(Dispursed)	(65,000.00)
	(ממייחסול)	(nn'nnn'en)	exbeuse				Income/(Expense) ^{vm}	(1,921.09)
Income	83.50	83.52	Interest	•	•	(2.004.61)	(2.004.61) Securities Received/(Delivered) Tro) O O
Expense	•	(2,004.61)	Fees	,	•		The view realized Assistant and Land	00.0
Other	110,186.18	163.91	Other	•	,	,	www.idamortrade.com and visit My Account > Gain/Loss.	account, togin at it > Gain/Loss.
Closing Balance	\$ 0.00	\$0.00	Net	\$83.50	\$0.00	(\$1,921.09)		

Description	Online Cash Services Summary
	Current Year To Date
DEBITS	
Electronic Transfer	\$ (44,000,00)
Subtotal	(44,000.0d) (44,000.0d) (45,000.0d)
TOTAL	
	(44,000.00) (44,000.00)
D	Income Summary Detail*
Description	Current
Interest Income Credit Balance	1 ESI
Mamin Interest Charood	\$ 0.02
	0.00
Cualmed Dividends	83.50
IDA Interest	83.50
	18.67
This section displays current and year to date taxation values for this arround. The minority for the man to the formal transfer of the f	

This section displays current and year to date taxation values for this account. The current totals may not equate to the total payments listed on this statement as corrections to lax reporting may also be included. Those corrections can include changes made to previous payments and removal of payments reportable in a previous tax year (spillover dividends). The year to date totals will accurately reflect your cumulative amount for the year.

			Acc	Account Positions						
	Symbol		Current	Market	Market Purchase	Cost	Average	Unrealized	Fetimated	, ted
Investment Description	CUSIP	Quantity	Price	Value	Date	Basis	Cost	Gain(Loss)	Income	Yield
Stocks - Margin										
CHINA SHEN ZHOU MNG CSHZ & RES INC COM	CSHZ	1,100	₹ ¥	\$ NA	12/30/10	\$ 9,865.99	\$ 8.97	\$ (9.865.99)	! ₩	•
DMC GLOBAL INC COM	ВООМ	4,175	52.24	218,102.00	04/16/19	292,048.20	69.95	(73,946.20)	334.00	0.2%
LUCKIN COFFEE INC ADR SPONSORED	ᅩ	2,900	24.29	70,441.00	07/23/19	64,937.95	22.39	5,503.05	ŀ	•
VIVUS INC COM	VVUS	850	3.34	2,839.00	03/23/12	234,674.28	276.09	(231,835.28)	•	•
Total Stocks				\$291,382.00		\$601,526.42		\$(310,144.42)	\$334.00	0.1%
Total Margin Account				\$291,382,00		\$601,526.42		\$(310,144.42)	\$334.00	0.1%

Category			Transaction Date	Online Cash Services Transaction Detail	saction Detail 👙				
DEBITS Efectronic Transfer	Transfer		07/23/2019	ACH OUT - 07/22/2019 06:17PM	Ŋ,			49	\$ (44,000,00)
Subtotal	ota/		the second secon	er er en				•	(44,000.00)
TOTAL									(44,000.00)
				Account Activity	, , , , , , , , , , , , , , , , , , ,				
Trade Date	Settle Date	Acct Type	Transaction/ Cash Activity*	Description	್ ಹ ರ	Quantity	Price	Amount	Balance
Opening Balan ce 07/01/19 07/01/	Balance 07/01/19	Margin	Journal - Other	REDEMPTION FDIC INSURED DEPOSIT ACCOUNT			\$ 0.00	\$ 1,331,73	(\$1,331.73) 0.00
07/16/19	07/16/19 Margin	Margin	Div/Int - Income	DMC GLOBAL INC	ВООМ	,	0.00	83.50	83.50
				Payable: 07/16/2019 QUALIFIED DIVIDENDS 83.50					
07/16/19	07/16/19	07/16/19 Margin	Journal - Other	PURCHASE FDIC INSURED DEPOSIT ACCOUNT		1	0.00	(83.50)	0.00
07/22/19	07/23/19	Margin	- Funds Disbursed	ACH OUT - 07/22/2019 06:17PM	ı	ı	0.00	(44,000.00)	(44,000,00)
07/23/19	07/23/19	Margin	Journal - Other	REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	•	1	0.00	44,000.00	00.0
07/23/19	07/25/19	Margin	Buy - Securities Purchased	LUCKIN COFFEE INC ADR SPONSORED Commission/Fee 6.95	¥	2,900	22.39	(64,937.95)	(64,937.95)
07/25/19	07/25/19	Margin	Journal - Other	REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	ı	•	0.00	64,937.95	0.00
Closing Balance	alance	1		The state of the s					\$ 0.00

*For Cash Activity totals, refer to the Cash Activity Summary on page one of your statement.

	Insured Deposit	Account Interest Cr	edited		
í	Number	Interest	Interest	MTD	OTM
Balance	of Days	Rate	Accrued	Accnied	מואם
\$ 108,933.82	15	0.1000	\$ 4.47	2773	
109 017 32	7	7000		7	₽
20,110,001	•	0.1000	2.09	6.56	•
65,017.32	0	0.0800	0.29	מט	
70 37	•		24:0	0.0	•
 10.61	,	0.0700		6.85	6.85
					86.85

				Insured Deposit Account Activity	1		子, 一个人	Mary State S
Date	Check	Date				Evnonco		电线电路 医水平 化氯苯基
Cleared	Number	Written	Transaction	Description	Code	Code	Amount	Balance
Opening Balance	Safance							£440 SEC CE
07/01/19	•	07/01/19	07/01/19 Delivered	FDIC INSURED DEPOSIT ACCOUNT	•	•	\$ (1.331.73)	108 933 82
				CORE NOT COVERED BY SIPC			(n.:n)	70,000,001
				REDEMPTION FDIC INSURED				
				DEPOSIT ACCOUNT				
07/16/19	ı	07/16/19	Received	FDIC INSURED DEPOSIT ACCOUNT	•	•	83 50	109 017 30
				CORE NOT COVERED BY SIPC				70:110:00
				PURCHASE FDIC INSURED DEPOSIT				
				ACCOUNT		-		
07/23/19	1	07/23/19	Delivered	FDIC INSURED DEPOSIT ACCOUNT	•	J	(44 000 00)	65 017 32
				CORE NOT COVERED BY SIPC			(22:22:22:22)	20: 11 0:00
				REDEMPTION FDIC INSURED				
				DEPOSIT ACCOUNT				
07/25/19	•	07/25/19	Delivered	FDIC INSURED DEPOSIT ACCOUNT	•	1	(64 937 95)	75 97
				CORE NOT COVERED BY SIPC			(22:122)	
				REDEMPTION FDIC INSURED				
				DEPOSIT ACCOUNT				
07/31/19	•	07/31/19	Received	Interest: Insured		•	6.85	86.22
				Deposit Account Bank NA				77:00
Closing Balance	Mance					1 1		00 000
								\$86.22

FDIC Insured Deposit Account (IDA) balances reflected in your brokerage account are FDIC-insured up to applicable limits and held by one or more banks ("Program Banks"). Two of the Program Banks are TD Bank, N.A. and TD Bank N.A. and TD Bank D.A. both affiliates of TD Ameritade. The IDA balances are not covered by the Securities Investor Protection Corporation (SIPC) protection applicable to your brokerage account.

US Bank NA



LOREN WAYNE GILES

Terms and Conditions

TD Amonimos provides monthly statements for accounts with ectivity and quarterly statements for inactive accounts with assets. 1

report date and compares it to the prior month? The asset allocation indicates your porticle diversification by investment type. Portfolio Summary: Tracks the current value of your portfolio as of the

NALIÇIB alboatons unter 5% will be grouped into the category of "Other" in the per chart. Mangh Equity = Total Account Equity (Total Long Mingrietto Value + Total Short Value)

Activity Summary. The opening and closing cash balances are reconcled have for quick reference. All account activity is summarized for the current period and year-to-date.

Incomo & Expenso Summary (non-IRAs only); This section defats the income and expense totals from the Activity Summary and classifies the tax treatment. Rethement Account Summary (IRAs only); Review the IRS regulated transactions for the current and prior years. IRS Form 5498 fair market value is based on the current account value including Alternative Invastments as of December 31 of the previous year and will be furnished to the IRS.

Performance Summary, Montov arrural porticito performance and the runnerhand gaths and basses for your future investment strategy.

Account Positions: View your investments at the current market value and compare the prighted cost to see unredized gains and became in your porticles. Original cost is assigned using the first-bit, first-bit (FIFO) method, which is assures the first shires you self are those you reuthosed first. The estimation investment income and awarge cost jet share are displayed to your inference (the oldest purchase dieth is shown for an indication of your indication of your indication of your indication assets as stakement of account assets and account activity of your account only. There is no guarantee that you will receive this amount or any dividence.

Account Activity: All account activity is bailed in data order, and reflected in the closing cash balance.

frades Panding Settlement. Confirmersculot backs with a softlement drib niter monthend. These transactions will be reflected in the Account Activity section next month.

Online Cash Senkes Transaction Detail: Cash managament transactions that cleaned during this period, including check, debit card and ATM activity, are listed in cate order.

Online Cash Services Summery: Crecit and debit transaction totals for the current period are summerized, hothwhell transactions are not listed.

TO Ameritade does not provide legal or tax advice. Please consult your legal advisor or tax accountant when necessary.

Accuracy of Reports: Phasso review this statement cerefully. If you disagree with any transaction, of fitness are any strong or of refusions tybeas occurate us at 80.0469-3900 within ten (10) days of your receipt of this statement. Any ond statements that you have made to us should be confirmed in writing. The statement will otherwise be considered conclusion.

Account Protection: TO Amartane FDC Insund Deposit Account (TDA) deposits we held at one or more basis of FrogamiBards are 80 TB Barts, As and TD Barts USA NA, both adhates of 10 Amentane. IbA deposits are insured by the FDIC (not covered by 18-FD) up to \$250,000. Limits are pre-recount ownership per insulation. To learn more about FDIC coverage go to wive siftle, gove. Somatifies, inclusing manual burids, held in your Bolestings Account in an end deposits or disipations of or guarantees thy, any shalls, are not FDIC-chause, and involve innostrant relaxistic including possible laces of principal. TO Ameritands is a member of SIPC, which protects securities customers up its members up to \$500,000 (including \$250,000 for delines for cash). Explanatory

Additionally, TD Ameninade provides each cleart \$149.5 million worth of protection for searchies and \$2 million of profession from cash trough syptyherized converge promotors by London naturals, at the event of broken-app into Amenina and an amenina store from the brusteen in benkurycey and then SIPC. Supyimented coverings is perfort out after the store amenina store from the brusteen and store and under such coverage each dient is furthed to a controlled return of \$152 million from a further \$1870 million from an incurrent. The policy provides coverage tallowing brokening in the an ingragate limit of \$500 million over all customers. The policy provides coverage tallowing brokening when of mean not profest against loss in market while in the southers.

purchases may be subject to eligibility and other instictions, as well as charges and expenses. Certain money market funcs may impose lightidity feas and redemption gates in certain dirounstances. An envestment in a money market fund is not insured or guaranteed by the PDIC or any other government agency. Attraugh cartain money market hands may seek to preserve their vatue of your investment at \$1 per starte. It is possible to bese money by invosting in such in text. Musuel fund

Days to rounding adjustments, the statement retails may not equal the statement totals. Testimated Anniel Income and Estimated Annual Yield values are based upon the number of shares owned or current value belance as of the statement date and the most recent dividend rate or cash yeld provided.

Dividends are declared daily and paudienivested monthly. The prospectus contains this and other important information, then the prospectus careful, before investing Neu-object Invisionals Infelty your broken-dealer are NOT FOIC INSURED INOT BANK GUARANTICED I MAY LOSE WAY U.C.

The belance in your tank depost account or shares of your money market mukial fund can be injudated on your order, and the proceeds returned to your snammes account or remitten to you.

Tax Reporting: The portfolio report is not a tax document. You will receive Form 1009 for amusi bx reporting incomplantes with RKs requirements (includes handle interest, dividents, capital gains, taxes withhind; and sales proceeds). Some payments are subject to reclassification which will be infloated on subsequent tax reports.

Cost Basis: Cost-Basis, tax lot and performance reporting and Gainskeeper an offered and conducted by CCH HICORPORATED. To Ameritande is not responsible for the releability or suitability of the information. To Ameritande and its information providers do not gustanting the accuracy of its information and than providers. CCH INCORPORATED is a sepseme company and is not effected with TO Ameritande.

Nargin and Options Account Agreements: Promptly advisor TD Ameritzate in writing of any defining in your investment depictures or flampical situation as they perfear by your margin or options account agreements. Commusitenifico represents base commission and any options contract, exercises, and assignment fees.

Current Markot Pricas: The market values of cos sifics tovo boan obtaining, if needable, from traditions services and other interpretate sources. Video services are therested runt charges, market in the mann behavior to the contraction of th

Bonds Octantity: The figure on the statement represents the number of backs. For exemple, \$3,000 of a \$1,000 face value band would display as '3' in the quantity.

Alternative Investments ("AI"), abo cabol Non Stantard Assess (NSA"), are lycash in extremits in freed participation, regression accurates (participation), and an accurate the size of correctly code, from experiments and extramance and to red trade on a mitoriflocal mode extra or large larves. All are say, specially investments are extramed on the section of the size of the s applicable to purchases, capital call processing, and redemptions.

A Destrations on Direct Participation Programs and/or RCITs are reported and a material per state destricted with a fator recribed. This participation for provided the material per recribed recribed states of more retained perty responsible for injuring of the DPP or REIT end to dessification of controlore as morns or retained capital, involve on inpart is subject to first encounting any such party(ies) and will be reported to you on a Form 1009 or K-1, as applicable.

Auction Rate Securities ("AKS") Pricing: The market values for AKS sociables have been observed, if available, from quotalism services ordiner independent sources. The necessary of the propulation services ordiner independent sources. The necessary of the propulation of quantities if a nested water lost not probability. The AMS poston, lessing and constraint of the facility and underlying great quality. The AMS may have tartain and the last and a nest in the scale under current market but, is a result, there can be no assurance that such securities can be sold under current market.

Alterisactoris are subject to (i) the constitution, rules, any bithans, customs and usages of the earthrange or mark and is desirables as I any conviction the languages are executed (i) indicate and safether, and the fluction and regulations promulpated transuration; and (iii) the rules amontely lattors of Planck and the Federal House system.

For an investor boochure trat includes brometico describing FNRA's Public Disclosura Program, please contact FNRA at 8004/289-9999 or www.firra.org.

The interest rate shown for TD Ameritrade Cash is taken from the applicable interest rate ten for the Market Vallue batance in the TD Ameritrade Cash, as of the schement chaing dele. Single interest is accused day besed on the arterest rate for applicable to each day's belone.

MSRB RULE G-10: TD Amelibada, ha. is registared with the Municipal Securifiers Rubematking Board and the U.S. Secretites and Exchange Commission. The website address for the Municipa

Seazifies Ridemaking Board is http://www.msrb.org. An investor boochure is available on the wotstor of the Manicips Socurities Ridemaking Board with describes the protections that may by growded by the Municipel Securities Ridemaking Board rules and row to file a complaint with an appropriet mediatory authority.

Financial Statement Motification: The statement of financial conductor for To Americae Cleaning, Inc., is remistate twice a year one may be obtained set no cost, via the inferret at Nijpilywew Lishinediade confiltation Financial Statement Motification:

Option Assignment: All short equity option positions and some index option positions are svelleble for assignment. Eversise assignment notices for equity or index options are randomly allocated emorg all dients' short positions.

88 Free Credit Balances (Rule 15c2-2 & 3): Under the client protection rules, we may in kee credit balances in your account in the ordinary course of our business which ere payable to you on demand. Margin Accounts (Regulation IT): If you have a margin account, this report is a combination of your margin account and as special minorabidum account. Indigon margin pages additional risks and as not suickleb for all investors. A complete list other tick associated with respiration is available in the margin risk disclosure document. You may obtain a copy of this obcument by confacting us at the number fisted on page one of your statement. Paymant for Order Flow Disclosure (Rules 606 and 607): The timn receives componisation for designs benchmark orders (such paymant of the companisation of the sub-sub-paymants creates of the paymant of the companisation of the sub-sub-paymants creates of the paymant of the companisation generally is in the form of a ten share or per contract cash payment. It Amentured also may receive component of the share or per contract cash payment. To Amentured the one per contract cash payment. To Amentured pasts SEC Rule 606 quantity stands from market remines rewarding stath brinks. TO Amentured pasts SEC Rule 606 quantity specially support path particles from market or emines rewarding stath brinks. TO Amentured by the surface of the support payment of the surface of th

TO Amentade reg larly assesses the exaction quelty provided by the market centers to which we now a code it while research between advantage and code and co

Trade Confirmations (Rule 10b-10): All confirmations are transmitted on the transaction date, if you participate in the Dividend Keenvestment Plan (DRP)-(desids regarding the reinvestment of indivendes will be indicated on your monthly statements. TO Americade wift and as agent in traving your DRIP purchases executed.

Futures/Options Disclosures for EU Clients: In accordance with the Packaged Robal and Manarca-based Investment Products Rogalishins - EU No 1358, must investors besend in the European Economic Area (EEA) can access Key Information Documents (KIDs) through the (offorming Londing page; https://documents.com/pripes-regulation.page)

Taxes: Transactions in fanajan securilies (including foreign company ADRs that trade in the U.S.) may include tones and fees chargef by the loneign markets or governments, which may be reflected in the price of the security or charged as an independent line item.

Privacy Policy Notification: A copy of the TD Ameritade privacy policy is evailable at www.tdameritande.com

Calibble Securities: The allocation of partiel redemptions or calk is done using a pru-sta lattery system. A description of the procedures for caliable securities is available on the website or hard copies are available upon request.

In case of eners or quantions about your Electronic Fund Transfers, pheses cratter its at 1400-0689-3900, or neverting to P.O. (20x 2209). Darbah, NE Biskils, or by enaula nit adelents who seek when the properties of the propert

drawiny you believe it is new root or vivy you treat more stromation.

Jet is the doctor amount of the suspected error.

We will mirestigate buy compilating and will content any error promptly. If we take more than 10 business days for othic, we will credit you will have be inserted and a credit you are account for the amount you think is never, so that you will have the use of the morey during the area it akes us to complete our investigation.

TDA 150 12/18



Statement Reporting Period: 08/01/19 - 08/31/19

Statement for Account #

Statement for Account # LOREN WAYNE GILES

TD Ameritrade Clearing, Inc., Member SIPC

TD AMERITRADE DIVISION OF TD AMERITRADE INC

			Portfolio Summary	Summary			
	Current	Prior	Period	70	Ectionated		
Investment	Value	Value	Change	Change	Decomo		:
Cash	(\$1.61)	4	(64.64)	Simil	medille	Tield	Portfolio Allocation
		,)	(10.14)	•	ı ₩	•	
Insrd Dep Acct (IDA)	260,928.49	86.22	260,842,27	,		770	
Money Market	•	•)	0.12%	1
		•	r		•	•	Stocks
Short Balance	•		1				3%
Stocks	3,442.50	291.382.00	(1287 930 50)	/0(0 80)	ľ	•	
17 0 4 C			(00:000:00+)	0.00))		4
SHORESTOCKS	•	,	•	•	•	ı	
Fixed Income	•	1	•	ļ		•	
Options	,			1		•	
	•	•	•	•	•	1	
Short Options	1	1	ŧ	,			
Mutual Funds	•	ı	•		•	ŀ	
Other	•			1	•		
				1		•	_
i otal	\$264,369.38	\$291,468.22	(\$27,098.84)	(9.3)%	\$ 0.00	0.0%	iDA 20 mg
Margin Equity	100.0%					1	98.1%

		\$244,540.27 (241,097.77) (58,600.00) (1,922.70) TO 0.00 your account, login at count > Galn/Loss.	
Pertormance Summary		\$83.50 Unrealized Gains 0.23 Unrealized Losses - Funds Deposited/(Disbursed) TO (58,600.00 Income/(Expense) TO (1,922.70 Securities Received/(Delivered) TO (1,922.70 TO view realized gains and losses for your account, login at www.tdamerita.ecom and visit My Account > Galn/Loss.	
	YTD	\$83.50 0.23 - - (2,006.43)	(\$1,922.70)
	Non Reportable	φ.	\$0.00
ome & Expense Summary	Reportable	\$ - 0.21 - - (1.82)	(\$1.61)
Income &	YTD	\$ - Income (1,492,136.50) Dividends 1,813,330.33 Interest 6,400.00 Other (65,000.00) Expense 83.73 Interest (2,006,43) Fees (260,672.74) Other	(\$1.61) Net
	Current	\$ 0.00 (646,211.85) 900,648.50 6,400.00 - 0.21 (1.82) (260,836.65)	(\$1.61)
Cash Activity Summary		Opening Batance Securities Purchased Securities Sold Funds Deposited Funds Disbursed Income Expense Other	Closing Balance

Online Cash Services Summary	Narv
Description	
CREDITS	Part Control of the c
Electronic Transfer \$ 6,400.00	64 65 65 65 65 65
Subtotal 6,400.00	6,400.00
DEBITS	
Electronic Transfer \$.	
Subtotal 0.00	(65,000.00)
TOTAL 6,400.00	(58.600.00)
Description	
Interest Income Credit Balance	Year to Date
	\$ 0.23
Qualified Dividends	(2,006,43)
	83.50
This continue directions are a second as a	24.29
The second control of the second of the seco	

*This section displays current and year to date taxation values for this account. The current totals may not equate to the total payments listed on this statement as corrections to tax reporting may also be included. These corrections can include changes made to previous payments and removal of payments reportable in a previous tax year (spiltover dividends). The year to date totals will accurately reflect your cumulative amount for the year.

			Acco	Account Positions			2			
Investment Description	Symbol/ CUSIP	Ouantity	Current	Market	Market Purchase	Cost	Š	Unrealized	Estimated	ted
Stocks - Margin				A dalue	ļ	Basis	Cost	Gain(Loss)	ncome	Yield
CHINA SHEN ZHOU MNG 16942H109 & RES INC COM DELISTED	16942H109	1,100	& N S	∀ V \$	\$NA 12/30/10	\$ 9,865.99	\$ 8.97	\$ (9,865.99)	, ↔	1
VIVUS INC COM	vvus	850	4.05	3,442.50 03/23/12	03/23/12	234,674.28	276.09	(231,231,78)	•	1
Total Stocks				\$3,442.50		\$244,540.27		\$(241,097.77)	\$0.00	0.0%
Total Margin Account				\$3,442.50		\$244,540.27		\$(241,097.77)	\$0.00	0.0%

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 84 of 355

Statement for Account # 08/01/19

Category			Transaction Date	Online Cash Services Transaction Detail Description	ansaction Detail				Amount
CREDITS									
Electronic Transfer	Transfer		08/27/2019	ACH IN					\$ 6,400.00
Subtotal	ıtal								
TOTAL									6,400.00
				Account Activity	vity				
Trade	Settle	Acct	Transaction/		Symbol/		1		
Date	Date	Туре	Cash Activity*	Description	CUSIP	Quantity	Price	Amount	Balance
Opening Balance	3alance				Andrew Company of the				\$ 0.00
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC	BOOM	200-	\$ 48.84	\$ 9,760.82	9,760.82
				Commission/Fee 6.95 Regulatory Fee 0.23					
07,00,00	07100100		3	Caro and I to the					
81/20/80	61/90/80	Margin	Sell - Securites Sold	DMC GLOBAL INC COM Regulatory Fee 0.45	BOOM	400-	48.83	19,531,55	29,292.37
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC COM Reculator Fee 0.11	ВООМ	100-	48.79	4,878.89	34,171.26
08/02/19	08/06/19	Margin	Sell - Securities Sold	DIMC GLOBAL INC	ВООМ	10-	48.66	486.59	34,657.85
				COM Regulatory Fee 0.01					
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC COM	BOOM	100-	48.65	4,864.89	39,522.74
				Regulatory Fee 0.11					
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC	ВООМ	-06	48.64	4,377.50	43,900.24
				Regulatory Fee 0.10					
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC COM	ВООМ	200-	48.63	9.725.77	53,626.01
				Regulatory Fee 0.23					
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC COM	ВООМ	3,075-	48.62	149,503.03	203,129.04
				Regulatory Fee 3.47					
08/02/19	08/06/19	Margin	Buy - Securities Purchased	LUCKIN COFFEE INC ADR SPONSORED Commission/Fee 6.95	ጟ	8,300	24.50	(203,356.95)	(227.91)

Statement for Account # 08/01/19

		Account Activity	App				
Acct	Transaction/		Symbol/				
Type	Cash Activity*	Description	CUSIP	Quantity	Price	Amount	Balance
_	Margin Journal - Other	REDEMPTION FDIC INSURED DEPOSIT ACCOUNT			0.00	86.22	(141.69)
	Margin Journal - Other	MARK TO MARKET ADJ	1	ı	00'0	7.473.05	7.331.36
	Margin Journal - Other	PURCHASE FDIC INSURED DEPOSIT ACCOUNT		•	0.00	(7,331.36)	0.00
=	Margin Journal - Other	MARK TO MARKET ADJ			0.00	3.034.00	3 034 00
. <u>e</u> p	Margin Journal - Other	PURCHASE FDIC INSURED DEPOSIT ACCOUNT			0.00	(3,034.00)	0.00
Margin	n Journal - Other	MARK TO MARKET ADJ		4	0.00	(4.633.00)	(4 633 00)
Margin	n Journal - Other	REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	1	•	0.00	4,633.00	0.00
Margin	n Journal - Other	MARK TO MARKET ADJ	•	•	00.00	2,911.00	2.911.00
Margin	n Journal - Other	PURCHASE FDIC INSURED DEPOSIT ACCOUNT		•	0.00	(2,911.00)	0.00
Margin	n Journal - Other	MARK TO MARKET ADJ	ı	ı	0.00	2,501.00	2.501.00
Margin	n Journal - Other	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	•		0.00	(2,501.00)	0.00
Margin	n Journal - Other	MARK TO MARKET ADJ	•	•	0.00	(5,863.00)	(5.863.00)
Margin	n Joumal - Other	REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	•		0.00	5,863.00	0.00
Margin	n Journal - Other	MARK TO MARKET ADJ	ı	ŧ	0.00	12.095.00	12.095.00
Margin	n Journal - Other	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	ı	ı	0.00	(12,095.00)	0.00
Margin	n Journal - Other	MARK TO MARKET ADJ	,	•	0.00	1.230.00	1 230.00
Margin	n Sell - Securities Sold	LUCKIN COFFEE INC ADR SPONSORED Commission/Fee 6.95 Regulatory Fee 1.55	ᅩ	2,777-	21.24	58,974.98	60,204.98
Margin	7 Sell - Securities Sold		ᆂ	110-	21.22	2,334.14	62,539.12
Margin	Sell - Securities Sold	LUCKIN COFFEE INC ADR SPONSORED	놀	40	21.21	212.10	62,751.22
Margin	Sell - Securities Sold	LUCKIN COFFEE INC ADR SPONSORED Regulatory Fee 1.91	¥	3,400-	21.20	72,078.09	134,829.31

Symbol/ Description
FEE INC
LUCKIN COFFEE INC ADR SPONSORED Regulatory Fee 1.50
LUCKIN COFFEE INC ADR SPONSORED Regulatory Fee 1.22
PURCHASE FOIC INSURED DEPOSIT ACCOUNT
MARK TO MARKET ADJ
REDEMPTION FDIC INSURED DEPOSIT ACCOUNT
MARK TO MARKET ADJ
PURCHASE FDIC INSURED DEPOSIT ACCOUNT
MARK TO MARKET ADJ
PURCHASE FDIC INSURED DEPOSIT ACCOUNT
MARK TO MARKET ADJ
PURCHASE FDIC INSURED DEPOSIT ACCOUNT
MARK TO MARKET ADJ
REDEMPTION FDIC INSURED DEPOSIT ACCOUNT
MARK TO MARKET ADJ
Buy - Securities Purchased SERVICENOW INC COM
REDEMPTION FDIC INSURED DEPOSIT ACCOUNT

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 87 of 355

		Balance	(6,246.56)				153.44	00:0	260,773.33	·	0.00	(1.82)	(1.61)	19,530.99		34,143.64		53,862.65		97,430.23		102,297.12	
		Amount	3.90				6.400.00	(153.44)	260,773.33		(260,773.33)	(1.82)	0.21	19,532,60		14,612.65		19,719.01		43,567.58		4,866.89	
		Price	0.00				0.00	0.00	260,7858		0.00	0.00	0.00	48.85		48.71		48.69		48.68		48.67	
		Quantity						ı	1,000-		ľ	•	ı	400-		300-		405-		895-		100-	
W. Carlotte	Symbol/	CUSIP	MMDA1			23		†	NOW		1	ı	•	BOOM		BOOM		BOOM		BOOM		BOOM	
Account Activity		Description	FDIC INSURED DEPOSIT ACCOUNT	CORE NOT COVERED BY SIPC Interest losured	Deposit Account Bank NA	Payable: 08/31/2019 Insured Deposit Account Interest 2.52	ACH IN	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	SERVICENOW INC	Commission/Fee 6.95 Regulatory Fee 5.52	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	MARGIN INTEREST CHARGE Payable: 08/30/2019	INTEREST CREDIT Payable: 08/30/2019	DMC GLOBAL INC COM	Commission/Fee 6.95 Regulatory Fee 0.45	DMC GLOBAL INC COM	Regulatory Fee 0.35	DMC GLOBAL INC COM	Regulatory Fee 0.44	DMC GLOBAL INC COM	Regulatory Fee 1.02	DMC GLOBAL INC COM	Regulatory Fee 0.11
(の)の (の)の (の)の (の)の (の)の (の)の (の)の (の)の	Transaction/	Cash Activity*	Div/Int - Other				 Funds Deposited 	Journal - Other	Sell - Securities Sold		Journal - Other	Div/Int - Expense	Div/Int - Income	Sell - Securities Sold		Sell - Securities Sold		Sell - Securities Sold	:	Sell - Securities Sold		Sell - Securities Sold	
	Acct	Туре	Margin				Margin	Margin	Margin		Margin	Margin	Margin	Short		Short		Short		Short	:	Short	
	Settle	Date	08/26/19				08/27/19	08/27/19	08/30/19		08/30/19	08/30/19	08/30/19	08/06/19		08/06/19		08/06/19		08/06/19	;	08/06/19	
	Trade	Date	08/26/19				08/26/19	08/27/19	08/28/19		08/30/19	08/30/19	08/30/19	08/02/19		08/02/19		08/02/19	0.000	91/20/80	4	08/02/19	

		Balance	194,578.55		199,433.44		191 960 39	188 926 39	193 559 39	190.648 39	188 147 39	194.010.39	181.915.39	180,685,39	186,056,39	180 193 39	170.107.39	173.961.39	176 626 39	38,539.44	•	21,295.44	16,985,44	12,677.44	8,374,44	4,075.44
		Amount	92,281.43		4,854.89		(7.473.05)	(3.034.00)	4.633.00	(2.911.00)	(2.501.00)	5.863.00	(12,095.00)	(1,230.00)	5.371.00	(5.863.00)	(10,086,00)	3.854.00	2.665.00	(138,086.95)		(17,244.00)	(4,310.00)	(4,308.00)	(4,303.00)	(4,299.00)
	į	Price	48.5703		48.55		0.00	00:0	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	. 00.0	43.15		43.11	43.10	43.08	43.03	42.99
		Quantity	1,900-		100-		•	•		•	ı	•			ı	•	•		ı	3,200		400	100	100	100	100
tívity	Symbol/	COSIF	BOOM		BOOM				,		1	•	,	•	1	•	1	•	•	ВООМ		BOOM	BOOM	BOOM	ВООМ	ВООМ
Account Activity	Description		UMC GLOBAL INC COM Regulatory Fee 2.14		UMC GLOBAL INC	Regulatory Fee 0.11	MARK TO MARKET ADJ	DMC GLOBAL INC	Commission/Fee 6.95	DMC GLOBAL INC COM																
t an	Transaction/ Cash Activity*	Soll Counting Oak	oeii - oecariues soid		oeii - oecaliides oold		Journal - Other	Joumal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Buy - Securities Purchased		Buy - Securities Purchased								
	Acct	1000	5	togo	5		Short		Short	Short	Short	Short	Short													
	Settle Date	08/06/10		08/06/10			08/06/19	08/07/19	08/08/19	08/09/19	08/12/19	08/13/19	08/14/19	08/15/19	08/16/19	08/19/19	08/20/19	08/21/19	08/22/19	08/23/19		08/23/19	08/23/19	08/23/19	08/23/19	08/23/19
	Trade Date	08/02/19		08/02/10			08/06/19	08/07/19	08/08/19	08/09/19	08/12/19	08/13/19	08/14/19	08/15/19	08/16/19	08/19/19	08/20/19	08/21/19	08/22/19	08/21/19		08/21/19	08/21/19	08/21/19	08/21/19	08/21/19

				Account Acti	ivity			****	
Trade Date	Settle Acct Date Type	Acct Type	Transaction/ Cash Activity*	Description	Symbol/ CUSIP	Ouanfilv	Drice		
08/21/10	08/24/40 08/22/40 Chat	to Ho		The state of the s		(million)	201		palance
200	00/23/13	1016	buy - secuniles Purchased	DIMC GLOBAL INC COM	BOOM	100	42.97	(4,297.00)	(221.56)
08/23/19	08/23/19	Short	08/23/19 08/23/19 Short Journal - Other	MARK TO MARKET ADJ	,	ı	0.00	219 95	(164)
Closing Balance	alance							20:0:1	10:17
*For Cash Art	their totals	4	For Cash Antivity to the same of the Anti-Anti-Anti-Anti-Anti-Anti-Anti-Anti-						(\$1.61)

For Cash Activity totals, refer to the Cash Activity Summary on page one of your statement.

		TD Ameritrade Ca	Sash Interest Credit/Expense			
Begin	Margin	Credit	Mimber	lotorost		
Date	Balance	Balance	of Dave	niteles!	Interest	Interest
08/16/19	-5	\$ 82 748 GO	5(5)	Agre	Depited	Credited
08/19/19	•	02,740,30	7	0.01	ا	\$ 0.07
61/61/00	•	97,863.50	_	0.01	:	000
08/20/19	•	98 993 50	•		ı	20.0
08/21/19		00,000,000	_	۲0.0	•	0.03
2111200	•	79,568.50	•	0.01	ı	20.0
08/23/19	•	79 075 95				0.02
08/26/10	102 070 07	0000	ာ	L0:0	•	90.0
51 107 100	(0,240.30)	ı	Υ-	10.50	182	† † •
Total Interest Income//Expenses				3	20.1	
can medeat medile/ex	perise				\$1.82	\$0.21

		insured Deposit	t Account Interest Cre	edited		
Begin		Number	Interest	Interest	ASTO	
Date	Balance	of Davs	Rate	Tensous V		<u>3</u> :
08/01/19	\$ 86.22	26	2000	Accided	Accrued	PAID
0110000	₹ 00.22	ი	0.0400	1 69	€	₩
61/90/20	00'0	•	0.0400	•	•	1 7
08/07/19	7 334 36	• •	00.00	•	•	1
0710000	00.150,7	-	0.0400	0.01	0.01	1
08/08/19	5,732.36	4	0.0400	000		•
08/12/19	8 643 36	٠ ٦	00.00	20.02	0.03	•
	00.540,0	_	0.0400	0.01	0.04	
08/13/19	5,281,36	^	0.0400			,
08/15/10	20 200 74	1.	000	10.0	0.05	1
	17,376.30		0.0400	0.02	0.07	
08/16/19	166.797.94	٣	00200	000	20:0	1
08/10/10	10 11 10 17	· •	0.010	0.30	1.03	•
50.00	158,545,84		0.0700	23	124	
08/20/19	167.501.94		00200	7000	\$0°-	•
08/21/19	10 070 001	- ,	00,000	0.32	1.66	1
	100,017,34	_	0.0700	0.35	201	
08/22/19	259,976,44	•	0.1199	100	- 60	•
08/23/19	180,680,64	٠,		0.03	5.86	•
0.5700	4C.000,001		0.0700	104	3 90	000
08/27/19	153.44	m	0.0400		200	3.30
08/30/19	260 926 77		0.00	' (1	•
		7	0.1.89	1.72	1.72	1.72
Total Interest Income						

\$5.62

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 90 of 355

Statement for Account # 08/01/19 - 08/31/19

				Insured Deposit Account Activity	Activity			
Date	Check	Date			Tracking	Expense		4.
Cleared	Number	Written	Transaction	Description	Code	Code	Amount	Balance
Opening Batance 08/06/19	lance -	08/06/19	Defivered	FDIC INSURED DEPOSIT ACCOUNT			6	\$86.22
		•		CORE NOT COVERED BY SIPC REDEMPTION FDIC INSURED	ı	•	\$ (86.22)	0.00
08/07/19	,	08/07/19	Received	DEPOSIT ACCOUNT FDIC INSURED DEPOSIT ACCOUNT			700	
				CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT	ı	1	35.136	7,331.36
08/08/19	,	08/08/19	Received	ACCOUNT FDIC INSURED DEPOSIT ACCOUNT			00 700	000
				CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT	•	r	0,450,0	10,365.36
				ACCOUNT				
08/09/19	•	08/09/19	Delivered	FDIC INSURED DEPOSIT ACCOUNT	ı	ı	(4,633.00)	5,732.36
				REDEMPTION FOIL INSURED				
06/12/40		02700		DEFOSII ACCOUNT				
61771700		61/71/90	Keceived	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC	ı	•	2,911.00	8,643.36
				PURCHASE FDIC INSURED DEPOSIT ACCOUNT				
08/13/19	,	08/13/19	Received	FDIC INSURED DEPOSIT ACCOUNT				
		!		CORE NOT COVERED BY SIPC	•		2,501.00	11,144.36
				PURCHASE FDIC INSURED DEPOSIT				
00/44/40		0777		ACCOUNT				
06/14/19	ı	08/14/19	Delivered	FDIC INSURED DEPOSIT ACCOUNT	•	1	(5,863.00)	5,281.36
				CORE NOT COVERED BY SIPC				
				DEPOSIT ACCOUNT				
08/15/19	1	08/15/19	Received	FDIC INSURED DEPOSIT ACCOUNT	•	•	12.095.00	17 376 36
							وَ مُرْدُ	000000000000000000000000000000000000000
				PURCHASE FOIC INSURED DEPOSIT				
08/16/19	1	08/16/19	Received	FDIC INSURED DEPOSIT ACCOUNT			6	1 1 1
				CORE NOT COVERED BY SIPC	•	ŧ	149,421.58	166,797.94
				PURCHASE FDIC INSURED DEPOSIT				
				ACCOUNT				
08/19/19	1	08/19/19	Delivered	FDIC INSURED DEPOSIT ACCOUNT		1	(8,252,00)	158,545.94
				CORE NOT COVERED BY SIPC				
				DEPOSIT ACCOUNT				

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 91 of 355

Statement for Account # 08/01/19

		Balance	167,501.94	183,072.94	247,500.00	261,113.99	247,500.00	180,680.54	0.00	153.44	247,500.00	260,926.77	260,926.86
		Amount	8,956.00	15,571.00	64,427.06	13,613.99	(13,613.99)	(66,819,46)	(180.680.54)	153.44	247,346.56	13,426.77	0.09
	Expense	Code	I		ı	ı		•	•	,	•	1	•
Activity	Tracking	Code	1	•	1	1	ı	·	1	1	ı	1	1
Insured Deposit Account Activity		Description	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	FDICTINGURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDICTINGURED DEPOSIT ACCOUNT	FDICTORY FOR THE PROPERTY CORE NOT COVERED BY SIPC REDEMPTION FDICTINSURED DEPOSIT ACCOUNT	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	Interest: Insured Deposit Account Bank USA
		Transaction	Keceived	Received	Received	Received	Delivered	Delivered	Delivered	Received	Received	Received	Received
	Date	Written	8L/0Z/80	08/21/19	08/22/19	08/22/19	08/23/19	08/23/19	08/26/19	08/27/19	08/30/19	08/30/19	08/30/19
24.4	Check	Number	1	ı	ı	•	1	•	1			ı	1
	Date	Cleared	00/20/13	08/21/19	08/22/19	08/22/19	08/23/19	08/23/19	08/26/19	08/27/19	08/30/19	08/30/19	08/30/19

1. 1. 11 11 11 11 11				Insured Deposit Account Activity	不分子之後多数不多的 不過	
Date	Check	Date		Tracking		The second second second
Cleared	Number	Written	Transaction	_	Code	
08/30/19	,	08/30/19	Docesing			
		5	None Acre	melest moded	183	280 028 40
				Deposit Account Bank NA		St.0%0'003
Closing Balance	nce			A CONTRACTOR OF THE PROPERTY O		
TO Don't MA						\$260,928.49
TO DOUBLE					\$247 504 63	
TO Don't lies als	A14 6:				^^: ^^!	

TD Bank USA NA
FDIC Insured Deposit Account (IDA) balances reflected in your brokerage account are FDIC-insured up to applicable limits and held by one or more banks ("Program Banks"). Two of the Program Banks are TD Bank, N.A. and TD Bank USA. N.A., both affiliates of TD Ameritade. The IDA balances are not covered by the Securities hivestor Protection Corporation (SIPC) protection applicable to your brokerage account.

Bui, Dinh

From: Info_LuckinCoffeeSecuritiesL

Sent: Tuesday, March 15, 2022 2:03 PM

Claims | Lockin Coffee Constitute

Claims | Lockin Coffee Constitute

The constitute of the constit

To: Claims_LuckinCoffeeSecuritie

Subject: Luckin Coffee Inc. Securities Litigation – Claim Upload

Contact Information

Location: \\Ca003-prfs001\CA-7\Luckin Coffee Inc. Securities Litigation - 40050093\Electronic Files Received\Claim\26501\

Name: Loren Giles

Address:

Observa Name Laur

Phone Number:

Email:

Date and Time: 3/15/2022 2:03:23 PM

Confirmation Number:

Divider Page

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 95 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

400500930004724881 000 0001984 00000000 0001 0001 01984 INS: 0 0 LOREN W GILES

Claim Number: 20190

Response Deadline: May 16, 2022

April 26, 2022

Notice of Deficient Claim Submission

Dear Claimant:

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action *In re Luckin Coffee Inc. Securities Litigation*, Case No. 1:20-cv-01293-JPC-JLC (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fail to respond by the response deadline set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that those conditions remain uncured. This is the only notice you will receive with respect to this Claim.

PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

Ineligibility Condition: No Recognized Claim.

In accordance with the Plan of Allocation set forth in the Settlement Notice, the Claim referenced above does not calculate to a Recognized Claim. An example of a condition that would result in no Recognized Claim is that all of the Luckin ADSs purchased during the Class Period were sold for a gain. Because your Claim does not calculate to a Recognized Claim, either for the reason noted in the preceding sentence or for another reason, it is not eligible to receive a distribution from the Net Settlement Fund. Unless you had additional transactions in Luckin ADSs during the Class Period (i.e., May 17, 2019, through July 15, 2020, inclusive) that are not reflected in your Claim, this is NOT a curable deficiency.

<u>How to Resolve</u>: You can resolve this condition of ineligibility only by submitting additional transactions in Luckin ADSs during the Class Period that were not previously reflected in your Claim and which make your Claim calculate to a Recognized Claim. For additional information, please reference Appendix A of the Settlement Notice. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial acceptance," unless this deficiency is cured.



Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. The Court will consider approval of the Settlement and the proposed Plan of Allocation at a hearing to be held on July 22, 2022. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court with financial account numbers and certain other information redacted. PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR'S DETERMINATION REGARDING YOUR CLAIM.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator

Divider Page

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 98 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

400500930004724881 000 0001984 00000000 0001 0001 01984 INS: 0 0 LOREN W GILES

Claim Number:

20190

Response Deadline: May 16, 2022

April 26, 2022

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If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator May 13, 2022

Loren Giles



Luckin Coffee Inc. Securities Litigation C/O Equip Class Action and Claims Solutions Inc. PO Box 5887 Portland OR 97228-5887

Claim Number 20190

Dear Claims Administrator,

I request the court to review to full rejection of my claim for the losses from my purchase of Luckin coffee. I purchased 8,300 shares of stock on 8-2-19 for 24.50 and sold on 8-14-19 for 21.20. It is my understanding that these dates fall within the dates of the Class Period.

Respectfully submitted

Loren Giles



LOREN WAYNE GILES

inactive accounts with assets.

Portfolio Summary: Tracks the current value of your portfolio as of the report date and compares it to the prior month? The asset allocation indicates your portfolio diversification by investment type.

Autiple alocations under 5% will be grouped into the category of "Other" in the pie chart. Margin Equity Total Account Equity/ (Total Long Marginable Value + Total Short Value)

Activity Summary. The opening and closing cash balances are reconciled here for quick reference. All account activity is summarized for the current period and year-to-date.

Income & Expense Summary (non-IRAs only): This section details the income and expense totals from the Activity Summary and classifies the tax treatment.

Retirement Account Summary (IRAs only): Review the IRS regulated transactions for the current and prior years. IRS Form \$498 fair market value is based on the current account value including Alternative Investments as of December 31 of the previous year and will be furnished to the IRS.

nce Summary. Monitor annual portfolio performance and the urrealized gains and losses your future investment strategy Account Positions: View your investments at the current market value and compare the original cost to see unraized gains and tosses in your profitiol. Original cost is experient by first-out (FIFO) method, which assumes the first shares you sell are those you purchased first. The estimated investiment income? and average cost per share are displayed for your reference the oldest purchase date is shown for an indication of your holding period). This statement represents a selement of account assets and account and your product into your profit only. There is no guarantee that you will receive this amount or any dividend.

Account Activity: All account activity is listed in date order, and reflected in the closing cash balance

Frades Pending Settlement: Confirm executed trades with a settlement date after month end. These transactions will be reflected in the Account Activity section next month. Online Cash Services Transaction Detall: Cash management transactions that cleared during this period, including check, debit card and ATM activity, are listed in date order.

Online Cash Services Summary: Credit and debit transaction totals for the current period are summarized. Individual transactions are not listed.

TD Ameritrade does not provide legal or tax advice. Please consult your legal advisor or tax

accountant when necessary.

Accuracy of Reports: Please review this statement carefully. If you disagree with any transaction, or if there are any errors or or orisistons, please contact us at 800-686-3900 within ten (10) days of your receipt of this statement. Any oral statements that you have made to us should be confirmed in writing. The statement will otherwise be considered conclusive.

Account Protection: TO Ameritade FDIC Insured Deposit Account (TDA*) deposits are held at one or more bank. (Forgan Barks.). Two of the Programs Barks are TD Bark, N.A. and TD Bark, D.A. and TDA deposits are insured by the FDIC (not covered by SIPC) up to \$250,000. Limits are per account ownership per institution. To learn more about FDIC coverage go to www.fdic.gov. Securities, including mutual funds, held in your Enkerbarg Account are not deposits or own wide.gov. or guaranteed by, any bark, are not FDIC-insured, and Involve investment lists, including possible loss of principal. TD Ameritade is a member of SIPC, which protects securities oustomers of its members up to \$50,000 (including \$250,000 for daims for cash). Explanatory brochure is available on request at www.sipc.org.

miton of protection for cash through supplemental coverage provided by London issuess. In the event of Norbrage insolvency, a client may receive amounts due from the trustee in barkwordy and then SIPC. Supplemental coverage is paid out after the furstee and SIPC payouts and under such coverage each client is limited to a combined return of \$152 million from a trustee, SIPC and London insurers. The TD Ameritade supplemental coverage has an angegragate limit of \$500 million nover all customers. This policy provides coverage following brokerage insolvency and does not protect leastness. This policy provides coverage following brokerage insolvency and does not protect against loss in market. Additionally, TD Ameritrade provides each clerit \$149.5 million worth of protection for securities and \$2 policy provides coverage value of the securities.

An investment in a money market fund is not insured or guaranteed by the FDIC or any other government agency. Although certain money market funds may seek to preserve their value of your investment at \$1 per stared, it is ossible to lose money by investing in such a fund. Mutual fund purchases may be subject to eligbility and other restrictions, as well as charges and expenses. Certain money market funds may impose liquidity fees and redemption gates in certain circumstances.

Dividends are declared daily and paid/reinvested monthly. The prospectus contains this and other important information. Read the prospectus carefully before investing. Nondeposit investments held by your broker-dealer are NOT FDIC INSURED / NOT BANK GUARANTEED / MAY LOSE VALUE.

The balance in your bank deposit account or shares of your money market mutual fund can be inquidated on your order, and the proceeds returned to your securities account or remitted to you.

tax reporting in compliance with IRS requirements (includes taxable interest, dividends, capital gains, taxes withheld, and sales proceeds). Some payments are subject to reclassification which will be reflected on subsequent tax reports.

Cost Basis: Cost-Basis, tax lot and performance reporting and Gainskeeper are offered and conducted by CCH INCORPORATED. TD Ameritrade is not responsible for the reliability or suitability of the information. TD Ameritrade and its information providers do not guarantee the accuracy of the information and feals provided CCH INCORPORATED is a separate company and is not affiliated with TD Ameritrade.

Margin and Options Account Agreements: Promptly advise TD Ameritrade in writing of any change in your investment objectives or financial situation as they portain to your margin or options account agreements. Commission/Fee represents base commission and any options contract, exercise, and assignment fees.

Current Market Prices: The market values of securities have been obtained, if available, from quotation services and other independent sources, values are besed on the dosing profes, the mean between the bold and safety prices, on the methods. If no market value is available from a quotation service or other independent source, the security is subject to being reflected as Not Available. ("NA"). The valuations on your profudor export are provided as general information and we do not guarantee the accuracy of any securities prices. Mortgage backed positions are valued using the remaining the accuracy of any securities prices. Mortgage backed positions are valued using the remaining securities and the current market price. Purificitie report valuations may not represent states proceeds. The secondary market for officiates of Depositis ("DS") is generally lifted and the actual value may be different from the purchase price. A significant koss of principal may resulting mit audio exchanged the actual contract on a fault exchange. Rather, they trade in the OTIC (over the courtier) market and do not trade on a fould exchange. Rather, they trade in the OTIC (over the courtier) market and is sufficient kputsty may not exist for you to selly our position prior to markety. The safe of bonds prior to maturity may result in a loss of principal.

Bonds Quantity: The figure on the statement represents the number of bonds. For example, \$3,000 of a \$1,000 face value bond would display as "3" in the quantity.

Alternative Investments ("AI"), also caled Non Standard Assets ("NSA"), are typically investments in direct periocipation programs aceurities (partnerships, inrited labily, convenies, or neal estate in reterment thass), commodity pools, private edut or hedge funds. Al are typically integrated that thas an expension of the state of the state

accounting by such party(ies) and will be reported to you on a Form 1099 or K-1, as applicable Δ Distributions on Direct Participation Programs and/or REITs are reported and a net investment per strare estimated value is also reported. Pricing and distribution information has been provided by the strange areas in strate or other external properties the proportion of the DPP or REIT and the classification of distributions as income or return of capital, in whote or in part is subject to final

obtained, if available, from quotation services orother independent sources. The accuracy of the pricing is not guaranteed, if a market value is not available, TD Architade will price the ARS position, bringing to not guaranteed to the founding and underlying credit quality. The ARS may leck founding and, as a result, there can be no assurance that such securities can be sold under current market. Auction Rate Securities ("ARS") Pricing: The market values for ARS securities have been conditions.

Altransactions are subject to (i) the constitution, rules, regulations, customs and usages of the exchange or market, and its charifycuse if any, on witch such transactions are executed, (i) fobrat and state bus, and the rules and regulations promulgated the reunder, and (iii) the rules and regulations of FINRA and the Federal Reserve System.

For an investor brochure that includes information describing FINRA's Public Disclosure Program, please contact FINRA at 800-289-9999 or www.finra.org. Due to rounding adjustments, the statement details may not equal the statement totals. Estimated Annual Income and Estimated Annual Yield values are based upon the number of shares owned or currAnnual value balance as of the statement date and the most recent dividend rate or cash yield provided.

The interest rate shown for TD Ameritade Cash is taken from the applicable interest rate the forther Market Value balance in the TD Ameritade Cash; as of the statement closing date. Simbe interest sorched deliy based on the interest rate lest capaciable to each day's balance.

MSRB RULE G-10: TD Ameritrade, Inc. is registered with the Municipal Securities Rulemaking Board and the U.S. Securities and Exchange Commission. The website address for the Municipa

Securities Rulemaking Board is http://www.msch.org. An investor brochure is svariable on the website of the Municipal Securities Rulemaking Board which describes the protections that may be provided by the Municipal Securities Rulemaking Board unles and how to file a complaint with an provided by the Municipal Securities Rulemaking Board rules and how to file a complaint with an Securities Rulemaking Board is http://www.msrb.org. appropriate regulatory authority

Option Assignment: All short equity option positions and some index option positions are available for assignment. Exercise assignment notices for equity or index options are randomly Financial Statement Notification: The statement of financial condition for TD Ameritade Clearing. Inc. is available twice a year and may be obtained at no cost, via the TD Ameritade Clearing. And ameritade confinancialstatement. Inthi.

available for assignment. Exercise assignm allocated among all clients' short positions.

Free Credit Balances (Rule 15c3-2 & 3): Under the client protection rules, we may use the credit balances in your account in the ordinary course of our business which are payable to you on demand.

Margin Accounts (Regulation T) : If you have a margin account, this report is a combination of your margin account and a special memorantum account. Trading on margin poses additional risks and is not suitable for a larvestors. A complete list ofter risks associated with margin trading is available in the margin risk disclosure document. You may obtain a copy of this document by contacting us at the number listed on page one of your statement.

Payment for Order Flow Disclosure (Rules 606 and 607): The firm receives compensation for deredig sleat and OTC securities, and options onch flow beschod merkederders (e.g., broken-dealers, exchanges and alternative trading-systems (including electronic communications networks)) for execution, Compensation generally is in the form of a per share or per comfact cash payment. To Ameritrade also many receive compensation related to the foreign currency exchange component of transactions in foreign securities from market centers executing such trades. To Ameritrade posts SEC Rule 606 quarterier yearons train include owder routing electoraries at www.tdamentrade.com. A written copy is available upon request, in addition, on request. In ID Ameritrade will provide the identity of the vente. In which your orders were routed for execution in the six months prior to the request, where the orders were directed orders or roundirected orders.

route order frowin seeking best execution for our clerus. For mondrected cleral orders, it is our poly to route orders to market centers based on a runter of factors that are more fully discussed in the Supplemental Nativities of FINRA Rule 350 in including where applicable, but not necessarily ikelhood of executions, the marketability of the order, size guarantees, service levels and support, the nebility of order handing systems; customer needs and expectations, transaction costs and whether the firm will receive renurseration for routing order flow to such market centers. Price improvement is a nealize under centain market conflictors and for certain order types and we regularly TD Ameritrade regularly assesses the execution quality provided by the market centers to which we imited to, speed of execution, price improvement opportunities, differences in price distingrovement, noritor executions to test for such improvement if available. Trade Confirmations (Rule 10b-10): All confirmations are transmitted on the transaction date. I you participate in the Dividend Reinvestment Plan (DRIP) details regarding the reinvestment of dividents will be included on your monthly statements. TD Ameritade will act as agent in having our DRIP purchases executed.

Futures/Options Disclosures for EU Clients: In accordance with the Packaged Retail and Insurance-based Investment Products Regulation - EU No 1286, retail investors based in the European Economic Area (EEA) can access Key Information Documents (KIDS) through the following landing page: https://tdameritrade.com/priips-regulation.page Taxes: Transactions in foreign securities (including foreign company ADRs that trade in the U.S.) may include taxes and fees charged by the foreign markets or governments, which may be frefected in the price of the security or charged as an independent line item.

Privacy Policy Notification: A copy of the TD Ameritrade privacy policy is available at

Callable Securities: The allocation of partial redemptions or calls is done using a pro-rata lottery system. A description of the procedures for callable securities is available on the website or hard copies are available upon request.

In case of errors or questions about your Electronic Fund Transfers, please contact us at 1-800-669-300, or in writing IP C.9. Box 2209, Chanke, IN E 6810,30 or by email at clientservices@(damertrade.com. The information contained in your account statement shall be binding upon your fly you do not object within sixty (60) days for any transfer of funds subject to binding upon your fly you do not object within sixty (60) days for any transfer of funds subject to Regulation. E, such as ATM and point-of-sale transfers, debit transactions, direct deposits, and withdrawals. We must hear from you no later than 60 days after we sent you the FIRST statement on which the error or problem appeared.

- Tell us your name and account numbe €@
- Describe the error or the transfer you are unsure about, and explain as clearly as you why you believe it is an error or why you need more information.
- (3) Tell us the dollar amount of the suspected error. We will investigate your complaint and will correct any error promptly. If we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

TDA 150 12/18



Statement Reporting Period: 08/01/19 - 08/31/19

TD Ameritrade Clearing, Inc., Member SIPC

<u>TD AMERITR</u>ADE DIVISION OF TD AMERITRADE INC

Statement for Account # LOREN WAYNE GILES

			Portfolio	Portfolio Summary			
	Current	Prior	Period	%	Estimated	Estimated	
Investment	Value	Value	Change	Change	Income	Yield	Portfolio Allocation
Cash	(\$1.61)	· У	(\$1.61)		ا &	•	
Insrd Dep Acct (IDA)	260,928.49	86.22	260,842.27	ı	,	0.12%	
Money Market	•	1	1	1		•	Stocks
Short Balance	ı				•	•	1.3%
Stocks	3,442.50	291,382.00	(287,939.50)	%(8.86)	,	ı	
Short Stocks	•	•	•		•	•	
Fixed Income	•	•			•	•	
Options	•	•	•	•	•	1	
Short Options	•	•	ı		•	ı	
Mutual Funds	•		•		•	•	
Other		•		-	•	1	<u> </u>
Total	\$264,369.38	\$291,468.22	(\$27,098.84)	(9.3)%	\$ 0.00	0.0%	IDA 98.7%
Margin Equity	100.0%						

Cash Activity Summary	7		Income & Ex	e & Expense Summary			Performance Summary	
	Current	YTD		Reportable	Non Reportable	YTD		
Opening Balance	\$ 0.00	ر ج	Income				Cost Basis As Of - 08/31/19 **	\$244,540.27
Securities Purchased	(646,211.85)	(1,492,136.50)	Dividends	, \$	ا ج	\$83.50	\$83.50 Unrealized Gains	•
Securities Sold	900,648.50	1,813,330.33 Interest	Interest	0.21	•	0.23	0.23 Unrealized Losses	(241,097.77)
Funds Deposited	6,400.00	6,400.00 Other	Other	•	•	1	Funds Deposited/(Disbursed) ***	(58,600.00)
Funds Disbursed	•	(65,000.00) Expense	Expense				Income/(Expense) ^{vrp}	(1,922.70)
Income	0.21	83.73	83.73 Interest	(1.82)	•	(2,006.43)	(2,006.43) Securities Received/(Delivered)***********************************	0.00
Expense	(1.82)	(2,006.43) Fees	Fees	- 1	•		**To view realized gains and losses for your account, login at	r account, login at
Other	(260,836.65)	(260,672.74)	Other	-	•	4	www.tdameritrade.com and visit My Account > Gain/Loss.	nt > Gain/Loss.
Closing Balance	(\$1.61)	(\$1.61) Net	Net	(\$1.61)	\$0.00	(\$1,922.70)		

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 104 of 355

Statement for Account # 08/01/19 - 08/31/19

	Online Cash Services Summary	
Description	Current	Year To Date
CREDITS		
Electronic Transfer	\$ 6,400.00	\$ 6,400.00
Subtotal	6,400.00	6,400.00
DEBITS		
Electronic Transfer	· &	\$ (65,000.00)
Subtotal	0.00	(65,000.00)
TOTAL	6,400.00	(58,600.00)
	Income Summary Detail*	
Description	Current	Year to Date
Interest Income Credit Balance	\$ 0.21	\$ 0.23
Margin Interest Charged	(1.82)	(2,006.43)
Qualified Dividends	0.00	83.50
IDA Interest	5.62	24.29
The state of the s	###: **********************************	

*This section displays current and year to date taxation values for this account. The current totals may not equate to the total payments listed on this statement as corrections to tax reporting may also be included. These corrections can include changes made to previous payments and removal of payments reportable in a previous tax year (spillover dividends). The year to date totals will accurately reflect your cumulative amount for the year.

			Acco	Account Positions						
	Symbol/		Current	Market	Market Purchase	Cost	Average	Unrealized	Estimated	pe
Investment Description	CUSIP	Quantity	Price	Value	Value Date	Basis	Cost	Gain(Loss)	Income	Yield
Stocks - Margin										
CHINA SHEN ZHOU MNG & RES INC	16942H109	1,100	∀ 2 \$	& AN &	\$ NA 12/30/10	\$ 9,865.99	\$ 8.97	\$ (9,865.99)	- ⇔	ı
COM DELISTED										
VIVUS INC COM	VVUS	850	4.05	3,442.50 03/23/12	03/23/12	234,674.28	276.09	(231,231.78)	1	ı
Total Stocks				\$3,442.50		\$244,540.27		\$(241,097.77)	\$0.00	0.0%
Total Margin Account				\$3,442.50		\$244,540.27	,	\$(241,097.77)	\$0.00	0.0%

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 105 of 355

				istal collection Tooling and collection	li open				
Category			Transaction Date		Saction Detail				Amount
CREDITS Electronic Transfer	Transfer		08/27/2019	ACH IN					\$ 6,400.00
Subtotal	ıtal								6,400.00
TOTAL									6,400.00
				Account Activity	itv				
Trade Date	Settle	Acct	Transaction/ Cash Activity*	Description	Symbol/	Ousptity	Orico	tano av	garage
Onening Balance	Salance						3		
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC	ВООМ	200-	\$ 48.84	\$ 9,760.82	9,760.82
				Commission/Fee 6.95 Regulatory Fee 0.23					
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC COM Regulatory Fee 0.45	ВООМ	400-	48.83	19,531.55	29,292.37
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC COM Regulatory Fee 0.11	ВООМ	100-	48.79	4,878.89	34,171.26
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC COM Regulatory Fee 0.01	ВООМ	-01	48.66	486.59	34,657.85
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC COM Regulatory Fee 0.11	ВООМ	100-	48.65	4,864.89	39,522.74
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC COM Regulatory Fee 0.10	ВООМ	-06	48.64	4,377.50	43,900.24
08/02/19	08/06/19	Margin	Sell - Securities Sold	DMC GLOBAL INC COM Regulatory Fee 0.23	ВООМ	200-	48.63	9,725.77	53,626.01
08/02/19	08/06/19 Margin	Margin	Sell - Securities Sold	DMC GLOBAL INC COM Regulatory Fee 3.47	ВООМ	3,075-	48.62	149,503.03	203,129.04
08/02/19	08/06/19 Margin	Margin	Buy - Securities Purchased	LUCKIN COFFEE INC ADR SPONSORED Commission/Fee 6.95	ᆽ	8,300	24.50	(203,356.95)	(227.91)

Statement for Account # 08/01/19 - 08/31/19

	Ca	ase	e 1:2	20-	cv-0		93-J			OCL	ımer	nt 3	847-4	•	Filed		3/06/		B Page	106 of	355	
		Balance	(141.69)	7,331.36	00'0	3,034.00	0.00	(4,633.00)	0.00	2,911.00	0.00	2,501.00	0.00	(5,863.00)	0.00	12,095.00	0.00	1,230.00	60,204.98	62,539.12	62,751.22	134,829.31
		Amount	86.22	7,473.05	(7,331.36)	3,034.00	(3,034.00)	(4,633.00)	4,633.00	2,911.00	(2,911.00)	2,501.00	(2,501.00)	(5,863.00)	5,863.00	12,095.00	(12,095.00)	1,230.00	58,974.98	2,334.14	212.10	72,078.09
		Price	0.00	0.00	0.00	00.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	00.0	0.00	00.0	0.00	00.0	21.24	21.22	21.21	21.20
		Quantity	1	ı		ı	•	ı		ı	ı	1	ı	ŀ	•	,	•	•	2,777-	110-	10-	3,400-
ity	Symbol/	CUSIP	ı	1		ı	ľ			ı		ı		ı	ı	1		•	ᆂ	ᅺ	¥	녹
Account Activity		Description	REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	MARK TO MARKET ADJ	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	MARK TO MARKET ADJ	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	MARK TO MARKET ADJ	REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	MARK TO MARKET ADJ	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	MARK TO MARKET ADJ	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	MARK TO MARKET ADJ	REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	MARK TO MARKET ADJ	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	MARK TO MARKET ADJ	LUCKIN COFFEE INC ADR SPONSORED Commission/Fee 6.95 Regulatory Fee 1.55	LUCKIN COFFEE INC ADR SPONSORED Regulatory Fee 0.06	LUCKIN COFFEE INC ADR SPONSORED	LUCKIN COFFEE INC ADR SPONSORED Regulatory Fee 1.91
	Transaction/	Cash Activity*	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Sell - Securities Sold	Sell - Securities Sold	Sell - Securities Sold	Sell - Securities Sold
	Acct	Type	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin	Margin
	Settle	Date	08/06/19	08/06/19	08/07/19	08/07/19	08/08/19	08/08/19	08/09/19	08/09/19	08/12/19	08/12/19	08/13/19	08/13/19	08/14/19	08/14/19	08/15/19	08/15/19	08/16/19	08/16/19	08/16/19	08/16/19
	Trade	Date	08/06/19	08/06/19	08/07/19	08/07/19	08/08/19	08/08/19	08/09/19	08/09/19	08/12/19	08/12/19	08/13/19	08/13/19	08/14/19	08/14/19	08/15/19	08/15/19	08/14/19	08/14/19	08/14/19	08/14/19

				Account Activity	tv				
Trade	Settle	Acct	Transaction/		Symbol/				
Date	Date	Type	Cash Activity*	Description	CUSIP	Quantity	Price	Amount	Balance
08/14/19	08/16/19	Margin	Sell - Securities Sold	LUCKIN COFFEE INC ADR SPONSORED	۲¥	င်္သ	21.19	105.95	134,935.26
08/14/19	08/16/19	Margin	Sell - Securities Sold	LUCKIN COFFEE INC ADR SPONSORED Regulatory Fee 1.50	국	2,702-	21.18	57,226.86	192,162.12
08/14/19	08/16/19	Margin	Seil - Securities Sold	LUCKIN COFFEE INC ADR SPONSORED Regulatory Fee 1.22	논	2,196-	21.1203	46,378.96	238,541.08
08/16/19	08/16/19	Margin	Journal - Other	PURCHASE FDIC INSURED DEPOSIT ACCOUNT		•	0.00	(149,421.58)	89,119.50
08/16/19	08/16/19	Margin	Journal - Other	MARK TO MARKET ADJ	ı	•	0.00	(5,371.00)	83,748.50
08/19/19	08/19/19	Margin	Journal - Other	REDEMPTION FDIC INSURED DEPOSIT ACCOUNT		•	0.00	8,252.00	92,000.50
08/19/19	08/19/19	Margin	Journal - Other	MARK TO MARKET ADJ	1	•	0.00	5,863.00	97,863.50
08/20/19	08/20/19	Margin	Journal - Other	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	ı		0.00	(8,956.00)	88,907.50
08/20/19	08/20/19	Margin	Journal - Other	MARK TO MARKET ADJ	ı	•	0.00	10,086.00	98,993.50
08/21/19	08/21/19	Margin	Journal - Other	PURCHASE FDIC INSURED DEPOSIT ACCOUNT			0.00	(15,571.00)	83,422.50
08/21/19	08/21/19	Margin	Journal - Other	MARK TO MARKET ADJ	ı	•	0.00	(3,854.00)	79,568.50
08/22/19	08/22/19	Margin	Journal - Other	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	ı	•	0.00	(78,041.05)	1,527.45
08/22/19	08/22/19	Margin	Journal - Other	MARK TO MARKET ADJ	1	•	0.00	(2,665.00)	(1,137.55)
08/23/19	08/23/19	Margin	Journal - Other	REDEMPTION FDIC INSURED DEPOSIT ACCOUNT		•	0.00	80,433.45	79,295.90
08/23/19	08/23/19	Margin	Journal - Other	MARK TO MARKET ADJ	ı	ı	0.00	(219.95)	79,075.95
08/22/19	08/26/19	Margin	Buy - Securities Purchased	SERVICENOW INC COM Commission/Fee 6.95	MOM	1,000	266.00	(266,006.95)	(186,931.00)
08/26/19	08/26/19	Margin	Journal - Other	REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	ı	1.	0.00	180,680.54	(6,250.46)

Statement for Account # 08/01/19 - 08/31/19

				Account Activity					
Trade	Settle	Acct	Transaction/		Symbol/				
Date	Date	Type	Cash Activity*	Description	CUSIP	Quantity	Price	Amount	Balance
08/26/19	08/26/19	Margin	Div/Int - Other	FDIC INSURED DEPOSIT ACCOUNT	MMDA1	•	0.00	3.90	(6,246.56)
				CORE NOT COVERED BY SIPC Interest: Insured					
				Deposit Account Bank NA Payable: 08/31/2019					
				Insured Deposit Account Interest 2.52					
08/26/19	08/27/19	Margin	- Funds Deposited	ACH IN	1	ı	00.0	6,400.00	153.44
08/27/19	08/27/19	Margin	Journal - Other	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	•	1	0.00	(153.44)	0.00
08/28/19	08/30/19	Margin	Sell - Securities Sold	SERVICENOW INC COM	NOW	1,000-	260.7858	260,773.33	260,773.33
		٠	•	Commission/Fee 6.95 Regulatory Fee 5.52					
08/30/19	08/30/19	Margin	Journal - Other	PURCHASE FDIC INSURED DEPOSIT ACCOUNT	•		0.00	(260,773.33)	0.00
08/30/19	08/30/19	Margin	Div/Int - Expense	MARGIN INTEREST CHARGE Payable: 08/30/2019	1	•	0.00	(1.82)	(1.82)
08/30/19	08/30/19	Margin	Div/Int - Income	INTEREST CREDIT Payable: 08/30/2019	ı		0.00	0.21	(1.61)
08/02/19	08/06/19	Short	Sell - Securities Sold	DMC GLOBAL INC COM	ВООМ	400-	48.85	19,532.60	19,530.99
				Commission/Fee 6.95 Regulatory Fee 0.45					
08/02/19	08/06/19	Short	Sell - Securities Sold	DMC GLOBAL INC COM Reculatory Fee 0.35	ВООМ	300-	48.71	14,612.65	34,143.64
08/02/19	08/06/19	Short	Sell - Securities Sold	DMC GLOBAL INC COM Regulatory Fee 0.44	BOOM	405-	48.69	19,719.01	53,862.65
08/02/19	08/06/19	Short	Sell - Securities Sold	DMC GLOBAL INC COM Regulatory Fee 1.02	ВООМ	895-	48.68	43,567.58	97,430.23
08/02/19	08/06/19	Short	Sell - Securities Sold	DMC GLOBAL INC COM Regulatory Fee 0.11	ВООМ	100-	48.67	4,866.89	102,297.12

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 108 of 355

Statement for Account # 08/01/19 - 08/31/19

С	Balance SB	I	33.44 -cv-01			29.39 <mark>O</mark>	18.39	17.39 OO	10.39 CD	15.39 <mark>H</mark>	32.39	3 6€.99	47- 68:86	1		100 100 100 100 100 100 100 100 100 100		6/23 8/23	Pa P	de 12,677.44 ab 1	8,374.44 60 0	t 35
	Bal	194,578.55	199,433.44	191,960.39	188,926.39	193,559.39	190,648.39	188,147.39	194,010.39	181,915.39	180,685.39	186,056.39	180,193.39	170,107.39	173,961.39	176,626.39	38,539.44	21,295.44	16,985.44	12,67	8,37	4,07
	Amount	92,281.43	4,854.89	(7,473.05)	(3,034.00)	4,633.00	(2,911.00)	(2,501.00)	5,863.00	(12,095.00)	(1,230.00)	5,371.00	(5,863.00)	(10,086.00)	3,854.00	2,665.00	(138,086.95)	(17,244.00)	(4,310.00)	(4,308.00)	(4,303.00)	(4,299.00)
	Price	48.5703	48.55	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	43.15	43.11	43.10	43.08	43.03	42.99
	Quantity	1,900-	100-	•	ı	•		,	1	1	t	•			1	,	3,200	400	100	100	100	100
GIVILY Symbol/	CUSIP	BOOM	ВООМ	•	ı	ı	ı	1	ı	1	•	1	1	1	ı	•	ВООМ	BOOM	BOOM	ВООМ	BOOM	ВООМ
Account Activity	Description	DMC GLOBAL INC COM Regulatory Fee 2.14	DMC GLOBAL INC COM Regulatory Fee 0.11	MARK TO MARKET ADJ	MARK TO MARKET ADJ	MARK TO MARKET ADJ	MARK TO MARKET ADJ	MARK TO MARKET ADJ	MARK TO MARKET ADJ	MARK TO MARKET ADJ	MARK TO MARKET ADJ	MARK TO MARKET ADJ	MARK TO MARKET ADJ	MARK TO MARKET ADJ	MARK TO MARKET ADJ	MARK TO MARKET ADJ	DMC GLOBAL INC COM Commission/Fee 6.95	DMC GLOBAL INC COM	DMC GLOBAL INC COM	DMC GLOBAL INC COM	DMC GLOBAL INC COM	DMC GLOBAL INC
Transaction/	Cash Activity*	Sell - Securities Sold	Sell - Securities Sold	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Journal - Other	Buy - Securities Purchased	Buy - Securities Purchased	Buy - Securities Purchased	Buy - Securities Purchased	Buy - Securities Purchased	Buy - Securities Purchased
Acct	Type .	Short	Short	Short	Short	Short	Short	Short	Short	Short	Short	Short	Short	Short	Short	Short	Short	Short	Short	Short	Short	Short
Settle	Date	08/06/19	08/06/19	08/06/19	08/07/19	08/08/19	08/09/19	08/12/19	08/13/19	08/14/19	08/15/19	08/16/19	08/19/19	08/20/19	08/21/19	08/22/19	08/23/19	08/23/19	08/23/19	08/23/19	08/23/19	08/23/19
Trade	Date	08/02/19	08/02/19	08/06/19	08/07/19	08/08/19	08/09/19	08/12/19	08/13/19	08/14/19	08/15/19	08/16/19	08/19/19	08/20/19	08/21/19	08/22/19	08/21/19	08/21/19	08/21/19	08/21/19	08/21/19	08/21/19

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 110 of 355

Statement for Account # 08/01/19 - 08/31/19

			Account Activity	Activity				
Trade Settle Date Date	Acct Type	Transaction/ Cash Activity*	Description	Symbol/ CUSIP	Quantity	Price	Amount	Balance
08/21/19 08/23/19	Short	Buy - Securities Purchased	DMC GLOBAL INC COM	ВООМ	100	42.97 (4	(4,297.00)	(221.56)
08/23/19 08/23/19	Short	Journal - Other	MARK TO MARKET ADJ	•	,	0.00	219.95	(1.61)
Closing Balance								(\$1.61)
For Cash Activity totals, ret	rer to the Cat	Tror Casn Activity totals, reter to the Cash Activity Summary on page one of your statement.	statement.					
			TD Ameritrade Cash Interest Credit/Expense	terest Credit/Exper	nse			
Begin		Margin	Credit	Number	Interest	Interest		Interest
Date		Balance	Balance	of Days	Rate	Debited		Credited
08/16/19		- 6	\$ 83,748.50	3	0.01	₩		\$ 0.07
08/19/19		ı	97,863.50	•	0.01	•		0.03
08/20/19		ı	98,993.50	_	0.01	1		0.03
08/21/19		1	79,568.50	← (0.01	•		0.02
08/26/19		- - -	6,075,95	<i>t</i>	0.01	, 6		90.0
61/07/00			9	_	10.50	1.82		•
	o (LApens		Position of the state of the st			\$1.8 <i>Z</i>		17.U&
Regin			Number		Jatoroct	MTR		
Date		Balance	-	Rafe	Accried	Accrised		O IN
08/01/19		\$ 86.22	5	0.0400	- 49	- -		- \$
08/06/19		0.00	-	0.0400	•			
08/07/19		7,331.36	_	0.0400	0.01	0.01		
08/08/19		5,732.36	4	0.0400	0.02	0.03		•
08/12/19		8,643.36	_	0.0400	0.01	0.04		1
08/13/19		5,281.36	2	0.0400	0.01	0.05		į
08/15/19		17,376.36	•	0.0400	0.02	0.07		ı
08/16/19		166,797.94	က	0.0700	96.0	1.03		į
08/19/19		158,545.94	_	0.0700	0.31	1.34		į
08/20/19		167,501.94		0.0700	0.32	1.66		1
08/21/19		183,072.94	.	0.0700	0.35	2.01		•
08/22/19		259,976.44	 (0.1199	0.85	2.86		•
08/23/19		180,680.54	m (0.0700	1.04	3.90		3.90
08/30/19		260,926.77	ა თ	0.0400 0.1199	1.72	1.72		1.72
Total Interest Income	a.							\$5.62

08/01/19 - 08/31/19 Statement for Account #

Date	Check	Date		Oct T	Tracking	Evponce		
Cleared	Number	Written	Transaction	Description	Code	Code	Amount	Balance
Opening Balance	ance							\$86.22
08/06/19	ī	08/06/19	Delivered	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC REDEMPTION FDIC INSURED DEPOSIT ACCOUNT			\$ (86.22)	00.0
08/07/19	•	08/07/19	Received	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	1		7,331.36	7,331.36
08/08/19	1	08/08/19	Received	FDICTION FOR THE POSITION FOR THE POSITI	ı	ı	3,034.00	10,365.36
08/09/19	1	08/09/19	Delivered	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC REDEMPTION FDIC INSURED DEPOSIT ACCOUNT		1	(4,633.00)	5,732.36
08/12/19	ı	08/12/19	Received	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	ı		2,911.00	8,643.36
08/13/19	1	08/13/19	Received	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	ı	ı	2,501.00	11,144.36
08/14/19	ŧ	08/14/19	Delivered	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	I	•	(5,863.00)	5,281.36
08/15/19	ı	08/15/19	Received	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	ı	1	12,095.00	17,376.36
08/16/19	ı	08/16/19	Received	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT		1	149,421.58	166,797.94
08/19/19		08/19/19	Delivered	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC REDEMPTION FDIC INSURED DEPOSIT ACCOUNT		•	(8,252.00)	158,545.94

Document 347-4

Filed 03/06/23

Page 111 of 355

Case 1:20-cv-01293-JPC

Statement for Account # 08/01/19 - 08/31/19

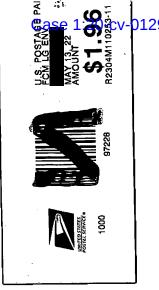
				Insured Deposit Account Activity	Activity			
Date	Check	Date			Tracking	Expense		
Cleared	Number	Written	Transaction	Description	Code	Code	Amount	Balance
08/20/19	ı	08/20/19	Received	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT	•	1	8,956.00	167,501.94
08/21/19	ı	08/21/19	Received	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT		ı	15,571.00	183,072.94
08/22/19		08/22/19	Received	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	•	ı	64,427.06	247,500.00
08/22/19	1	08/22/19	Received	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	•	t	13,613.99	261,113.99
08/23/19		08/23/19	Delivered	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	•	•	(13,613.99)	247,500.00
08/23/19	•	08/23/19	Delivered	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC REDEMPTION FDIC INSURED DEPOSIT ACCOUNT	ı		(66,819.46)	180,680.54
08/26/19	•	08/26/19	Delivered	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC REDEMPTION FDIC INSURED DEPOSIT ACCOUNT		1	(180,680.54)	0.00
08/27/19	•	08/27/19	Received	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	1		153.44	153.44
08/30/19	•	08/30/19	Received	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	ı		247,346.56	247,500.00
08/30/19	•	08/30/19	Received	FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC PURCHASE FDIC INSURED DEPOSIT ACCOUNT	1		13,426.77	260,926.77
08/30/19	, I	08/30/19	Received	Interest: Insured Deposit Account Bank USA	1	•	0.09	260,926.86

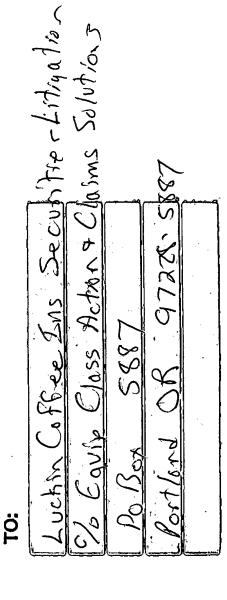
Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 112 of 355

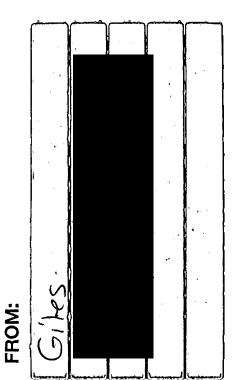
Statement for Account # 08/01/19 - 08/31/19

		Balance	260,928.49		\$260,928.49		
		Amount	1.63			\$247,501.63	\$13,426.86
	Expense	Code	1				
nt Activity	Tracking	Code					
Insured Deposit Account Activity	,	Description	Interest: Insured	Deposit Account Bank NA			
		on	Received				
	Date	Written	08/30/19 Received				
	Check	Number		•	ınce		A NA
	Date	Cleared	08/30/19		Closing Balance	TD Bank NA	TD Bank USA NA

FDIC Insured Deposit Account (IDA), balances reflected in your brokerage account are FDIC-insured up to applicable limits and held by one or more banks ("Program Banks"). Two of the Program Banks are TD Bank, N.A. and TD Bank USA, N.A., both affiliates of TD Ameritrade. The IDA balances are not covered by the Securities Investor Protection Corporation (SIPC) protection applicable to your brokerage account.







Loren W Giles (20194)

In re Luckin Coffee Inc. Securities Litigation
Toll-Free Number: 1-855-535-1824
Email: info@LuckinCoffeeSecuritiesLitigation.com
Website: www.LuckinCoffeeSecuritiesLitigation.com

PROOF OF CLAIM AND RELEASE FORM

To be eligible to receive a payment from the Settlement, you must complete and sign this Claim Form and mail it by first-class mail to the address below, or submit it online at www.LuckinCoffeeSecuritiesLitigation.com, with supporting documentation, postmarked (or received) no later than March 15, 2022.

Mail to:

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

Failure to submit your Claim Form by the date specified will subject your claim to rejection and may preclude you from being eligible to receive a payment from the Settlement.

Submit your Claim Form only to the Claims Administrator at the address set forth above.

TABLE OF CONTENTS				PAGE #
PART I – CLAIMANT INFORMATION	****************	•••••	************	2
PART I – CLAIMANT INFORMATION PART II – GENERAL INSTRUCTIONS	****************	* **		3-4
PART III – SCHEDULE OF TRANSACTIONS IN LUCKIN AMERICAN DEPOSITORY SHARES				
PART IV – RELEASE OF CLAIMS AND SIGNATURE				
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PART I - CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

First Name	Nam									МI		Last	Na	me											
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Name of Represent	ative,	if app	licat	ole (e	хес	utor	adı	nini.	stra	tor, ti	usi	ee, e	c/o,	etc.), if (diffe	rent	fro	m B	enet	icia	l Ov	vnei		
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PART II - GENERAL INSTRUCTIONS

- It is important that you completely read and understand the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice") that accompanies this Claim Form, including the Plan of Allocation of the Net Settlement Fund set forth in the Settlement Notice. The Settlement Notice describes the proposed Settlement, how Class Members are affected by the Settlement, and the manner in which the Net Settlement Fund will be distributed if the Settlement and Plan of Allocation are approved. The Settlement Notice also contains the definitions of many of the defined terms (which are indicated by initial capital letters) used in this Claim Form. By signing and submitting this Claim Form, you will be certifying that you have read and that you understand the Settlement Notice, including the terms of the releases described therein and provided for herein.
- 2. This Claim Form is directed to all persons and entities (and their beneficiaries) who purchased or otherwise acquired the American Depository Shares ("ADSs") of Luckin Coffee Inc. ("Luckin") during the Class Period (from May 17, 2019 through July 15, 2020, inclusive) (the "Class"). Included in the Class are all persons and entities who purchased Luckin ADSs on the open market and/or in or traceable to the May 17, 2019 Initial Public Offering ("IPO") and January 10, 2020 Secondary Public Offering ("SPO") during the Class Period. Certain persons and entities are excluded from the Class by definition as set forth in ¶ 25 of the Settlement Notice.
- 3. By submitting this Claim Form, you will be making a request to receive a payment from the Settlement described in the Settlement Notice. IF YOU ARE NOT A CLASS MEMBER (see the definition of the Class on page 6 of the Settlement Notice, which sets forth who is included in and who is excluded from the Class), OR IF YOU, OR SOMEONE ACTING ON YOUR BEHALF, SUBMITTED A REQUEST FOR EXCLUSION FROM THE CLASS, DO NOT SUBMIT A CLAIM FORM. YOU MAY NOT, DIRECTLY OR INDIRECTLY, PARTICIPATE IN THE SETTLEMENT IF YOU ARE NOT A CLASS MEMBER. THUS, IF YOU ARE EXCLUDED FROM THE CLASS, ANY CLAIM FORM THAT YOU SUBMIT, OR THAT MAY BE SUBMITTED ON YOUR BEHALF, WILL NOT BE ACCEPTED.
- 4. Submission of this Claim Form does not guarantee that you will be eligible to receive a payment from the Settlement, if it is approved. The distribution of the payments to eligible purchasers of Luckin ADSs will be governed by the Plan of Allocation set forth in the Settlement Notice, if it is approved by the Court, or by such other plan of allocation as the Court approves.
- 5. Use the Schedule of Transactions in Part III of this Claim Form to supply all required details of your transaction(s) in, and holdings of, Luckin ADSs. On this schedule, provide all of the requested information with respect to your holdings, purchases, acquisitions, and sales of Luckin ADSs (including free transfers and deliveries), whether such transactions resulted in a profit or a loss. Failure to report all transaction and holding information during the requested time period may result in the rejection of your claim.
- 6. <u>Please note</u>: Only Luckin ADSs purchased or acquired from May 17, 2019 through July 15, 2020, inclusive, are eligible for payment under the Settlement. However, sales of Luckin ADSs during the period from July 16, 2020 through and including the close of trading on October 20, 2021, will be used for purposes of calculating your claim under the Plan of Allocation. Therefore, in order for the Claims Administrator to be able to balance your claim, the requested purchase/acquisition and sale/disposition information during this period must also be provided.
- 7. You are required to submit genuine and sufficient documentation for all of your transactions in and holdings of Luckin ADSs as set forth in the Schedule of Transactions in Part III of this Claim Form. Documentation may consist of copies of brokerage confirmation slips or monthly brokerage account statements, or an authorized statement from your broker containing the transactional and holding information found in a broker confirmation slip or account statement. The Settling Parties and the Claims Administrator do not independently have information about your investments in Luckin ADSs. IF SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN COPIES OF THE DOCUMENTS OR EQUIVALENT DOCUMENTS FROM YOUR BROKER. FAILURE TO SUPPLY THIS DOCUMENTATION MAY RESULT IN THE REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL DOCUMENTS. Please keep a copy of all documents that you send to the Claims Administrator. Also, do not highlight any portion of the Claim Form or any supporting documents.
- 8. Traceability of Luckin ADSs to Public Offerings in the Class Period. Public offerings of Luckin ADSs occurred during the Class Period on or about (i) May 17, 2019 (the IPO); and (ii) January 10, 2020 (the SPO). Claimants who purchased Luckin ADSs directly in one or both of the offerings, or who purchased shares "traceable" to one or both of the offerings (as opposed to generally on the open market) may be entitled to additional compensation under the Plan of Allocation. All Luckin ADSs purchased from May 17, 2019 through January 9, 2020 are assumed to be traceable to the IPO. However, if you purchased Luckin ADSs from January 10, 2020 through July 15, 2020 that were not purchased directly in the SPO but that you believe are specifically traceable to Luckin ADSs that were issued in the IPO or SPO, you must submit documentation with your Claim Form showing that the specific ADSs you purchased were shares issued in the IPO or SPO.
- 9. Use Part I of this Claim Form entitled "CLAIMANT INFORMATION" to identify the beneficial owner(s) of the Luckin ADSs. The complete name(s) of the beneficial owner(s) must be entered. If you held the Luckin ADSs in your own name, you were the beneficial owner as well as the record owner. If, however, your Luckin ADSs were registered in the name of a third party, such as a nominee or brokerage firm, you were the beneficial owner of the ADSs, but the third party was the record owner. The beneficial owner, not the record owner, must sign this Claim Form to be eligible to participate in the Settlement. If there were joint beneficial owners, each must sign this Claim Form and their names must appear as "Claimants" in Part I of this Claim Form.

- 10. One Claim should be submitted for each separate legal entity or separately managed account. Separate Claim Forms should be submitted for each separate legal entity (e.g., an individual should not combine his or her IRA holdings and transactions with holdings and transactions made solely in the individual's name). Generally, a single Claim Form should be submitted on behalf of one legal entity including all holdings and transactions made by that entity on one Claim Form. However, if a single person or legal entity had multiple accounts that were separately managed, separate Claims may be submitted for each such account. The Claims Administrator reserves the right to request information on all the holdings and transactions in Luckin ADSs made on behalf of a single beneficial owner.
- 11. Agents, executors, administrators, guardians, and trustees must complete and sign the Claim Form on behalf of persons represented by them, and they must:
 - (a) expressly state the capacity in which they are acting;
 - (b) identify the name; account number; last four digits of the Social Security Number, taxpayer identification number, or comparable identification number for non-U.S. claimants; address; and telephone number of the beneficial owner of (or other person or entity on whose behalf they are acting with respect to) the Luckin ADSs; and
 - (c) furnish herewith evidence of their authority to bind to the Claim Form the person or entity on whose behalf they are acting. (Authority to complete and sign a Claim Form cannot be established by stockbrokers demonstrating only that they have discretionary authority to trade securities in another person's accounts.)
 - 12. By submitting a signed Claim Form, you will be swearing that you:
 - (a) own(ed) the Luckin ADSs you have listed in the Claim Form; or
 - (b) are expressly authorized to act on behalf of the owner thereof.
- 13. By submitting a signed Claim Form, you will be swearing to the truth of the statements contained therein and the genuineness of the documents attached thereto, subject to penalties of perjury under the laws of the United States of America. The making of false statements, or the submission of forged or fraudulent documentation, will result in the rejection of your claim and may subject you to civil liability or criminal prosecution.
- 14. Payments to eligible Authorized Claimants pursuant to the Plan of Allocation will be made after final approval of the Settlement and any appeals from such approval, and after the completion of all claims processing. The claims process will take substantial time to complete fully and fairly. Please be patient.
- 15. PLEASE NOTE: As set forth in the Plan of Allocation, each Authorized Claimant shall receive his, her, or its pro rata share of the funds available under the Settlement. If the prorated payment to any Authorized Claimant calculates to less than \$10.00, it will not be included in the calculation and no distribution will be made to that Authorized Claimant.
- 16. If you have questions concerning the Claim Form, or need additional copies of the Claim Form, you may contact the Claims Administrator, Epiq Class Action & Claims Solutions, Inc., at the address on the first page of this Claim Form, by email at info@LuckinCoffeeSecuritiesLitigation.com, or by toll-free phone at 1-855-535-1824, or you can visit the website, www.LuckinCoffeeSecuritiesLitigation.com, where copies of the Claim Form and other relevant documents are available for downloading.
- 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. To obtain the *mandatory* electronic filing requirements and file layout, you may visit the Scttlement website at www.LuckinCoffeeSecuritiesLitigation.com or you may email the Claims Administrator's electronic filing department at info@LuckinCoffeeSecuritiesLitigation.com. Any file not in accordance with the required electronic filing format will be subject to rejection. The *complete* name of the beneficial owner of the securities must be entered where called for (see ¶ 9 above). No electronic files will be considered to have been submitted unless the Claims Administrator issues an email to that effect. Do not assume that your file has been received until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at info@LuckinCoffeeSecuritiesLitigation.com to inquire about your file and confirm it was received.

IMPORTANT: PLEASE NOTE

YOUR CLAIM IS NOT DEEMED FILED UNTIL YOU RECEIVE AN ACKNOWLEDGEMENT POSTCARD. THE CLAIMS ADMINISTRATOR WILL ACKNOWLEDGE RECEIPT OF YOUR CLAIM FORM WITHIN 60 DAYS OF YOUR SUBMISSION. IF YOU DO NOT RECEIVE AN ACKNOWLEDGEMENT POSTCARD WITHIN 60 DAYS, CONTACT THE CLAIMS ADMINISTRATOR TOLL FREE AT 1-855-535-1824.

PART III - SCHEDULE OF TRANSACTIONS IN LUCKIN ADSs

Use this section to provide information on your holdings and trading of Luckin ADSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 7 above.

list each and every principled in the close of	urchase or acquisition trading on July 15, 20: 10, 2020 Secondary	(including free receipts) 20. Include Luckin ADSs Public Offering and Lu	GH JULY 15, 2020, INCLUS of Luckin ADSs from May 17, purchased in Luckin's May 17, eckin ADSs purchased on the	2019 through and 2019 Initial Public
Date of Purchase/ Acquisition (List Chronologically)	Number of ADSs Purchased/	Purchase Price Per ADS	pur or to Total Purchase Price 201	Vere the shares -chased in traceable the May 19 IPO or Jan. 2020 SPO? Vere the shares Confirm Proof of Purchase/Acquisition SPO?
(Month/Day/Year)	Acquired 4 & 5	24.81	• I	
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2. PURCHASES/ACQ total number of Luckin October 20, 2021. If non	ADSs purchased or acqu	JLY 16, 2020 THROUG aired (including free receip	CH OCTOBER 20, 2021, INCLA ots) from July 16, 2020 through the	USIVE – State the close of trading on
3. SALES FROM MA disposition (including fr October 20, 2021. (Must	ee deliveries) of Luckin A	H OCTOBER 20, 2021 ADSs from May 17, 2019 th	- Separately list each and every rough and including the close of tra	sale or ading on CHECK HERE
Date of Sale (List Chronologically) (Month/Day/Year)	Number of ADSs Sold	Sale Price Per ADS	Total Sale Price (not deducting any fees, commissions, a	Confirm Proof of Sale and taxes) Enclosed
080514	45	23.40	11197.	
		• 📗	•	
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		• -		
			•	
4. HOLDINGS AS OF October 20, 2021. (Must	be documented.) If none,	tate the total number of Luck, write "zero" or "0."	ckin ADSs held as of the close of tr.	ading on Confirm Proof of Position Enclosed
SAME FORMAT, PR	INT THE BENEFICI ER IDENTIFI <u>CA</u> TION	AL OWNER'S FULL N	ABOVE, ATTACH EXTRA SCH NAME AND LAST FOUR DIC DDITIONAL PAGE. IF YOU DO	GITS OF SOCIAL

Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

PART IV - RELEASE OF CLAIMS AND SIGNATURE

YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON PAGE 7 OF THIS CLAIM FORM.

I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) and my (our) (the claimant(s)') heirs, executors, administrators, predecessors, successors, and assigns, in their capacities as such, shall be deemed to have, and by operation of law and of the judgment shall have, fully, finally, and forever compromised, settled, released, resolved, relinquished, waived, and discharged each and every Released Plaintiffs' Claim against Luckin and the other Defendants' Released Parties, and shall forever be barred and enjoined from prosecuting any or all of the Released Plaintiffs' Claims against any of the Defendants' Released Parties in any jurisdiction.

CERTIFICATION

By signing and submitting this Claim Form, the claimant(s) or the person(s) who represent(s) the claimant(s) agree(s) to the release above and certifies (certify) as follows:

- 1. that I (we) have read and understand the contents of the Settlement Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;
- 2. that the claimant(s) is a (are) Class Member(s), as defined in the Settlement Notice, is (are) not excluded by definition from the Class as set forth in the Settlement Notice and did *not* submit a request for exclusion from the Class;
- 3. that I (we) own(ed) the Luckin ADSs identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Defendants' Released Parties to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
- 4. that the claimant(s) has (have) not submitted any other claim covering the same purchases of Luckin ADSs and knows (know) of no other person having done so on the claimant's (claimants') behalf;
- 5. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;
- 6. that I (we) agree to furnish such additional information with respect to this Claim Form as Class Counsel, the Claims Administrator, or the Court may require;
- 7. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this claim, and waives any right of appeal or review with respect to such determination;
- 8. that should Luckin determine in its absolute discretion that the Settlement should also be implemented in the Cayman Islands by way of a scheme of arrangement promulgated under section 86 of the Cayman Islands Companies Act 1981 (the "Scheme"), the claimant(s) appoint(s) Sjunde AP-Fonden and Louisiana Sheriff's Pension & Relief Fund as its/their proxy to vote in favor of the Scheme at all meetings convened for the purpose of approving the Scheme;
- 9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and
- 10. that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.

UNDER THE PENALTY OF PERJURY UNDER THE LAWS OF THE UNITED STATES, I (WE) CERTIFY THAT ALL OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM FORM IS TRUE, CORRECT, AND COMPLETE, AND THAT THE DOCUMENTS SUBMITTED HEREWITH ARE TRUE AND CORRECT COPIES OF WHAT THEY

PURPORT TO BE. Signature of claimant : : Print claimant name here Date: MM Signature of joint claimant, if here Print joint claimant name here If the claimant is other than an individual, or is not the person completing this form, the following also must be provided: Date: DD MM YYYY Signature of person signing on behalf of claimant Print name of person signing on behalf of claimant here ţ

Capacity of person signing on behalf of claimant, if other than an individual, e.g., executor, president, trustee, custodian, etc. (Must provide evidence of authority to act on behalf of claimant – see ¶ 11 on page 4 of this Claim Form.)

REMINDER CHECKLIST

- 1. Sign the above release and certification. If this Claim Form is being made on behalf of joint claimants, then both must sign.
- 2. Attach only copies of acceptable supporting documentation as these documents will not be returned to you.
- Do not highlight any portion of the Claim Form or any supporting documents.
- 4. Keep copies of the completed Claim Form and documentation for your own records.
- 5. The Claims Administrator will acknowledge receipt of your Claim Form by mail, within 60 days of your submission. Your claim is not deemed filed until you receive an acknowledgement postcard. If you do not receive an acknowledgement postcard within 60 days, please call the Claims Administrator toll free at 1-855-535-1824.
- 6. If your address changes in the future, or if this Claim Form was sent to an old or incorrect address, you must send the Claims Administrator written notification of your new address. If you change your name, inform the Claims Administrator.
- 7. If you have any questions or concerns regarding your claim, contact the Claims Administrator at the address below, by email at info@LuckinCoffeeSecuritiesLitigation.com, or by toll-free phone at 1-855-535-1824, or you may visit www.LuckinCoffeeSecuritiesLitigation.com.

This Claim Form must be mailed to the Claims Administrator by first-class mail or submitted online at www.LuckinCoffeeSecuritiesLitigation.com, postmarked (or received) no later than March 15, 2022. If mailed, the Claim Form should be addressed as follows:

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if a postmark date on or before March 15, 2022 is indicated on the envelope and it is mailed First Class, and addressed in accordance with the above instructions. In all other cases, a Claim Form shall be deemed to have been submitted when actually received by the Claims Administrator.

You should be aware that it will take a significant amount of time to fully process all of the Claim Forms. Please be patient and notify the Claims Administrator of any change of address.



Attachments



Patch Code 3

EXTRADE



PAGE 1 OF 6

August 1, 2019 - August 31, 2019

Account Number: Account Type:

IRA - CONTRIBUTORY



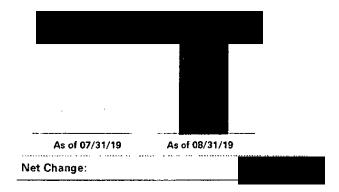
Customer Update:

Keep your information up to date. Check that your profile is current and correct for security purposes. Visit etrade.com/myprofile to reviéw your account info.

Want to get important documents faster? Get your statements, confirms, and tax forms online with paperless delivery. Enroll at etrade.com/paperless.

LOREN W GILES IRA ETRADE CUSTODIAN

Account At A Glance



DETACH HERE LOREN W GILES IRA ETRADE CUSTODIAN

Make checks payable to E*TRADE Securities LLC

Mail deposits to:

E*TRADE SECURITIES LLC

DETACH HERE

Use This Deposit Slip

Check Amount \$ Year of Contribution: 2019 Rollover Acct:

To contribute to your IRA, please use our online Transfer Money service at www.etrade.com/transfermoney or use this deposit slip.



Please refer to the E*TRADE Securities LLC (*ETS*) Customer Agreement (the "Customer Agreement") for a complete discussion of the terms and conditions governing your account. If you have questions regarding the Customer Agreement or your account, please entail us through errade.com or call 800-ETRADET. THE INFORMATION CONTAINED INYOUR ACCOUNT STATEMENT SHALL BE BINDING UPON YOU IF YOU DO NOT OBJECT, EITHER INWRITING OR VIA ELECTRONIC MAIL. WITHIN FIVE (5) DAYS AFTER THE ACCOUNT STATEMENT IS FIRST RECEIVED BY YOU. In case of errors or questions about your statement esteroincit transfers please telephone us at 800-ETRADE-I immediately or write us at E*TRADE Securities LLC, PO Box 484, Jersey City, NJ 07303-0484, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. We must hear from you no later than 60 days after we sent you the FIRST statement on which the error or the problem appeared. When you contact us, you must:

1. Tell us your name, account number, and ATM card or Check card number.

2. Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe there is an error or why you need more information.

- Tell us the dollar amount of the suspected error.

We will investigate your complaint and will correct any error promptly. If we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

Securities products and services are offered by ETS, Member FINRA/SIPC. Your account is carried by ETS, Member FINRA/SIPC, which maintains your funds and securities deposited with ETS directly by you. Inquiries concerning the positions and balances in your account may be directed to ETS at 800-503-9260. All other inquiries regarding your account or the activity therein should be directed to ETS. Please promptly report any inaccuracy or discrepancy in your account to ETS at 800-503-9260. You should re-confirm any oral communication in writing to further protect your rights, including rights under the Securities Investor Protection Act.

Applicable Rules and Regulations, All transactions in your account shell be subject to the constitution, rules, regulations, customs, and usages of the exchange or market, and its clearing house, where the transactions are executed by ETS or its agents, including ETS affiliates. Also, where applicable, the transactions shall be subject to the provisions of the Securities Act of 1933, as amended, the Securities Exchange Act of 1934, as amended, and the rulesand regulations of the Securities Exchange Commission ("SEC"), the Board of Governors of the Federal Reserve System, and any applicable self-regulatory organization. For information about FINRA's Broker Check Program, including an investor brochure, pleasecontact FINRA at 800-239-9999 or www.finra.org.

Securities Pricing. The amounts printed in the total market value column of the Account Holdings section, or any amounts derived therefrom, are based on US month end prices and are provided to us by outside quotation services for the securities currently held by us in your account. Prices of municipal bonds, certain over-the-counter securities, and federal obligations are approximations and are only for guidence purposes. The prices used are based on the fast reported transaction known to the quotation services or the yields or values that are calculated on the basis of these prices. The value of brokered CDs reflected on this statement is estimated by a third-party pricing service. Actual value may differ if you elect to sell your CD(s) in the secondary market.

Interest/Dividends. We are required by law to report annually to you and to the Internet Revenue Service on Form 1099 any taxable interest, dividends, and capital gains credited to your account, as well as any taxes withheld. The year-to date figures shown on your statement reflects these amounts classified to the best of our current knowledge based on activity in certain circumstances, payments may be subject to reclassification, such reclassifications will be reflected to the Internal Revenue Service on your Form 1099. Your statement may not reflect all adjustments required for tax purposes, please refer to your tax documents.

SIPC and other Insurance Coverage. ETS is a member of the Securities investor Protection Corporation (ISIPC). SIPC currently protects the assets in each of your securities accounts at ETS up to \$500,000 (including \$250,000 for claims for cash). Visit www.sipc.org or call 202-371-8300 for more information including a brochuse on SIPC protection. (Please note that money market mutual fund belances are not considered cash; they are considered to be securities.) Additional protection for ETS has been secured through an independent insurer, more information about which can be found at https://ws.etrade.com/customer-service/fag. The market fishs associated with investing and any resulting losses are not covered by SIPC or the additional protection.

Payment for Order Flow. The SEC (as well as FINRA) requires that all broker-dealers inform their customers when a new account is opened, and on an annual basis thereafter, of payment for order flow practices (compensation received for placing orders through specialists on national securities exchanges, over-the-counter marker makers, alternative trading systems, and ECN's (collectively, "market centers")). Consistent with the overriding principle of best execution, ETS routes orders to various market centers. ETS receives remuneration (generally in the form of per share cash payments or through profit sharing arrangements) for routing orders in securities to particular market centers for secution. Such remuneration is considered compensation to ETS, and the source and emount of any compensation received in connection with your transaction will be disclosed to you upon written recuest. ETS, absent instructions from you to the contrary, takes a number of factors into consideration in determining where to route customers' orders, including the speed of execution, price improvement opportunities (execution at prices superior to the the prevailing inside market), automatic execution guarantees, the availability of efficient and refable order hondling systems, the level of service provided, the cost of execution and whether it will receive cash or non-cash payments for routing order flow, and reciprocal business arrangements.

Margin Accounts. The amount of margin required will be the greater of (1) the amount required by applicable laws, regulations, the rules of applicable self-regulatory organizations and clearinghouses, or (2) the amount required by ETS in its sole discretion. You will be charged interest on a daily basis on all debit betances that you owe to ETS and on credit extended to you by ETS for the purpose of purchasing, carrying, or trading in securities or otherwise. Interest is calculated on a 360-day basis using settlement date balances. Except as otherwise agreed by you and ETS, the applicable interest rate for margin loans will be determined by adding the preveiting base rate and the applicable siding scale percentage rate, which is in turn determined by your average daily debit balance. Your stated interest rate is subject to change without notice during each period in accordance with fuculations. In your average daily debit balance and changes to the base rate that are attributable to a change in the Federal Funds rate. ETS will provide you with at least 30 days prior written notice before changing your stated interest rate for any other reason. Information about ETS's base rate is available upon written request to ETS. For more information on how ETS calculates interest, please see the Customer Agroemont. If you have a margin account, this statement is a combined statement record of the separate secount as required by Regulation T of the Federal Reserve Board is available for your inspection.

Free Credit Balances. Any cash balances in your securities account, which represent an obligation of ETS, are payable to you upon demand and referred to as free credit balances. Your free credit cash balances: 1) can be maintained in the securities account and will earn interest inhough the "Cash Balance Program" as more fully described an www.erado.com/cashbalance, and 2) as such are held unsegregated and may be used by ETs in the conduct of its business, subject to the limitations of Rule 15c3-3 under the Securities Exchange Act of 1934. Your free credit cash balances can alternatively be directed to other cash balance options.

Other Cash Balance Option. In addition to the Cash Balance Program you may have The option to have free credit belances in your securities account automatically transferred to a bank sweep product, which is an account at a bank (or banks, collectively, "Program Banks") whose deposits are insured by the FDIC. but which are not obligations of ETS. Accounts opened prior to May 10, 2018 may also be sligible to have their free credit balances transferred to certain money market mutual funds. For detailed information about the products available for free credi balances go to www.etrade.com/sweepopbons ("Sweep Program") The products available under the Sweep Program may change at any time. Notification of changes will be provided to the extent required by applicable law. Additionally, you may at any time change your selection among the products available in Additionally, you may at any time change your selection among the products available in the Sweep Program. You may elect, subject to any limitation set forth in any Sweep Program agreement or, with respect to an account at a bank, under federal banking laws (which includes, without limitation, program banks' potential requirement of seven days' notice before permitting a withdrawal or transfer of funds from such account that the bank depost account be returned, or shares of the money market mutual fund in which you have a beneficial interest be liquidated and the proceeds returned, as applicable, to the securities account or remitted to you. With respect to your decision to constitute the above the proposition to the processing the proposition to the processing that the processing the proce participate in a bank sweep product, please remember you are responsible for monitoring the cash balance of your bank sweep accounts deposited with the Program Banks to determine whether you have total deposit balances held in the asme capacity at any Program Bank in excess of the \$250,000 FDIC deposit insurance limit.

Options Trading. If you are approved for options tracing, you are responsible for advising ETS of any material changes in your investment objectives or financial situation. Additionally, further information regarding commissions and other changes releated to the execution of option transactions has been included in the confirmations of such transactions previously provided to you Such information will also be made available promptly upon request.

Random Allocation of Options Assignment Notices. Assignment notices for short option contracts are allocated among customer short option positions in accordance with a random allocation method. A detailed description of ETS's random allocation method is available at *etrade.com* and a hard copy of the allocation procedures is available upon request.

Financial Statement. A financial statement of ETS is available for your inspection at its offices or at etrade.com or will be mailed to you upon your written request.

its offices or at etrade.com or will be mailed to you upon your written request.

Valuation of Certain Alternative Investments (Including DPP and REIT securities). Account statements for Individual Retrement Accounts may include valuations for alternative investments. The values of such investments are estimated and reflect either the most recent valuation provided to ETS by the issuer of the investment, or a valuation provided by an independent third party, which ETS will obtain as part of its services, on an annual or more frequent basis. ETS does not provide a guarantee of the value or the appropriateness of the appraisal methodology expliced by the independent third party in providing a value and ETS assumes no responsibility for verifying the accuracy of any valuation presented. Failure of the issuer to provide a timetry valuation is your sole responsibility. The investment may reflect no value if a valuation was unavailable or inaccurate. Investment in non-publicly traded securities, which includes alternative investments. Because there is generally no secondary market for alternative investments. Because there is generally no secondary market for alternative investments the values reported to you should not be relied upon as any indication of market value. You may be able to sell your interests in the alternative investments felt in your second, if at all, only for amounts that are substantially less than their purchase price or the estimated values showing on you account strengths in the alternative investment reflects a distributions as a computed and an entire investment per shate estimated value is also reported. Pricing and distribution information has been provided by the sponsor, issuer or other external party responsible for reporting of the DPP or REIT and the sponsor, issuer or other external party responsible for reporting of the DPP or REIT and the sponsor, issuer or other external party responsible for reporting of the DPP or REIT and the sponsor, issuer or other external party responsible f

ETS is an indirect subsidiary of E*TRADE Financial Corporation. If you have a complaint, please call 800-E*TRADE1, or write to: E*TRADE Securities LLC,P.O. Box 484, Jersey City, NJ 07303-0484.

Definitions:

Activity/Trade Date. Trade date or transaction date of other entries.

Total Portfolio Percent. Percentage of your holding by issue of security.

DIVCPNY Vield. Annual dividend or bond % yield.

Open Orders. Buy or sell orders for securilles that have not yet been executed or

conceied.

Symbol/CUSIP. The symbol or identification number for each security.

"Denotes a security where either the country of Issue or country of incorporation of the issuer is outside the US.

Pending and Unsettled Transactions. 8ased on the timing of statement generation, the value of certain unsettled trades and/or pending transactions (e.g., transactions that take place following the last business day of the month) may not be reflected on your statement. Please e-mail us through etrade.com or call 800-ETRADE1 with any questions.



Account Number:

Statement Period: August 1, 2019 - August 31, 2019

Account Type: IRA - CONTRIBUTORY

Customer Update:

ASSET ALLOCATION (AS OF 08/31/19)

Invest on the go.

With the E*TRADE Mobile app, you have everything you need in the palm of your hand—investing.

Weith the E*TRADE Mobile app, you have everything you need in the palm of your hand—investing.

Trading, research, easy-to-use tools, and more. Visit etrade.com/mobile to learn more.

ACCOUNT OVERVIEW

Last Statement Date:

July 31, 2019

() Beginning Account Value (On 07/31/19): Ending Account Value (On 08/31/19): Net Change: For current rates, please visit etrade.com/rates

ACCOUNT VALUE SUMMARY

% CHANGE

AS OF 07/31/19

AS OF 08/31/19

YEAR TO DATE

THIS PERIOD

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2018 Contribution 2019 Contribution

RETIREMENT ACTIVITY SUMMARY

Total Cash/Margin Debt Cash & Equivalents

Stocks, Options & ETF (Long) Total Value of Securities

Net Account Value

\$250,000. Securities products and cash balances other than Sweep Deposit Account funds are not FOIC-insured, are not guaranteed deposits or obligations of E*TRADE Bank, and are subject to investment risk, including possible loss of the principal invested. Sweep Deposit Account is a bank deposit account with E*TRADE Bank, a Federal savings bank, Securities products and services are offered by E*TRADE Securities LLC, Member FINRA/SIPC. Member FDIC. Sweep deposit accounts at each bank are FDIC-insured up to a maximum of

E*TRADE Securities LLC •

PAGE 3 OF



Account Number:

NET ACCOUNT VALUE BY MONTH END

Statement Period: August 1, 2019 - August 31, 2019

Account Type: IRA - CONTRIBUTORY

ACCOUNT TRANSACTION SUMMARY

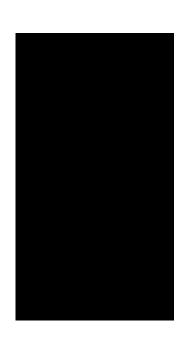
DESCRIPTION

THIS PERIOD

YEAR TO DATE

ശ ശ Ø ₩ 69 ம Ø Securities Purchased Dividends Received Interest Received Securities Sold Tax Exempt Tax Exempt Refer to the Retirement Activity Summary section on page 3 for a summary of your retirement account transactions.

TOP 10 ACCOUNT HOLDINGS (AS OF 08/31/19)



E*TRADE Securities LLC

PAGE 4 OF 6





Statement Period: August 1, 2019 - August 31, 2019

Account Type: IRA - CONTRIBUTORY

ACCOUNT HOLDINGS

Account Number:

CASH & CASH EQUIVALENTS (0.01% of Holdings)

PORTFOLIO % DESCRIPTION

AMOUNT

Retirement Sweep Deposit Account Program

Opening Balance Closing Balance

Average Balance

Retirement Sweep Deposit Account Program Balance by Bank as of August 31, 2019

ETRADE BANK

The E*TRADE Financial Retirement Sweep Deposit Account Program (*RSDA Program'd) is a bank sweep program associated with eligible E*TRADE Securities LLC. The RSDA Program is balances held in retirement accounts are swept to bank deposit accounts at E*TRADE Bank and E*TRADE Savings Bank, which are affiliates of E*TRADE Securities LLC. The RSDA Program is designed to offer up to \$500,000 in FDIC deposit insurance coverage to eligible retirement accounts. RSDA Program balances held at the affiliated banks are not covered by SIPC protection. Your balance in the RSDA Program is available to your retirement account for your investment and use upon your request. To learn more about the RSDA Program, please review your RSDA Program Customer Agreement, visit www.etrade.com, or call us at 1-800-387-2331.

TOTAL CASH & CASH EQUIVALENTS

STOCKS, OPTIONS & EXCHANGE-TRADED FUNDS (99.99% of Holdings)

EST. ANNUAL YELD (%)	
YELL	
ESI	
AE ME	
EST. ANNUAL INCOME	
EST.	
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PORTFOUO (%)	
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TOTAL MKT VALUE	
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PRICE	
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QUANTITY	
QUANTITY	
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ACCT TYPE	
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SYMBOL/ CUSIP	
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NOLLA	
DESCRIPTION	
5	

E*TRADE Securities LLC

PAGE 5 OF 6

AMOUNT CREDITED

AMOUNT

SYMBOL/ CUSIP

DESCRIPTION

TRANSACTION

DIVIDENDS & INTEREST ACTIVITY



EXTRADE Securities

Individual Retirement Account

Account Number:

Statement Period: August 1, 2019 - August 31, 2019

Account Type: IRA - CONTRIBUTORY

TRANSACTION HISTORY

言いい		VECURITIES PURCHASED OR SOLD						
TRADE DATE	SETTLEMENT DATE	SETTLEMENT DESCRIPTION DATE	SYMBOL/ CUSIP	TRANSACTION	QUANTITY	PRICE	AMOUNT PURCHASED	AMOUNT
08/02/19 09:39		08/06/19 ***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARFS	יג	Bought	485	24.8150	12,042.23	
08/05/19 15:34	08/07/19	***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES	ΓĶ	Sold	485	23.1030		11,197.71

RETIREMENT SWEEP DEPOSIT ACCOUNT PROGRAM (RSDA) ACTIVITY (0.0300% APY/0.0500%APY Earned as of 08/31/19)

designed to offer up to \$500,000 in FDIC deposit insurance coverage to eligible retirement accounts. RSDA Program balances held at the affiliated banks are not covered by SIPC protection. Your balance in the RSDA Program is available to your retirement account for your investment and use upon your request. To learn more about the RSDA Program, please review your RSDA Program The E*TRADE Financial Retirement Sweep Deposit Account Program (* RSDA Programd) is a bank sweep program associated with eligible E*TRADE Securities LLC retirement accounts are swept to bank deposit accounts at E*TRADE Savings Bank, which are affiliates of E*TRADE Securities LLC. The RSDA Program is

TRANSACTION AMOUNT

Customer Agreement, visit www.etrade.com, or call us at 1-800-387-2331.

DATE

DESCRETION

E*TRADE Securities LLC

PAGE 6 OF 6

EXTRADE



PAGE 1 OF 6

August 1, 2019 - August 31, 2019

Account Number:

Account Type:

IRA - CONTRIBUTORY

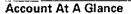


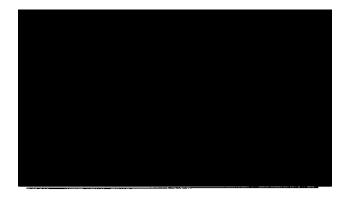
Customer Update:

Keep your information up to date. Check that your profile is current and correct for security purposes. Visit etrade.com/myprofile to review your account info.

Want to get important documents faster? Get your statements, confirms, and tax forms online with paperless delivery. Enroll at etrade.com/paperless.

LOREN W GILES IRA ETRADE CUSTODIAN





DETACHHERE

LOREN W GILES

IRA ETRADE CUSTODIAN

Use This Deposit Slip

Acct:

DETACHHERE A

To contribute to your IRA, please use our online Transfer Money service at www.etrade.com/transfermone or use this deposit slip.

Make checks payable to E*TRADE Securities LLC

Mail deposits to:

E*TRADE SECURITIES LLC

Check Amount \$
Year of Contribution:
2019
Rollover



Please refer to the E-TRADE Securities LLC ("ETS") Customer Agreement (the "Customer Agreement") for a complete discussion of the terms and conditions governing your account, please email us through erade.com or call 800-ETRADE1. THE INFORMATION CONTAINED INYOUR ACCOUNT STATEMENT SHALL BE BINDING UPON YOU IF YOU DO NOT OBJECT. EITHER INWRITING OR VIA ELECTRONIC MAIL, WITHIN FIVE (5) DAYS AFTER THE ACCOUNT STATEMENT IS FIRST RECEIVED BY YOU, in case of errors or questions about your electronic transfers please telephone us at 800-ETRADE-1 immediately or write us at ETRADE Securities LLC, PO Box 644, Jersey City, NJ 0730-0444, Ifyou think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt in wrong or if you need more information about a transfer on the statement or which the error or the problem appeared. When you contact us, you must:

1. Tell us your name, account number, and ATM card or Check card number.

2. Describe the error or the transfer on though and arrian as deathy as was can who you believe there is an error or why you need more information.

- 2. Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe there is an error or why you need more information.
- Tell us the dollar emount of the suspected entry.

We will investigate your complaint and will correct any error promptly. If we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

Securities products and services are offered by ETS, Member FINRA/SIPC. Your account is carried by ETS, Member FINRA/SIPC, which maintains your funds and securities deposited with ETS directly by you. Inquiries concerning the positions and balances in your account may be directed to ETS at 800-503-9260. All other inquiries regarding your account or the activity therein should be directed to ETS. Please promptly report any inaccuracy or discrepancy in your account to ETS at 800-503-9260. You should re-confirm any oral communication in writing to further protect your rights, including rights under the Securities investor Protection Act.

Applicable Rules and Regulations, All transactions in your account shall be subject to the constitution, rules, regulations, customs, and usages of the exchange or market, and its cleering house, where the transactions are executed by ETS or its agents, including ETS affiliates. Also, where the transactions see secuted by ETS or its august to the provisions of the Securities Act of 1993, as amended, the Securities Exchange Act of 1994, as amended, and the rules and regulations of the Securities Exchange Commission ("SEC"), the Board of Governors of the Federal Reserve System, and any applicable setting regulatory organization. For Information ebout FIRRA's Broker Check Program, including an investor brochure, please contact FINRA at 800-289-999 or www.finra.org.

Securities Pricing. The emounts printed in the total market value column of the Account Hoblings section, or any emounts derived therefrom, are based on US month end prices and are provided to us by curside quastion sendes for the securities currently held by us in your account. Prices of municipal bonds, certain over-the-counter securities, and federal obligations are approximations and are only for guidance purposes. The prices used are based on the last reported transaction known to the quotation services or the yields or values that are calcutated on the basis of these prices. The value of brokered CDs reflected on this statement is estimated by a hind-party pricing service. Actual value may differ if you elect to sell your CD(s) in the secondary market.

Interest/Dividends. We are required by law to report annually to you and to the Internal Revenue Service on Form 1099 any taxable interest, dividends, and capital gains credited to your account, as well as any taxes withheld. The year to date furnes shown on your statement refects these amounts destiled to the best of our current knowledge based on activity. In certain ciccumstances, payments may be subject to redsshiration, such reclassifications withe referead to the insmall Revenue Service on your form 1099. Your statement may not refer all adjustments required for tax purposes, please refer to your tax documents.

SIPC and other insurance Coverage. ETS is a mamber of the Securides Investor Protection Corporation (SIPC'). SIPC currently protects the assets in each of your securities accounts at ETS up to \$500,000 (including \$250,000 for claims for cash year to state the securities accounts at ETS up to \$500,000 (including \$250,000 for claims for cash year considered cash; they are considered in more information including a prochure on SIPC protection. (Please note that money market instruct fund belances are not considered cash; they are considered to be securities). Additional protection for ETS has been secured through an independent insurer, more information about which can be found at https://dx.ordet.com/customerses/orda_0. The market risks associated with investing and any resulting losses are not covered by SIPC or the additional protection.

Payment for Order Flow. The SEC (as well as FINRA) requires that all broker-daziers inform their customers when a new occount is opened, and on an annual basis thereafter, of payment for order flow practices (compensation received for placing orders through specialists on national securities exchanges, over-the-counter market matters, alternative trading systems, and ECN's (collectively, "market centers"). Consistent with the overnoting principle of best execution. ETS crotos orders to various market centers. ETS receives remuneration (generally in the form of per shalle cash payments or through profit shaling arrangements) for routing orders in securities to perfection the source and amount of any compensation received in connection with your transaction will be disclosed to you upon written request. ETS, absent instructions from you to the commany, takes a number of factors into consideration in determining where to route customers' orders, including the speed of execution, price improvement opportunities (executions at prices superior to the item revealing inside market), automatic execution guarantees, the evaluability of efficient and refable order handling systems, the level of service provided, the cost of execution and received business arrangements.

Margin Accounts. The amount of margin required will be the greater of (1) the amount required by applicable laws, regulations, the rules of applicable self-regulatory organizations and clearinghouses, or (2) the amount required by ETS in its sole discretion. You will be champed interest on a daily bests on all debit balances that you owe to ETS and on credit extended to you by ETS for the purpose of purchasing, carrying, or trading insecurities or otherwise, interest is calculated on a 380-day bests using settlement date balances. Except as otherwise agreed by you and ETS, the applicable interest mid for margin losss will be determined by adding the prevailing best rate and the applicable interest rate is subject to change without notice during each period in eccordance with faculations in your average daily debt betance and changes to the base rate that are attributable to a change in the Federal Funds rate. ETS will provide you with at least 30 days prior written notice before changing your stated interest rate for any other reason, information about ETS's base rate is available upon written request to ETS. For more information on how ETS's base rate is available upon written request to ETS. For more information on how ETS's base rate is available upon written request to ETS. For more information on how ETS's base rate is available upon written request to ETS. For more information on how ETS's base rate is available upon written request to ETS. For more information on how ETS substitutes interest, please see the Customer and ETS. Per more information on how ETS's base rate is available upon written request to ETS. For more information on how ETS calculates interest, please see the Customer to be a margin account, this exterment to both your margin account and special memorandum account. The permenent record of the separate prococount are required by Regulation T of the Federal Reserve Board is available for

Free Credit Batances. Any cash balances in your sequifiles account, which represent an obligation of ETS, are payable to you upon demand and referred to as tree credit balances. Your free credit cash balances: 1) can be maintained in the securities account and will earn interest intrough the "Cash Balance Program" as more fully described at www.etrade.com/cashbalance, and 2) as such are held unsegregated and may be used by ETS in the conduct of its business, subject to the limitations of Rule 15c3-3 under the Securities Exchange Act of 1934. Your free credit cash balances can etematively be directed to other cash balance options.

Other Cash Balance Option. In addition to the Cash Ba'ance Program you may have the option to have free credit balances in your securities account automatically transferred to a bank sweep product, which is an eccount at a bank (or banks, collectively, "Program Banks") whose deposits are insured by the FDIC. but which are not obligations of ETS. Accounts opened prior to May 10, 2018 may also be eligible to have their free credit balances transferred to certain because their free credit balances is transferred to certain money market mutual funds. For detailed information about the products available for free credit ba'ances go to while electromation about the products available for free credit ba'ances go to while electromation at the products available in the Neep Program. The products available under the Sweep Program may change at any time. Notification of changes with be provided to the extent reoutered by applicable law. Additionally, you may at any time change your selection among the products available in the Sweep Program. You may elect, subject to any limitation action to in any Sweep Program agreement or, with respect to an account at a bank, under federal banking laws (which includes, without limitation, program banks' potential requirement of seven days' notice before permitting a withdrawal or transfer of Junds from such account) that the ba'ance in the bank deposit account be returned, or shares of the money market mutual fund in which you have a beneficial interest be liquidated and the proceeds returned, as applicable, to the securities account or retrized to you With respect to your decision to participate in a bank aweep product, please remember you are responsible for monitoring Other Cash Balance Option. In addition to the Cash Balance Program you may have applicable, to the secondar analysis and a secondar and a visit of the secondar and a participate in a bank eweep product, please remember you are responsible for monitoring the cash batance of your bank, sweep accounts deposited with the Program Banks to determine whether you have total deposit befances held in the same capacity at any Program Bank in excess of the \$250,000 FDIC deposit insurance limit.

Options Trading, if you are approved for options trading, you are responsible for advising ETS of any material changes in your investment objectives or financial situation. Additionally, further information regularing commissions and other changes related to the execution of option transactions has been included in the confirmations of such transactions previously provided to you Such information will also be made evailable promptly upon request.

Random Allocation of Options Assignment Notices. Assignment notices for short option contracts are allocated among customer short option positions in accordance with a random allocation method. A detailed description of ETS's random allocation method is available at ethada.com and a hard copy of the allocation procedures is available upon

Financial Statement. A financial statement of ETS is available for your inspection at its offices or at atrade.com or will be mailed to you upon your written request.

Its offices or at etrade.com or will be mailed to you upon your written request.

Valuation of Certain Alternative Invostments (including DPP and REIT accurities). Account statements for Individual Reternent Accounts may Include valuations for alternative investments. The values of such investments are estimated and reflect either the most recent valuation provided to ETS by the issuer of the investment, or a valuation provided by an independent third party, which ETS will obtain as part of its services, on an annual or more frequent basis. ETS does not provide a guarantee of the value or the appraisal methodology applied by the independent third party involviding a value and ETS essurers no responsibility for verifying the accuracy of any valuation presented. Feiture of the issuer to provide a timely valuation is your sole insecurate. Investment in non-publicly traded securities, which includes alternative investments, often involves higher risk and less liquidity than other more trackional investments, often involves higher risk and less liquidity than other more trackional investments, often involves higher risk and less liquidity than other more trackional investments, often involves higher that and provide to restrict the values reported to you should not be reled upon as any indication of market value. You may be able to sell your interests in the alternative investments held in your account, if at all, only for amounts that are substantially less than their purchase price or the estimated values showing on yor account statement if your statement reflects a distribution at the provided are the tracking the purchase price or the estimated values showing on yor account statement if your statement reflects a distribution at the provided pricing and claribution information has been provided by the classification of distributions are reported on a not investment per hare estimated value is also reported. Pricing and claribution information has been provided by the classification of distributions are reported o

ETS is an indirect subsidiary of E*TRADE Financial Corporation. If you have a complaint, please call 800-ETRADE1, or write to: E*TRADE Securities LLC,P.O. Box 484. Jersey City, NJ 07303-0404.

Activity/Frade Date. Trade date or transaction date of other entities.

Total Portfolio Percent. Percentage of your holding by issue of security.

DIVICPH's Yield. Annual dividend or bond 5-yield.

Open Orders. Buy or set orders for securities that have not yet been executed or

canceled.

Symbol/CUSIP. The symbol or identification number for each security.

Denotes a security where either the country of issue or country of incorporation of the Issuer is outside the US.

Pending and Unsettled Transactions. Based on the timing of statement generation, the value of certain unsettled trades end/or pending transactions (e.g., transactions that take place following the inst business day of the month) may not be reflected on your statement. Plasse o-mail us through erade.com or call 800-ETRADE1 with any questions.



Account Number:

Statement Period: August 1, 2019 - August 31, 2019

Account Type: IRA - CONTRIBUTORY

Customer Update:

Invest on the go.

With the E*TRADE Mobile app, you have everything you need in the palm of your hand—investing, trading, research, easy-to-use tools, and more. Visit errade.con/mobile to learn more.

ACCOUNT OVERVIEW

Last Statement Date:

July 31, 2019

Beginning Account Value (On 07/31/19):

00 00 00 Ending Account Value (On 08/31/19); Net Change: For current rates, please visit etrade.com/rates

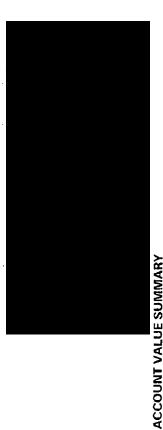
RETIREMENT ACTIVITY SUMMARY

YEAR TO DATE THIS PERIOD

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2018 Contribution 2019 Contribution

ASSET ALLOCATION (AS OF 08/31/19)



% CHANGE

AS OF 07/31/19

AS OF 08/31/19

⇔ ↔ ₩₩ ₩ es es ₩ Stocks, Options & ETF (Long) Total Value of Securities Total Cash/Margin Debt Net Account Value Cash & Equivalents

> not FDIC-insured, are not guaranteed deposits or obligations of E*TRADE Bank, and are subject to investment risk, including possible loss of the principal invested. Sweep Deposit Account is a bank deposit account with E*TRADE Bank, a Federal savings bank, Securities products and services are offered by E*TRADE Securities LLC, Member FINRA/SIPC. \$250,000. Securities products and cash balances other than Sweep Deposit Account funds are Member FDIC. Sweep deposit accounts at each bank are FDtC-insured up to a maximum of

E*TRADE Securities LLC



Account Number:

NET ACCOUNT VALUE BY MONTH END

Statement Period: August 1, 2019 - August 31, 2019

Account Type: IRA - CONTRIBUTORY

ACCOUNT TRANSACTION SUMMARY

THIS PERIOD

DESCRIPTION

YEAR TO DATE

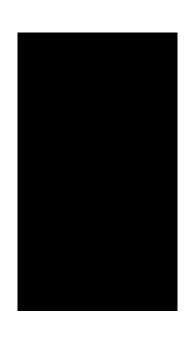
s s Ø Ģ s ഗ ഗ Ç) Securities Purchased Dividends Received

Interest Received Securities Sold

Tax Exempt

Refer to the Retirement Activity Summary section on page 3 for a summary of your retirement account transactions. Tax Exempt

TOP 10 ACCOUNT HOLDINGS (AS OF 08/31/19)



E*TRADE Securities LLC

PAGE 4 OF 6



Account Number:

Statement Period: August 1, 2019 - August 31, 2019

Account Type: 3RA - CONTRIBUTORY

AMOUNT

PORTFOLIO %

ACCOUNT HOLDINGS

CASH & CASH EQUIVALENTS

DESCRIPTION

Retirement Sweep Deposit Account Program Opening Balance

Closing Balance

Average Balance

Retirement Sweep Deposit Account Program Balance by Bank as of August 31, 2019

ETRADE BANK

balance in the RSDA Program is available to your retirement account for your investment and use upon your request. To learn more about the RSDA Program, please review your RSDA Program The E*TRADE Financial Retirement Sweep Deposit Account Program (*RSDA Programd) is a bank sweep program associated with eligible E*TRADE Securities LLC retirement accounts are swept to bank deposit accounts at E*TRADE Bank and E*TRADE Savings Bank, which are affiliates of E*TRADE Securities LLC. The RSDA Program is designed to offer up to \$500,000 in FDIC deposit insurance coverage to eligible retirement accounts. RSDA Program balances held at the affiliated banks are not covered by SIPC protection. Your Customer Agreement, visit www.etrade.com, or call us at 1-800-387-2331.

TOTAL CASH & CASH EQUIVALENTS

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	מוספיים, כן זוכווס פי באפווטונסב וונאסבס ו פווסס						
SYMBOL	ACCT TYPE	QUANTITY	PRICE	TOTAL MKT VALUE	PORTFOLIO [%]	EST. ANNUAL INCOME	EST. ANNUAL YIELD (%)

E*TRADE Securities LLC

PAGE 5 OF 6



Account Number:

Statement Period: August 1, 2019 - August 31, 2019

Account Type: IRA - CONTRIBUTORY

TRANSACTION HISTORY

SECURITIES PURCHASED OR SOLD

TRADE DATE	TRADE SETTLEMENT DATE DATE	SETTLEMENT DESCRIPTION DATE	SYMBOL/ CUSIP	TRANSACTION TYPE	QUANTITY	PRICE	AMOUNT PURCHASED	AMOUNT
08/02/19 09:39	08/06/19	***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES	FK	Bought	485	24.8150	12,042.23	
08/05/19 15:34	08/07/19	***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES	ב	Sold	-485	23,1030		11,197,71
OIVIDE	NDS & INTER	DIVIDENDS & INTEREST ACTIVITY						
DATE	TRANSACTION	DESCRIPTION	SYMBOL/	710			AMOUNT	AMOUNT

RETIREMENT SWEEP DEPOSIT ACCOUNT PROGRAM (RSDA) ACTIVITY (0.0300% APY/0.0500%APY Earned as of 08/31/19)

designed to offer up to \$500,000 in FDIC deposit insurance coverage to eligible retirement accounts. RSDA Program balances held at the affiliated banks are not covered by SIPC protection. Your balance in the RSDA Program is available to your retirement account for your investment and use upon your request. To learn more about the RSDA Program, please review your RSDA Program The E*TRADE Financial Retirement Sweep Deposit Account Program (* RSDA Program() is a bank sweep program associated with eligible E*TRADE Securities LLC retirement accounts are swept to bank deposit accounts at E*TRADE Bank and E*TRADE Savings Bank, which are affiliates of E*TRADE Securities LLC. The RSDA Program is

Customer Agreement, visit www.etrade.com, or call us.ar. 1-800-387-2331,
DATE DESCRIPTION

TRANSACTION AMOUNT

E*TRADE Securities LLC

PAGE 6 OF 6

Claims_LuckinCoffeeSecuritie Subject: Luckin Coffee Inc. Securities Litigation - Claim Upload **Contact Information** Location: \\Ca003-prfs001\CA-7\Luckin Coffee Inc. Securities Litigation - 40050093\Electronic Files Received\Claim\26512\ Name: Loren Giles Address: Phone Number: Email: Date and Time: 3/15/2022 2:08:39 PM

Info_LuckinCoffeeSecuritiesL

Tuesday, March 15, 2022 2:09 PM

From: Sent:

Confirmation Number:

To:

Divider Page

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 139 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

400500930004724949
000 0001985 00000000 0001 0001 01985 INS: 0 0
LOREN W GILES IRA
CONTRIBUTORY
ETRADE CUSTODIAN

Claim Number: 20194

Response Deadline: May 16, 2022

April 26, 2022

Notice of Deficient Claim Submission

Dear Claimant:

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action *In re Luckin Coffee Inc. Securities Litigation*, Case No. 1:20-cv-01293-JPC-JLC (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fail to respond by the response deadline set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that those conditions remain uncured. This is the only notice you will receive with respect to this Claim.

PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

Ineligibility Condition: No Recognized Claim.

In accordance with the Plan of Allocation set forth in the Settlement Notice, the Claim referenced above does not calculate to a Recognized Claim. An example of a condition that would result in no Recognized Claim is that all of the Luckin ADSs purchased during the Class Period were sold for a gain. Because your Claim does not calculate to a Recognized Claim, either for the reason noted in the preceding sentence or for another reason, it is not eligible to receive a distribution from the Net Settlement Fund. Unless you had additional transactions in Luckin ADSs during the Class Period (i.e., May 17, 2019, through July 15, 2020, inclusive) that are not reflected in your Claim, this is NOT a curable deficiency.

<u>How to Resolve</u>: You can resolve this condition of ineligibility only by submitting additional transactions in Luckin ADSs during the Class Period that were not previously reflected in your Claim and which make your Claim calculate to a Recognized Claim. For additional information, please reference Appendix A of the Settlement Notice. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial acceptance," unless this deficiency is cured.



Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. The Court will consider approval of the Settlement and the proposed Plan of Allocation at a hearing to be held on July 22, 2022. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court with financial account numbers and certain other information redacted. PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR'S DETERMINATION REGARDING YOUR CLAIM.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator

Divider Page

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 142 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

000 0001985 00000000 0001 0001 01985 INS: 0 0

Website: www.LuckinCoffeeSecuritiesLitigation.com info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

MAY 13 2022

Claim Number:

20194

Response Deadline:

May 16, 2022

This document was received in the same envelope as the previously labeled document

April 26, 2022

Document Control

Notice of Deficient Claim Submission

Dear Claimant:

400500930004724949

LOREN W GILES IRA CONTRIBUTORY

ETRADE CUSTODIAN

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Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. The Court will consider approval of the Settlement and the proposed Plan of Allocation at a hearing to be held on July 22, 2022. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

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If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator May 13, 2022

Loren Giles



Luckin Coffee Inc. Securities Litigation
C/O Equip Class Action and Claims Solutions Inc.
PO Box 5887
Portland OR 97228-5887

Claim Number 20194

Dear Claims Administrator,

I request the court to review to full rejection of my claim for the losses from my purchase of Luckin coffee. I purchased 485 shares of stock on 8-2-19 for 24.815 and sold on 8-05-19 for 23.103. It is my understanding that these dates fall within the dates of the Class Period.

Respectfully submitted

Loren Giles

Page 1 of 2



Trading • Investing • Banking

E*TRADE Securities

Investment Account

TRADE CONFIRMATION

Account Number:

E#TRADE Securities LLC

Account Name: LOREN W GILES

IRA ETRADE CUSTODIAN

Customer Update

Why not get your statements, confirmations, and tax documents online? Enroll for paperless delivery today at etrade.com/paperless.

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TRADE DATE	SETL Date	MKT / CPT	SYMBOL / CUSIP	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
08/05/19	08/07/19	6 1	LK	SELL	485	\$23.103	Cash	PRINCIPAL	\$11,204.96
***LUCK	IN COFFEE	INC AME	RICAN DEPO	SITARY SH	ARES			COMMISSION	\$6.95
								FINRA TAF	\$0.06
						•		FEE	0.24
								NET AMOUNT	\$11,197.71

DETACH HERE
LOREN W GILES
IRA ETRADE CUSTODIAN

Make checks payable to E*TRADE Securities LLC. Mail deposits to:

E*TRADE Securities LLC

Use This Deposit Slip

Acct:

DETACH HERE

To contribute to your IRA, please use our online Transfer Money service at www.etrade.com/transfermoney or this deposit slip.

Check Amount \$ _______
Year of Contribution: 2019

Rollover

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 146 of 355



Trading • Investing • Banking

Terms and Conditions

Please refer to the E*TRADE Customer Agreement for a complete discussion of the terms and conditions governing your account. If you have questions regarding the E*TRADE Customer Agreement or your account, please email us through *etrade.com* or call 800-ETRADE-1. THE INFORMATION CONTAINED IN THIS CONFIRMATION OF ALL BESINDING UPON YOU IF YOU DO NOT OBJECT IN WRITIND WITHIN TWO (2) DAYS AFTER THE CONFIRMATION IS FIRST RECEIVED BY YOU. Securities products and services are offered by E*TRADE Securities LLC ("ETS"), Member FIRMASIPC, Your account is carried by ETS, which maintains your funds and securities deposited with ETS. ETS or its affiliates may be a principal in your fransaction.

Applicable Rules and Regulations. All transactions in your account shall be subject to the constitution, rules, regulations, customs, and usages of the exchange or market, and its clearing house, where the transactions are executed by ETS or its agents, including ETS affiliates. Also, where applicable, the transactions shall be subject to the provisions of the Securities Act of 1933, as amended, the Securities Exchange Act of 1934, as amended, and the rules and regulations of the Securities and Exchange Commission ("SEC"), the Board of Governors of the Federal Reserve System, and any applicable self-regulatory organization. For information about FINRA's BrokerCheck Program, including an investor brochure, please contact FINRA at 800-289-9999 or www.finra.org

Securities held on your behalf at ETS or a central clearing facility but not registered in your name are commingled with identical securities held for other customers. In the event that securities so held are called by the issuer, the securities to be called will be determined by an impartial and random selection system. If your security is selected, it will be presented for redemption and your account credited with the proceeds. You have the right to withdraw uncalled, fully paid securities at any time prior to a partial call and also to withdraw excess margin securities not subject to restriction.

The responsibility to cancel an existing open order rests with you. Any transaction that results from the execution of any orders that you have not instructed us to cancel, prior to execution, will be recorded in your account. Market orders are subject to immediate execution and are difficult to cancel.

If required payment or delivery of securities is not made by the settlement date, ETS may, at its option and without further notice, charge interest on the amount shown on the face hereof or cancel, sell out, or buy in the subject securities and charge your account for any expenses, losses, or other costs incurred.

Investments in securities are not quaranteed by ETS, are not insured by the FDIC, and will fluctuate with changes in market conditions. When selling a security, you may receive more or less than your original investment.

The principal amount or commission described on the face hereof may include an Additional Fee* for special services rendered. Other charges may include commissions paid to affiliates of ETS, local taxes, transaction fees, and exchange fees, among others. For customers who choose to convert from the currency in which the security or payment thereon is denominated, the amounts provided with respect to principal, interest, dividend and/or yield is subject to fluctuation or applicable foreign currency exchange rates and costs including a markup charged by ETS. Further details are available upon written request. The name of the party with whom this transaction was made and time of execution of the transaction will be furnished upon written request.

Securities purchased by you or held by ETS may be hypothecated and/or commingled

Call features for bonds may exist and such bonds can be redeemed in whole or in part before maturity that could affect the yield; complete information will be provided upon request. With respect to a zero coupon issue, you will not receive periodic payments, and the securities may be callable at a price below maturity value. Furthermore, a zero coupon issues that is callable and in bearer form may be called without notice by mail to you unless the issue is

For an asset-backed security (e.g., GMO, FNMA, FHLMC, or GMNA), the actual yield may vary according to the rate at which the underlying assets or receivables are prepaid. Information concerning factors that affect yield, including estimated yield, weighted average life, and prepayment assumptions, are available upon request

The ratings that appear in the description of some fixed-income securities have been obtained from rating several representations and the several representations are desent obtained in form rating several several several representations are several representations. As withdrawn rating "WR" signifies the removal of a rating on either an obligation or issuer. Confirmations related to fixed income transactions may reflect a mark-up or mark-down, both as a dollar and percentage value. The mark-up or mark-down dollar value is calculated as the execution price less the prevailing market price (PMP) multiplied by the quantity. The mark-up or mark-down percentage value is calculated as the mark-up or mark-down dollar value divided by the PMP. Trades with a mark-up or mark-down value of "N/A" indicate a negative mark-up or mark-down, i.e., the sale of the security was at a price lower than the PMP

*Additional Fees may include a broker-assist fee, an order handling fee and/or market center charges. ETS will charge a fee if you request to have certificates issued in your name

Type of Transaction (Market)

1. NYSE

2. NYSE American Other US Registered Exchanges

6. Over-the-Counter 7. Underwriting

B. Foreign Exchange or Other

(Capacity in which your broker is acting) 1,2,3,4,5,8 As agent

4. Mutual Funds

6As agent for both buyer and seller. The commission charged to the partyon the other side of the

transaction will be furnished upon request.

7 As principal

If the symbol (') appears in the security description on the face hereof, the offering of the described security has been made solely by means of the prospectus relating thereto, a copy of which has been or will be delivered to you, the receipt of which is acknowledged by payment

If the symbol (F) appears in the security description, it indicates that the security is "Foreign" and maybe subject to interest equalization tax.

If the symbol (T) appears in the security description, an officer or employee of ETS is a director of the issuer of the securities involved in this transaction. A control relationship may therefore

Please retain this confirmation for income tax purposes. Federal regulations require brokers to report proceeds from all transactions to the Internal Revenue Service.

LOREN W GILES IRA ETRADE CUSTODIAN

Payment for Order Flow Disclosure

The SEC (as well as FINRA) requires that all broker-dealers inform their customers when a The SEC (as well as FINKA) requires that all broker-dealers inform their customers when a new account is opened, and on an annual basis thereafter, of payment for order flow practices (compensation received for placing orders through specialists on national securities exchanges, over-the-counter market makers, alternative trading systems, and ECN's (collectively, "market centers"). Consistent with the overriding principle of best execution, ETS routes orders to various market centers. ETS receives remuneration execution, ETS routes orders to various market centers. ETS receives remuneration (generally in the form of per share cash payments or through profit-sharing arrangements) for routing orders in securities to particular market centers for execution. Such remuneration is considered compensation to ETS, and the source and amount of any compensation received in connection with your transaction will be disclosed to you upon written request. ETS, absent instructions from you to the contrary, takes a number of factors into consideration in, determining where to route customers' orders, including the speed of execution, price improvement opportunities (executions at prices superior to the then prevailing inside market), automatic execution guarantees, the availability of efficient and eliable code handling charge the location for the feet of the profit of the standard of the standard that the contraction of the standard reliable order handling systems, the level of service provided, the cost of executing orders, whether it will receive cash or non-cash payments for routing order flow and reciprocal business arrangements.

Trades noted as "AVG PRICE SHOWN-DETAILS ON REQ" are executed through an average price account. The price shown may represent an average of multiple executions or may repre a single execution at the price indicated. Details regarding trades done in an average price account

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Page 1 of 2



Trading • Investing • Banking

E*TRADE Securities

Investment Account

TRADE CONFIRMATION

Account Number:



Account Name:

LOREN W GILES

IRA ETRADE CUSTODIAN

Customer Update

Why not get your statements, confirmations, and tax documents online? Enroll for

paperless delivery today at etrade.com/paperless.

TRADE	SETL	MKT/	SYMBOL/	BUY/			ACCT		
DATE	DATE	CPT	CUSIP	SELL	QUANTITY	PRICE	TYPE		
08/02/19	08/06/19	6 1	LK	BUY	485	\$24.815	Cash	PRINCIPAL	\$12,035.28
***LUCK	IN COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES			COMMISSION	\$6.95
								NET AMOUNT	\$12,042.23

DETACH HERE LOREN W GILES IRA ETRADE CUSTODIAN

> Make checks payable to E*TRADE Securities LLC. Mail deposits to:

E*TRADE Securities LLC

Use This Deposit Slip

Acct:

DETACH HERE

To contribute to your IRA, please use our online Transfer Money service at www.etrade.com/transfermoney or this deposit slip.

Check Amount \$ Year of Contribution: 2019

Rollover



Trading • Investing • Banking

Terms and Conditions

Please refer to the E*TRADE Customer Agreement for a complete discussion of the terms and conditions governing your account, If you have questions regarding the ETTRADE Customer Agreement or your account, please email us through etrade.com or call 800-ETRADE-1. THE INFORMATION CONTAINED IN THIS CONFIRMATION SHALL BEBINDING UPON YOU IF YOU DO NOT OBJECT IN WRITING WITHIN TWO (2) DAYS AFTER THE CONFIRMATION IS FIRST RECEIVED BY YOU. Securities products and services are offered by ETFRADE Securities LLC ("ETS"), Member FIRMASIPIC Your account is carried by ETS, which maintains your funds and securities deposited with ETS. ETS or its affiliates may be a principal in your transaction.

Applicable Rules and Regulations. All transactions in your account shall be subject to the constitution, rules, regulations, customs, and usages of the exchange or market, and its clearing house, where the transactions are executed by ETS or its agents, including ETS affiliates. Also, where applicable, the transactions shall be subject to the provisions of the Securities Act of 1933, as amended, the Securities Exchange Act of 1934, as amended, and the rules and regulations of the Securities and Exchange Commission ("SEC"), the Board of Governors of the Federal Reserve System, and any applicable self-regulatory organization. For information about FINRA's BrokerCheck Program, including an investor brochure, please contact FINRA at 800-289-9999 or www.finra.org.

Securities held on your behalf at ETS or a central clearing facility but not registered in your name are commingled with identical securities held for other customers. In the event that securities so held are called by the issuer, the securities to be called will be determined by an impartial and random selection system. If your security is selected, it will be presented for redemption and your account credited with the proceeds. You have the right to withdraw uncalled, fully paid securities at any time prior to a partial call and also to withdraw excess margin securities not subject to restriction.

The responsibility to cancel an existing open order rests with you. Any transaction that results from the execution of any orders that you have not instructed us to cancel, prior to execution, will be recorded in your account. Market orders are subject to immediate execution and are

If required payment or delivery of securities is not made by the settlement date, ETS may, at its option and without further notice, charge interest on the amount shown on the face hereof or cancel, sell out, or buy in the subject securities and charge your account for any expenses, losses, or other costs incurred.

Investments in securities are not guaranteed by ETS, are not insured by the FDIC, and will fluctuate with changes in market conditions. When selling a security, you may receive more or less than your original investment.

The principal amount or commission described on the face hereof may include an Additional Fee* for special services rendered. Other charges may include commissions paid to affiliates ree tor special services rendered. Other charges may include commissions paid to amiliates of ETS, local taxes, transaction fees, and exchange fees, among others. For customers who choose to convert from the currency in which the security or payment thereon is denominated, the amounts provided with respect to principal, interest, dividend and/or yield is subject to fluctuation or applicable foreign currency exchange rates and costs including a markup charged by ETS. Further details are available upon written request. The name of the party with whom this transaction was made and time of execution of the transaction will be furnished upon written request.

Securities purchased by you or held by ETS may be hypothecated and/or commingled with securities carried for other customers.

Call features for bonds may exist and such bonds can be redeemed in whole or in part before maturity that could affect the yield; complete information will be provided upon request. With respect to a zero coupon issue, you will not receive periodic payments, and the securities may be callable at a price below maturity value. Furthermore, a zero coupon issues that is callable and in bearer form may be called without notice by mail to you unless the issue is

For an asset-backed security (e.g., GMO, FNMA, FHLMC, or GMNA), the actual yield may vary according to the rate at which the underlying assets or receivables are prepaid. Information concerning factors that affect yield, including estimated yield, weighted average life, and prepayment assumptions, are available upon request.

The ratings that appear in the description of some fixed-income securities have been obtained from rating services that we believe to be reliable; however, we cannot guarantee their accuracy. Securities for which arating is not available will be marked "Not Rated." A withdrawn rating "WR" signifies the removal of a rating on either an obligation or issuer. Confirmations related to fixed income transactions may reflect a mark-up or mark-down; both as a dollar and percentage value. The mark-up or mark-down dollar value is calculated as the execution price less the prevailing market price (PMP) multiplied by the quantity. The mark-up or markdown percentage value is calculated as the mark-up or mark-down dollar value divided by the PMP. Trades with a mark-up or mark-down value of "N/A" indicate a negative mark-up or mark-down, i.e., the sale of the security was at a price lower than the PMP.

*Additional Fees may include a broker-assist fee, an order handling fee and/or market center charges. ETS will charge a fee if you request to have certificates issued in your name and mailed toyou.

Type of Transaction

(Market)

2. NYSE American

6. Over-the-Counter Other US Registered Exchanges
 Mutual Funds

7. Underwriting 8. Foreign Exchange or Othe

(Capacityin which your broker is acting)

1,2,3,4,5,8 As agent

6As agent for both buyer and seller. The commission charged to the party on the other side of the transaction will be furnished upon request.

5 CROE

If the symbol (') appears in the security description on the face hereof, the offering of the described security has been made solely by means of the prospectus relating thereto, a copy of which has been or will be delivered to you, the receipt of which is acknowledged by payment

If the symbol (F) appears in the security description, it indicates that the security is "Foreign" and maybe subject to interest equalization tax.

If the symbol (T) appears in the security description, an officer or employee of ETS is a director of the issuer of the securities involved in this transaction. A control relationship may therefore exist between the issuer and ETS.

Please retain this confirmation for income tax purposes. Federal regulations require brokers to report proceeds from all transactions to the Internal Revenue Service

LOREN W GILES IRA ETRADE CUSTODIAN

Payment for Order Flow Disclosure

The SEC (as well as FINRA) requires that all broker-dealers inform their customers when a new account is opened, and on an annual basis thereafter, of payment for order flow new account is opened, and on an annual basis thereatier, of payment for order flow practices (compensation received for placing orders through specialists on national securities exchanges, over-the-counter market makers, alternative trading systems, and ECN's (collectively, 'market centers'). Consistent with the overriding principle of best execution, ETS routes orders to various market centers. ETS receives remuneration (generally in the form of per share cash payments or through profit-sharing arrangements) for routing orders in securities to particular market centers for execution. Such remuneration is considered compensation to ETS, and the source and amount of any compensation received in connection with your transaction will be disclosed to you upon written request. received in connection with your transaction will be disclosed to you upon written request. ETS, absent instructions from you to the contrary, takes a number of factors into consideration in, determining where to route customers orders, including the speed of execution, price improvement opportunities (executions at prices superior to the then prevailing inside market), automatic execution guarantees, the availability of efficient and reliable order handling systems, the level of service provided, the cost of executing orders, whether it will receive cash or non-cash payments for routing order flow and reciprocal business arrangements.

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Richard Wallace (319)

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 150 of 355 AS - IS
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Man, Chanpisey

From: Info_LuckinCoffeeSecuritiesL

Sent: Friday, November 19, 2021 1:04 PM

To: Claims_LuckinCoffeeSecuritie

Subject: Luckin Coffee Inc. Securities Litigation – Claim Upload

Contact Information

Location: \\Ca003-prfs001\CA-7\Luckin Coffee Inc. Securities Litigation - 40050093\Electronic Files

Received\Claim\628\

Name: Richard Wallace

Address:

Phone Number:

Email:

Date and Time: 11/19/2021 1:04:25 PM

Confirmation Number: CEIWYE1T

Divider Page

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 153 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824



Claim Number: 319

Response Deadline: April 18, 2022

March 29, 2022

Notice of Deficient Claim Submission

Dear Claimant:

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action *In re Luckin Coffee Inc. Securities Litigation*, Case No. 1:20-cv-01293-JPC-JLC (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fail to respond by the response deadline set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that those conditions remain uncured. This is the only notice you will receive with respect to this Claim.

PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement, which has been approved by the Court and which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

Ineligibility Condition: Missing Signature and/or Proof of Authority to Sign.

The Claim referenced above is missing (i) a signature for an owner, co-owner, joint tenant, custodian, agent, executor, administrator, guardian, and/or trustee; and/or (ii) the authority and/or the capacity of the person who signed the Claim Form to sign on behalf of the beneficial owner.

<u>How to Resolve</u>: You can resolve this condition of ineligibility by signing below and returning this notice together with proof of authority to sign, if applicable, to the Claims Administrator by the response deadline. If you purchased/acquired the Luckin ADSs jointly, all owners must sign. If one of the beneficial owners is deceased, you must provide a copy of the death certificate. If you submitted the Claim on behalf of another party, for example, as trustee, executor, power of attorney, etc., you must provide proof of authority to legally act on the beneficiary's behalf. Your signature(s) below will be treated as an execution of your previously submitted Claim and your affirmation of the Release contained on page 7 of the Claim Form.

Under the penalties of perjury, I (we) certify that all of the information provided by me (us) on the Claim Form previously submitted is true, correct, and complete and that the documents submitted with the Claim Form and/or herewith are true and correct copies of what they purport to be.



Signature of Claimant or Representative	Date	Signature of Joint Claimant (if any)	Date
Printed Name & Capacity of Person(s) Signir (e.g., executor, president, trustee, custodian, e	_	Joint Claimant Printed Name	

PLEASE NOTE: Curing this deficiency is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial acceptance," unless this deficiency is cured.

Ineligibility Condition: No Recognized Claim.

In accordance with the Court-approved Plan of Allocation set forth in the Settlement Notice, the Claim referenced above does not calculate to a Recognized Claim. An example of a condition that would result in no Recognized Claim is that no Luckin ADSs were held through the alleged corrective disclosure on January 31, 2020 (see Settlement Notice Appendix A paragraph 7(a)). Because your Claim does not calculate to a Recognized Claim, either for the reason noted in the preceding sentence or for another reason, it is not eligible to receive a distribution from the Net Settlement Fund. Unless you had additional transactions in Luckin ADSs during the Class Period (i.e., May 17, 2019, through July 15, 2020, inclusive) that are not reflected in your Claim, this is NOT a curable deficiency.

<u>How to Resolve</u>: You can resolve this condition of ineligibility only by submitting additional transactions in Luckin ADSs during the Class Period that were not previously reflected in your Claim and which make your Claim calculate to a Recognized Claim. For additional information, please reference Appendix A of the Settlement Notice. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial acceptance," unless this deficiency is cured.

Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court with financial account numbers and certain other information redacted. PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR'S DETERMINATION REGARDING YOUR CLAIM.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator

Divider Page

In re Lucilia Coffee Inc. Securities Lidgation elo Epiq Class Action & Chims Solubous, Inc. P.O. Box \$887 Pershad, OR 97228-588? Website: www.LuckinCoffeeSecuritiesLisigation.com
Pmill: info@LuckinCoffeeSecuritiesLisigation.com
Phone: 855-535-1824

CONTROL CONTRO

Chim Number:

. 319

Remonre Deadine: April 18, 2022

March 29, 2022.

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Netice of Deficient Claim Submitsion

Dez Chiment

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action he re Lactin Coffee Inc. Securities Littgerion, Case No. 1:20-cv-01293-JPC-JLG (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or incligible for the reason(s) identified below, in order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fall to respond by the response deadline set forth above, or if your response falls to cure the condition(s) identified below, this Claim will be rejected to the extent that these conditions remain uncured. This is the easy notice you will receive with respect to this Claim.

PLEASE NOTE: The Pim of Allocation for the net proceeds of the Settlement, which has been approved by the Court and which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from warm Luckin Coffre Section and Management.

Inethelibility Condition: Musing Signature and/or Proof of Authority to Sign.

The Cillin referenced above is emissing (1) a signature for an owner, ex-owner, joint tenant, curtodian, agent, executor, administrator, grantism, and/or trusteer, and/or (ii) the authority and/or the capacity of the person who signed the Chain Form to sign on behalf of the beneficial owner.

How to Reserve! You can smolve this condition of ineligibility by signing below and returning this notice together with proof of authority in sign, if applicable, to the Claims Administrator by the response deadline. If you purchased acquired the Lockin ADSs jointly, all owners must sign. If one of the beneficial owners is decreased, you must provide a copy of the death certificate. If you submitted the Claims on behalf of another party, for example, as trustee, executor, power of attorney, etc., you must provide proof of authority to legally act on the beneficiary's behalf. Your signature(s) below will be treated as an execution of your previously submitted Claim and your affirmation of the Release contained on page 7 of the Claim Form

Under the penalties of perjuly. I that) certify that all of the information provided by the first on the Claim Form provided in the first, correct, and to milite and that the documents with himsel in the Claim Form and/or beneath are that and correct up and of that they purport to be.

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I Request the Lourt Review new willy bitty Constition

Alas Habillan		AS - IS Document Control]
Richard F Wallace	Date	Signature of Joint Claimant (if any)	Date
Printed Name & Capacity of Person(s) Signing (e.g., executor, president, trustee, custodian, etc.	g c.)	Joint Claimant Printed Name	

Eilod 02/06/22—Dago 157 of 255

PLEASE NOTE: Curing this deficiency is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "pantial acceptance," unless this deficiency is cured,

Inclinibility Condition: No Recognized Claim.

to accordance with the Court approved Plan of Allocation set forth in the Settlement Notice, the Claim referenced above does not calculate to a Recognized Claim. An example of a condition that would result in no Recognized Claim is that no Luckin ADSs were held through the alleged corrective disclosure on January 31, 2020 (are Settlement Notice Appendix A paragraph 7(a)). Because your Claim does not calculate to a Recognized Claim, either for the reason noted in the preceding sentence or for another reason, it is not eligible to receive a distribution from the Net Settlement Fund. Unless you had additional transactions in Luckin ADSs during the Chas Period (i.e., May 17, 2019, through July 15, 2020, inclusive) that are not reflected in your Claim, this is NOT a cumble deficiency.

How to Resolve: You can resolve this condition of ineligibility only by submissing additional transactions in Location ADSs during the Class Period that were not previously reflected in your Claim and which make your Claim calculate to a Recognized Claim. For additional information, please reference Appendix A of the Settlement Notice. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial seceptance," unless this deficiency is cured.

Please note, even if you cure the noted deficiency(les), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Chain to determine lift has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Scallement Notice. If you disagree with the condition(s) identified in this mone, you may contact us for assistance and/or request Court review of our administrative determination regarding your Chain,

To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are concerting the fell or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerting your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filling of your Claim and supporting documentation with the Court with financial account numbers and certain other information reducted. PLEASE NOTE: COURT REVIEW SHOULD ONLY HE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR'S DETERMINATION REGARDING

If you have any quentous about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerciy, Claims Administrator

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 158 of 355 AS - IS
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Guerrero, Casandra

From:

Info_LuckinCoffeeSecuritiesL

Sent:

Saturday, April 23, 2022 4:18 AM

To:

Hudson, Renee

Subject:

FW: Request for Court Review due to missing signature and/or proof of Authority to

Sign

Attachments:

Luckin-1 signed.jpg; Luckin-2 signed.jpg; LuckinSt-purch.jpg

----- Original Message -----

From:

Received: 4/6/2022 8:49 AM

To: info@LuckinCoffeeSecuritiesLitigation.com; Info@LuckinCoffeeSecuritiesLitigation.com **Subject:** Request for Court Review due to missing signature and/or proof of Authority to Sign

CAUTION: This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Per the notice of Deficient Claim Submission (attached) I: 1- have attached a copy of notice; specifically requesting Court Review for missing signature; attached page 2 with signature provided; and 3; copy of the stock purchases through my Fidelity Account... Richard F. Wallace

April 6, 2022

Ronald Burton (18435)

PART I - CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

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Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 162 of 355

PART III - SCHEDULE OF TRANSACTIONS IN LUCKIN ADS

Use this section to provide information on your holdings and trading of Luckin ADSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 7 above.

	1	including tree teceinisi (GH JULY 15, 2020, INC of Luckin ADSs from May	17. 2017 1111	UUZII AIIU I
including the close of	trading on July 15, 202	Public Offering and Luc	purchased in Luckin's May ckin ADSs purchased on t		
May 17, 2019 through Ju	ly 15, 2020. (Must be doc	umented.)		,	
Date of Purchase/ Acquisition (List Chronologically) (Month/Day/Year)	Number of ADSs Purchased/ Acquired	Purchase Price Per ADS	Total Purchase Price (excluding any fees, commissions, and taxes)	Were the shares purchased in or traceable to the May 2019 IPO or the Jan. 2020 SPO?	Confirm Proof of Purchase/ Acquisition Enclosed
052020	3000	3.65	9150.	N	7
052020	3000	13.05	9130.	M	
052020	1000	13.05	3050.	N	Y
052020	3000	3.12	9360.	\overline{A}	习
051020	3000	13.12	9360. I	W	7
total number of Luckin October 20, 2021. If nor	ADSs purchased or acque, write "zero" or "0."	ULY 16, 2020 THROUG uired (including free recei	SH OCTOBER 20, 2021, If ots) from July 16, 2020 through	NCLUSIVE - th the close of	State the trading on
					I I NOVE
3. SALES FROM M. disposition (including f October 20, 2021. (Mus	ree deliveries) of Luckin a	H OCTOBER 20, 2021 ADSs from May 17, 2019 th	 Separately list each and or one of the close 	every sale or of trading on	IF NONE, CHECK HARB
Date of Sale (List Chronologically) (Month/Day/Year)	Number of ADSs Sold	Sale Price Per ADS	Total Sale Price (not deducting any fees, commiss	ions, and taxes)	Confirm Proof of Sale Enclosed
				•	
			T. H.	•	
			17 00	•	
				•	
				• 📗	
4. HOLDINGS AS OI October 20, 2021. (Mu	FOCTOBER 20, 2021 – st be documented.) If non-	State the total number of L e, write "zero" or "0."	uckin ADSs held as of the clos	e of trading on	Confirm Proof of Position Enclosed
SAME FORMAT. F	DINT THE RENEFIC	MAL OWNER'S FULL N NUMBER ON EACH A	ABOVE, ATTACH EXTRA NAME AND LAST FOUL ADDITIONAL PAGE. IF YO	K DIGIIS O	r SUCIAL
		- ·- · · · · · · ·			

Questions? Visit www.LuckinCoffeeSecuritiesLitigation.com or call 1-855-535-1824

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05-CA40050093

Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

PART III - SCHEDULE OF TRANSACTIONS IN LUCKIN ADS

Use this section to provide information on your holdings and trading of Luckin ADSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 7 above.

				LICINE Computals
			GH JULY 15, 2020, INCl of Luckin ADSs from May	
list each and every pu	trading on July 15, 2020	0. Include Luckin ADSs	purchased in Luckin's May	17, 2019 Initial Public
Officing and Innuary	10 2020 Secondary F	ublic Offering and Luc	kin ADSs purchased on t	he open market from
May 17, 2019 through Ju	ly 15, 2020. (Must be docu	imented.)		
				Were the shares
l				purchased in
Date of Burchasel			!	to the May Proof of
Date of Purchase/ Acquisition	Number of ADSs	Purchase	Total Purchase Price (excluding any fees,	2019 IPO or Purchase/ the Jan. 2020 Acquisition
(List Chronologically) (Month/Day/Year)	Purchased/ Acquired	Price Per ADS	commissions, and taxes)	SPO? Enclosed
052020	1000	3.12	3120.	
057120	2000	12.60	5200.	N Y
082120	2000	7 7	5000	
			वित्यत ।	
032120	4000	14.14	1 4 2 0 •	
			<u> </u>	
2. PURCHASES/ACC	UISITIONS FROM JU	JLY 16, 2020 THROUG	CH OCTOBER 20, 2021, IN	CLUSIVE - State the
total number of Luckin October 20, 2021. If nor	ADSs purchased or acqui	irea (including free feces)	ots) from July 16, 2020 throug	if the close of trading on
1 2 E				
		U OCTOBED 10 2021	- Separately list each and o	every sale or IF NONE,
3. SALES FROM M.	ree deliveries) of Luckin A	ADSs from May 17, 2019 th	rough and including the close	of trading on Check
October 20, 2021. (Mus	t be documented.)	•	•	HERE
				Confirm Proof
Date of Sale (List Chronologically)	Number of	Sale Price	Total Sale Price	of Sale
(Month/Day/Year)	ADSs Sold	Per ADS	(not deducting any fees, commiss	lons, and taxes) Enclosed
0 5 1 0 20	7000	3.28	22960	• 📗 🛮 💆 📗
092020	7000	12.93	20510	• <u> </u>
052220	8000	11.39	10800	$\cdot \Box \mid \Sigma \mid$
		╣┖╍┸╾┸╾╣ [╺] ┖╼ ┸ ╾╣		
				•
4. HOLDINGS AS O	F OCTOBER 20, 2021 - 5	State the total number of Li	uckin ADSs held as of the close	of trading on Confirm Proof of
October 20, 2021. (Mu	st be documented.) If none	zero or o.	\mathcal{O}	Position
ALKUNG		20		Enclosed
	ADDITIONAL CRACE	EOD THE COURNING	ABOVE, ATTACH EXTRA	SCHEDULES IN THE
OARED DODREAT I	IDIN'N THE BENEFIC	TAT OWNER'S KILL.	NAME AND LAST FUUN	C DIGITS OF SOCIAL!
SECURITY/TAXPA	YER IDENTIFICATION	NUMBER ON EACH A	IDDITIONAL PAGE, IF YO	U DO ALIACH I
ASCHEDULES, CHE	CK THIS BOX. 🔼 🤾	ONABO S.	BURTON. 5	com-L=

Questions? Visit www.LuckinCoffeeSecuritiesLitigation.com or call 1-855-535-1824

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Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

PART IV - RELEASE OF CLAIMS AND SIGNATURE

YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON PAGE 7 OF THIS CLAIM FORM.

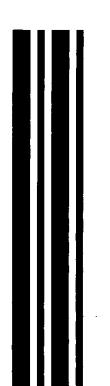
I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) and my (our) (the claimant(s)') heirs, executors, administrators, predecessors, successors, and assigns, in their capacities as such, shall be deemed to have, and by operation of law and of the judgment shall have, fully, finally, and forever compromised, settled, released, resolved, relinquished, waived, and discharged each and every Released Plaintiffs' Claim against Luckin and the other Defendants' Released Parties, and shall forever be barred and enjoined from prosecuting any or all of the Released Plaintiffs' Claims against any of the Defendants' Released Parties in any jurisdiction.

CERTIFICATION

By signing and submitting this Claim Form, the claimant(s) or the person(s) who represent(s) the claimant(s) agree(s) to the release above and certifies (certify) as follows:

- 1. that I (we) have read and understand the contents of the Settlement Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;
- 2. that the claimant(s) is a (are) Class Member(s), as defined in the Settlement Notice, is (are) not excluded by definition from the Class as set forth in the Settlement Notice and did *not* submit a request for exclusion from the Class:
- 3. that I (we) own(ed) the Luckin ADSs identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Defendants' Released Parties to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
- 4. that the claimant(s) has (have) not submitted any other claim covering the same purchases of Luckin ADSs and knows (know) of no other person having done so on the claimant's (claimants') behalf;
- 5. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;
- 6. that I (we) agree to furnish such additional information with respect to this Claim Form as Class Counsel, the Claims Administrator, or the Court may require;
- 7. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this claim, and waives any right of appeal or review with respect to such determination;
- 8. that should Luckin determine in its absolute discretion that the Settlement should also be implemented in the Cayman Islands by way of a scheme of arrangement promulgated under section 86 of the Cayman Islands Companies Act 1981 (the "Scheme"), the claimant(s) appoint(s) Sjunde AP-Fonden and Louisiana Sheriff's Pension & Relief Fund as its/their proxy to vote in favor of the Scheme at all meetings convened for the purpose of approving the Scheme;
- 9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and
- that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.

UNDER THE PENALTY OF PERJURY UNDER THE LAWS OF THE OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM AND THAT THE DOCUMENTS SUBMITTED HEREWITH ARE THE PURPORT TO BE.	A FORM IS TRUE, CORRECT, AND COMPLETE,
Ronald But on Signature of claimant	Date: 03 - 12 - 2022
RONALD S. BURTON Print claimant name here	
	Date: MM DD - YYYY
Signature of joint claimant, if here	
Print joint claimant name here If the claimant is other than an individual, or is not the person comple	ting this form, the following also must be provided:
	Date: MM DD YYYY
Signature of person signing on behalf of claimant	·
Print name of person signing on behalf of claimant here	
Capacity of person signing on behalf of claimant, if other than an individust provide evidence of authority to act on behalf of claimant - see ¶ 1	



Attachments



Patch Code 3



DIVISION OF TO AMERITRADE INC



Confirmation Notice

RON BURTON

Account Number	Other Information	Transaction Number	Capacity Codes	Your Represen		
		26474021124	Α	AMERITRADE	PLUS 200)2
Activity	Quantity	CUSIP Number	Price	Principal - Amount	Misc Fees	Reg Fee
YOU BOUGHT	7,000	54951L109	3.05	21,350.00	0.00	0.00
As of Trade Date	Trade Date	Settlement Date	Interest	Commission/Fee	N: Amo	
	05/20/2020	05/22/2020		0.00	21,3	50.00
Symbol			Trade Description			
1.12	LUCKIN COFFEE					
LK	ADR SPONSORE	,				

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for further information regarding your trade confirmation please refer to the terms and conditions.



DIVISION OF TD AMERITRADE INC



Confirmation Notice

RON BURTON

Account Number	Other Information	Transaction Number	Capacity Codes	You Represer	•	
		26474027430	Α	AMERITRADE	PLUS 20	02
Activity	Quantity	CUSIP Number	Price	Principal - Amount	Misc Fees	Reg Fee
YOU SOLD	7,000	54951L109	3.28	22,960.00		1.34
As of Trade Date	Trade Date	Settlement Date	Interest	Commission/Fee		let ount
	05/20/2020	05/22/2020		0.00	22,9	58.66
Symbol			Trade Descriptio	n		
	LUCKIN COFFEE	INC				
LK	ADR SPONSORE	D				

CONFIRMATION OF TAX LOT METHOD AVAILABLE VIA GAIN/LOSS PAGE. THIS IS AN UNSOLICITED TRADE

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Confirmation Notice

RON BURTON

Account Number	Other Information	Transaction Number	Capacity Codes	You Represer	•					
		26474051868	Α	AMERITRADE	AMERITRADE PLUS 2002					
Activity	Quantity	CUSIP Number	Price	Principal - Amount	Misc Fees	Reg Fee				
YOU BOUGHT	7,000	54951L109	3.12	21,840.00		0.00				
As of Trade Date	Trade Date	Settlement Date	Interest	Commission/Fee		let ount				
	05/20/2020	05/22/2020		0.00	21,8	40.00				
Symbol			Trade Descriptio	n						
	LUCKIN COFFEE	INC								
LK	ADR SPONSORE	D								

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Confirmation Notice

RON BURTON

Account Number	Other Information	Transaction Number	Capacity Codes	You Represer	-				
		26474919240	Α	AMERITRADE	AMERITRADE PLUS 2002				
Activity	Quantity	CUSIP Number	Price	Principal - Amount	Misc Fees	Reg Fee			
YOU SOLD	7,000	54951L109	2.93 '	20,510.00		1.28			
As of Trade Date	Trade Date	Settlement Date	Interest	Commission/Fee		let ount			
	05/20/2020	05/22/2020		0.00	20,5	08.72			
Symbol			Trade Descriptio	n					
LK	LUCKIN COFFEE ADR SPONSOREI	=							

CONFIRMATION OF TAX LOT METHOD AVAILABLE VIA GAIN/LOSS PAGE. THIS IS AN UNSOLICITED TRADE

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DIVISION OF TO AMERITRADE INC



Confirmation Notice

RON BURTON

Account Number	Other Information	Transaction Number	Capacity Codes				
		26496400946	Α				
Activity	Quantity	CUSIP Number	Price	Principat	Misc Fees	Reg Fee	
YOU BOUGHT	4,000	54951L109	2.60	10,400.00	0.00	0.00	
As of Trade Date	Trade Date	Settlement Date	Interest	Commission/Fee		Net Amount	
	05/21/2020	05/26/2020		0.00	10,4	00.00	
Symbol			Trade Description	n	•		
	LUCKIN COFFEE INC						
LK	ADR SPONSOREI	D					

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Confirmation Notice

RON BURTON

Account Number	Other Information	Transaction Number	Capacity Codes	Your Representative AMERITRADE PLUS 2002			
		26497691330	Α				
Activity	Quantity	CUSIP Number	Price	Principal - Amount	Misc Fees	Reg Fee	
YOU BOUGHT	4,000	54951L109	2.32	9,280.00		0.00	
As of Trade Date	Trade Date	Settlement Date	Interest	Commission/Fee		Net Amount	
	05/21/2020	05/26/2020		0.00	9,28	30.00	
Symbol			Trade Description	1			
	LUCKIN COFFEE INC						
LK	ADR SPONSOREI)					

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DIVISION OF TO AMERITRADE INC



Confirmation Notice

RON BURTON

Account Number	Other Information	Transaction Number	Capacity Codes	Your Representative AMERITRADE PLUS 2002			
		26522201148	Α				
Activity	Quantity	CUSIP Number	Price	Principal - Amount	Misc Fees	Reg Fee	
YOU SOLD	8,000	54951L109	1.35	10,800.00	0.00	1.19	
As of Trade Date	Trade Date	Settlement Date	Interest '	Commission/Fee		Net Amount	
	05/22/2020	05/27/2020		0.00	10,79	98.81	
Symbol			Trade Description				
LK	LUCKIN COFFEE INC ADR SPONSORED						

CONFIRMATION OF TAX LOT METHOD AVAILABLE VIA GAIN/LOSS PAGE. THIS IS AN UNSOLICITED TRADE

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Neal, Malika

From: Info_LuckinCoffeeSecuritiesL
Sent: Saturday, March 12, 2022 3:14 PM

To: Claims_LuckinCoffeeSecuritie

Subject: Luckin Coffee Inc. Securities Litigation – Claim Upload

Contact Information

Location: \\Ca003-prfs001\CA-7\Luckin Coffee Inc. Securities Litigation - 40050093\Electronic Files

Received\Claim\24308\

Name: Ronald Burton

Address:

Phone Number:

Email:

Date and Time: 3/12/2022 3:14:23 PM

Confirmation Number:

Divider Page

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 176 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

400500930004718453 000 0000387 00000000 0001 0001 00387 INS: 0 0 RONALD S BURTON

Claim Number: 18435

Response Deadline: May 16, 2022

April 26, 2022

Notice of Deficient Claim Submission

Dear Claimant:

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action *In re Luckin Coffee Inc. Securities Litigation*, Case No. 1:20-cv-01293-JPC-JLC (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fail to respond by the response deadline set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that those conditions remain uncured. This is the only notice you will receive with respect to this Claim.

PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

Ineligibility Condition: No Recognized Claim.

In accordance with the Plan of Allocation set forth in the Settlement Notice, the Claim referenced above does not calculate to a Recognized Claim. An example of a condition that would result in no Recognized Claim is that all of the Luckin ADSs purchased during the Class Period were sold for a gain. Because your Claim does not calculate to a Recognized Claim, either for the reason noted in the preceding sentence or for another reason, it is not eligible to receive a distribution from the Net Settlement Fund. Unless you had additional transactions in Luckin ADSs during the Class Period (i.e., May 17, 2019, through July 15, 2020, inclusive) that are not reflected in your Claim, this is NOT a curable deficiency.

<u>How to Resolve</u>: You can resolve this condition of ineligibility only by submitting additional transactions in Luckin ADSs during the Class Period that were not previously reflected in your Claim and which make your Claim calculate to a Recognized Claim. For additional information, please reference Appendix A of the Settlement Notice. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial acceptance," unless this deficiency is cured.



Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. The Court will consider approval of the Settlement and the proposed Plan of Allocation at a hearing to be held on July 22, 2022. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court with financial account numbers and certain other information redacted. PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR'S DETERMINATION REGARDING YOUR CLAIM.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator

Divider Page

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

400500930004718453 000 0000387 00000000 0001 0001 00387 INS: 0 0 RONALD S BURTON____

Claim Number:

18435

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PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

Ineligibility Condition: No Recognized Claim.

In accordance with the Plan of Allocation set forth in the Settlement Notice, the Claim referenced above does not calculate to a Recognized Claim. An example of a condition that would result in no Recognized Claim is that all of the Luckin ADSs purchased during the Class Period were sold for a gain. Because your Claim does not calculate to a Recognized Claim, either for the reason noted in the preceding sentence or for another reason, it is not eligible to receive a distribution from the Net Settlement Fund. Unless you had additional transactions in Luckin ADSs during the Class Period (i.e., May 17, 2019, through July 15, 2020, inclusive) that are not reflected in your Claim, this is NOT a curable deficiency.

How to Resolve: You can resolve this condition of ineligibility only by submitting additional transactions in Luckin ADSs during the Class Period that were not previously reflected in your Claim and which make your Claim calculate to a Recognized Claim. For additional information, please reference Appendix A of the Settlement Notice. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial acceptance," unless this deficiency is cured.



Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. The Court will consider approval of the Settlement and the proposed Plan of Allocation at a hearing to be held on July 22, 2022. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court with financial account numbers and certain other information redacted. PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR'S DETERMINATION REGARDING YOUR CLAIM.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator

PART I - CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

Beneficial Owner's Name First Name		MI	Last Na	ne						
ROMALD		5	B A	RTO	N					
Joint Beneficial Owner's Name (if app. First Name	icable)	Ml	Last Na	me						
If this claim is submitted for an IRA, the IRA, please include "IRA" in the "	Last Name" box ab	oove (e.g.	neck that y , Jones IR	you MAY b A).	e eligibl	e to re	seive n	iade p	ayabl	c to
Entity Name (if the Beneficial Owner	s not an individual)		I - I - I -	т	1 1	$\neg \neg$	$\neg \neg$	TT	
		<u>`</u>]			1			_ــــ	ــــــــــــــــــــــــــــــــــــــ	ل
Name of Representative, if applicable	executor, administ	rator, tr	ustee, c/o,	etc.), if diff	erent fro	m Ber	eficial	Owne	;r	
			<u> </u>			Ш.				لـــا
Last 4 digits of Social Security Numb	er or Taxpayer Iden	tification	n Number							
Street Address									7	
City			_	<u>.ll</u>	State/I	rovino	e ZIP	Code		1
City										
Foreign Postal Code (if applicable)	Foreign (Country	(if applica	ible)						
										Ш
Telephone Number (Day)	1	Telephon	e Number	(Evening)						
Email Address (Email address is no providing you with information relev	required, but if y	ou prov	iđe it you	authorize t	he Claii	ns Ad	ministr	ator to	o use	it in
providing you with assessment	<u>, , , , , , , , , , , , , , , , , , , </u>		,							
Account Number								··		
						ot				
Type of Beneficial Owner:										
Specify one of the following:										
Individual(s) Corporation	uGMA	Custodi	ian	☐ IRA		-				
Partnership Estate	Trust			Other	(descrit	e:				_)

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 182 of 355

PART III - SCHEDULE OF TRANSACTIONS IN LUCKIN ADSS

Use this section to provide information on your holdings and trading of Luckin ADSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 7 above.

list each and every puincluding the close of Offering and January	rchase or acquisition (i	including free receipts) on the control of the cont	GH JULY 15, 2020, INC of Luckin ADSs from May purchased in Luckin's May ckin ADSs purchased on t	17, 2019 thr	ial Public
Date of Purchase/	7,000			Were the shares purchased in or traceable to the May	Confirm Proof of
Acquisition (List Chronologically) (Month/Day/Year)	Number of ADSs Purchased Acquired	Purchase Price Per ADS	Total Purchase Price (excluding any fees, commissions, and taxes)	2019 IPO or the Jan. 2020 SPO?	Purchase/ Acquisition Enclosed
052020	3000	3.05	9150	<u> </u>	岩
052020	1000	13.05	3050		
052020	3000	3.12	9360		
2 PURCHASES/ACO	UISITIONS FROM JU	JLY 16, 2020 THROUG	H OCTOBER 20, 2021, IF	NCLUSIVE -	State the
total number of Luckin October 20, 2021. If nor	ADSs purchased or acqu	aired (including free receip	ots) from July 16, 2020 throug	th the close of	trading on
3. SALES FROM M. disposition (including f October 20, 2021. (Mus	ree deliveries) of Luckin A	H OCTOBER 20, 2021 ADSs from May 17, 2019 th	Separately list each and on rough and including the close	every sale or of trading on	IF NONE, CHECK HAR
Date of Sale (List Chronologically) (Month/Day/Year)	Number of ADSs Sold	Sale Price Per ADS	Total Sale Price (not deducting any fees, commiss	ions, and taxes)	Confirm Proof of Sale Enclosed
				•	
	C			•	
				• 🔲	
		•		• 🔲	
4. HOLDINGS AS OF October 20, 2021. (Mus	FOCTOBER 20, 2021 – S st be documented.) If none	State the total number of L e, write "zero" or "0."	uckin ADSs held as of the close	e of trading on	Confirm Proof of Position Enclosed
			TOWN AND COLUMN	COMEDIA	CC IN THE
SAME FORMAT. P	RINT THE RENEFIC	IAL OWNER'S FULL I NUMBER ON EACH A	ABOVE, ATTACH EXTRA NAME AND LAST FOUR ADDITIONAL PAGE. IF YO SOC	C DIGITS O	F SUCIAL

Questions? Visit www.LuckinCoffeeSecuritiesLitigation.com or call 1-855-535-1824

05-CA40050093 AE9085 v.09 5 1012

Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 183 of 355

PART III - SCHEDULE OF TRANSACTIONS IN LUCKIN ADS

Use this section to provide information on your holdings and trading of Luckin ADSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 7 above.

list each and every princluding the close of	irchase or acquisition (1)	ncluding free feceipts) of the feceipts of the feceipts of the feceipts and feceipts of the fe	of Luckin ADSs from May purchased in Luckin's May ckin ADSs purchased on t	17 2019 Initi	al Public
Date of Purchase/ Acquisition	Number of ADSs	Purchase	Total Purchase Price (excluding any fees,	Were the shares purchased in or traceable to the May 2019 IPO or the Jan. 2020	Confirm Proof of Purchase/ Acquisition
(List Chronologically) (Month/Day/Year)	Purchased/ Acquired	Price Per ADS	commissions, and taxes)	SPO?	Enclosed
052020	. 1000	3.12	3120.	<u>M</u>	
057120	2000	2.60	5200.	N	X
082120	0000	7.60	5200.	~	\mathbb{Z}
032120	14000	72.72	928D.	W	X
19721121V					\cap
A DURCH ASESIACI	NUSCITIONS FROM II	ILV 16, 2020 THROUG	GH OCTOBER 20, 2021, II	NCLUSIVE -	State the
Ltotal number of Luckin	ADSs purchased or acquine, write "zero" or "0."	nired (including free receip	pts) from July 16, 2020 throug	gh the close of	trading on
00.000, 20, 2021 II II					
1 					TE NONE
3. SALES FROM M disposition (including October 20, 2021. (Mu	free deliveries) of Luckin A	H OCTOBER 20, 2021 ADSs from May 17, 2019 t	 Separately list each and hrough and including the close 	every sale or of trading on	IF NONE, CHECK HERE
disposition (including	free deliveries) of Luckin A	ADSs from May 17, 2019 the Sale Price Per ADS	- Separately list each and hrough and including the close Total Sale Price (not deducting any fees, commissions)	of trauming on	CHECK
disposition (including October 20, 2021. (Mu Date of Sale (List Chronologically)	free deliveries) of Luckin Ast be documented.) Number of	ADSs from May 17, 2019 to	Total Sale Price	of trauming on	CHECK HERE Confirm Proof of Sale
October 20, 2021. (Mu Date of Sule (List Chronologically) (Month/Day/Year)	Number of ADSs Sold	ADSs from May 17, 2019 to	Total Sale Price	of trauming on	CONFIRM Proof of Sale Enclosed
Date of Sale (List Chronologically) (Month/Day/Year) 0 51020	Number of ADSs Sold	Sale Price Per ADS 28 29 20 30 28	Total Sale Price	of trauming on	CHECK HERE Confirm Proof of Sale
October 20, 2021. (Mu Date of Sale (List Chronologically) (Month/Day/Year) 0 5 1 0 20	Number of ADSs Sold	Sale Price Per ADS 28 29 20 30 28	Total Sale Price (not deducting any fees, commission of the Commis	of trauming on	CONFIRM Proof of Sale Enclosed
Date of Sale (List Chronologically) (Month/Day/Year) 0 51020	Number of ADSs Sold	Sale Price Per ADS 28 29 20 30 28	Total Sale Price (not deducting any fees, commission of the Commis	of trauming on	CONFIRM Proof of Sale Enclosed
Date of Sule (List Chronologically) (Month/Day/Year) 0 5 1 0 2 0 5 2 0 2 0	Number of ADSs Sold 7000 7000 8000	Sale Price Per ADS 13 • 28 10 • 93	Total Sale Price (not deducting any fees, commission of the control of the contro	sions, and taxes)	CHECK HERE Confirm Proof of Sale Enclosed Confirm Confirm
Date of Sule (List Chronologically) (Month/Day/Year) 0 5 1 0 2 0 5 2 0 2 0 4 HOLDINGS AS 0	Number of ADSs Sold 7000 7000 8000	Sale Price Per ADS 12.9 13.2 13.5	Total Sale Price (not deducting any fees, commission of the close of t	sions, and taxes)	Confirm Proof of Sale Enclosed Confirm Proof of Sale Enclosed Confirm Proof of Position
Date of Sule (List Chronologically) (Month/Day/Year) 0 5 1 0 2 0 5 2 0 2 0 4 HOLDINGS AS 0	Number of ADSs Sold	Sale Price Per ADS 13 • 28 10 • 11 • 35 State the total number of L	Total Sale Price (not deducting any fees, commission of the close of t	sions, and taxes)	Confirm Proof of Sale Enclosed Confirm Proof of Sale Enclosed
disposition (including October 20, 2021. (Mu Date of Sale (List Chronologically) (Month/Day/Year) O 5 1 0 2 0 S 7 0 2 0 A HOLDINGS AS OCtober 20, 2021. (Mi	Number of ADSs Sold No D No	Sale Price Per ADS 3 • 28 1 3 • 93 1 3 • 35 1 5 •	Total Sale Price (not deducting any fees, commission of the close of t	sions, and taxes) I a a a a a a a a a a a a a a a a a a	CHECK HERE Confirm Proof of Sale Enclosed Confirm Proof of Sale Enclosed Confirm Proof of Position Enclosed
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Questions? Visit www.LuckinCoffeeSecuritiesLitigation.com or call 1-855-535-1824
05-CA40050093
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Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

PART IV - RELEASE OF CLAIMS AND SIGNATURE

YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON PAGE 7 OF THIS CLAIM FORM.

I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) and my (our) (the claimant(s)') heirs, executors, administrators, predecessors, successors, and assigns, in their capacities as such, shall be deemed to have, and by operation of law and of the judgment shall have, fully, finally, and forever compromised, settled, released, resolved, relinquished, waived, and discharged each and every Released Plaintiffs' Claim against Luckin and the other Defendants' Released Parties, and shall forever be barred and enjoined from prosecuting any or all of the Released Plaintiffs' Claims against any of the Defendants' Released Parties in any jurisdiction.

CERTIFICATION

By signing and submitting this Claim Form, the claimant(s) or the person(s) who represent(s) the claimant(s) agree(s) to the release above and certifies (certify) as follows:

- 1. that I (we) have read and understand the contents of the Settlement Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;
- 2. that the claimant(s) is a (are) Class Member(s), as defined in the Settlement Notice, is (are) not excluded by definition from the Class as set forth in the Settlement Notice and did *not* submit a request for exclusion from the Class:
- 3. that I (we) own(ed) the Luckin ADSs identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Defendants' Released Parties to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
- 4. that the claimant(s) has (have) not submitted any other claim covering the same purchases of Luckin ADSs and knows (know) of no other person having done so on the claimant's (claimants') behalf;
- 5. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;
- 6. that I (we) agree to furnish such additional information with respect to this Claim Form as Class Counsel, the Claims Administrator, or the Court may require;
- 7. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this claim, and waives any right of appeal or review with respect to such determination;
- 8. that should Luckin determine in its absolute discretion that the Settlement should also be implemented in the Cayman Islands by way of a scheme of arrangement promulgated under section 86 of the Cayman Islands Companies Act 1981 (the "Scheme"), the claimant(s) appoint(s) Sjunde AP-Fonden and Louisiana Sheriff's Pension & Relief Fund as its/their proxy to vote in favor of the Scheme at all meetings convened for the purpose of approving the Scheme;
- 9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and
- that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.

UNDER THE PENALTY OF PERJURY UNDER THE LAWS OF THE UOF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM FAND THAT THE DOCUMENTS SUBMITTED HEREWITH ARE TRUPURPORT TO BE.	FORM IS TRUE, CORRECT, AND COMPLETE,
Rossald Button Signature of claimant	Date: O 3 - t 2 - 2 0 2 2 NYYY
RONALD S_BURTON Print claimant name here	
Signature of joint claimant, if here	Date: MM DD - YYYY
Print joint claimant name here	
If the claimant is other than an individual, or is not the person completin	ng this form, the following also must be provided:
	Date: MM - DD - YYYY
Signature of person signing on behalf of claimant	•
Print name of person signing on behalf of claimant here	
Capacity of person signing on behalf of claimant, if other than an individu (Must provide evidence of authority to act on behalf of claimant – see ¶ 11	

Claims Administrator

In re Luckin Coffee Inc Securities Litigation
Care of: Epiq Class Action & Claims Solutions, Inc.
P.O.Box 5887
Portland, OR 97228

May 13, 2022

Re Claim Number 18435 Ronald S Burton

Claim Administrator

Please see the attached Notice of Deficient Claim as required

I kindly request the Court review the rejection of my claim. I have proven a loss of \$8,600 in the documentation and claim form previously sent and again attached. The calculation is further supported by the enclosed spreadsheet calculation. It shows 22,000 shares purchased and sold across 3 days for a loss of \$8,600.

The brokerage statements enclosed support all these transactions.

All requested supporting documentation is enclosed.

Thank you for your review.

Ron Burton





Confirmation Notice

RON BURTON

Account Number	Other Information	Transaction Number	Capacity Codes	Your Represen	tative	
		26474021124	Α	AMERITRADE	PLUS 200)2
Activity	Quantity	CUSIP Number	Price	Principal - Amount	Misc Fees	Reg Fee
YOU BOUGHT	7.000	54951L109	3.05	21,350.00	0.00	0.00
As of Trade Date	Trade Date	Settlement Date	Interest	Commission/Fee	N: Amo	
11000 2010	05/20/2020	05/22/2020		0.00	21,3	50.00
Symbol			Trade Description			
•	LUCKIN COFFEE	INC				
LK	ADR SPONSORE	:D				

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Confirmation Notice

RON BURTON

Account Number	Other Information	Transaction Number	Capacity Codes	You Represer	-	
		26474027430	Α	AMERITRADE	PLUS 20	02
Activity	Quantity	CUSIP Number	Price	Principal - Amount	Misc Fees	Reg Fee
YOU SOLD	7,000	54951L109	3.28	22,960.00		1.34
As of Trade Date	Trade Date	Settlement Date	Interest	Commission/Fee		let ount
	05/20/2020	05/22/2020		0.00	22,9	58.66
Symbol			Trade Descriptio	n		
	LUCKIN COFFEE	E INC				
LK ·	ADR SPONSORE	D				

CONFIRMATION OF TAX LOT METHOD AVAILABLE VIA GAIN/LOSS PAGE. THIS IS AN UNSOLICITED TRADE

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Account Number	Other Information	Transaction Number	Capacity Codes	You Represer	•	
		26474051868	Α	AMERITRADE	PLUS 20	02
Activity	Quantity	CUSIP Number	Price	Principal - Amount	Misc Fees	Reg Fee
YOU BOUGHT	7,000	54951L109	3.12	21,840.00		0.00
As of Trade Date	Trade Date	Settlement Date	Interest	Commission/Fee		let ount
	05/20/2020	05/22/2020		0.00	21,8	40.00
Symbol			Trade Description	n		
	LUCKIN COFFEE	INC				
LK	ADR SPONSORE	D				

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Confirmation Notice

RON BURTON

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Account Number	Other Information	Transaction Number	Capacity Codes	You Represen		
		26474919240	Α	AMERITRADE	PLUS 20	02
Activity	Quantity	CUSIP Number	Price	Principal - Amount	Misc Fees	Reg Fee
YOU SOLD	7.000	54951L109	2.93	20,510.00		1.28
As of Trade Date	Trade Oate	Settlement Date	Interest	Commission/Fee	-	let lount
Trouc para	05/20/2020	05/22/2020		0.00	20,5	08.72
Symbol			Trade Description	n		
•	LUCKIN COFFEE	INC				

CONFIRMATION OF TAX LOT METHOD AVAILABLE VIA GAIN/LOSS PAGE. THIS IS AN UNSOLICITED TRADE

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Confirmation Notice

RON BURTON

Account Number	Other Information	Transaction Number	Capacity Codes	You Represer	•	
		26496400946	Α	AMERITRADE	PLUS 200	02
Activity	Quantity	CUSIP Number	Price	Principal - Amount	Misc Fees	Reg Fee
YOU BOUGHT	4,000	54951L109	2.60	10,400.00	0.00	0.00
As of Trade Date	Trade Date	Settlement Date	Interest	Commission/Fee	N: Amo	
	05/21/2020	05/26/2020		0.00	10.4	00.00
Symbol			Trade Description	n	- •	
	LUCKIN COFFEE	INC				
LK	ADR SPONSORE	D				

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Confirmation Notice

RON BURTON

Account Number	Other Information	Transaction Number	Capacity Codes	Your Represent	ative	
		26497691330	Α	AMERITRADE	PLUS 200)2
Activity	Quantity	CUSIP Number	Price	Principal - Amount	Misc Fees	Reg Fee
YOU BOUGHT	4,000	54951L109	2.32	9,280.00		0.00
As of Trade Date	Trade Date	Settlement Date	Interest	Commission/Fee		et ount
	05/21/2020	05/26/2020		0.00	9,28	30.00
Symbol			Trade Description			
	LUCKIN COFFEE I	NC				
LK	ADR SPONSORED	1				

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Confirmation Notice

RON BURTON

Account Number	Other Information	Transaction Number	Capacity Codes	Your Represent	tative	
		26522201148	Α	AMERITRADE	PLUS 200)2
Activity	Quantity	CUSIP Number	Price	Principal ~ Amount	Misc Fees	Reg Fee
YOU SOLD	8.000	54951L109	1.35 `	10,800.00	0.00	1.19
As of Trade Date	Trade Date	Settlement Date	Interest	Commission/Fee	No Amo	
ingue Date	05/22/2020	05/27/2020		0.00	10,79	98.81
Symbol			Trade Descriptio	n		
•	LUCKIN COFFEE	INC				

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CONFIRMATION OF TAX LOT METHOD AVAILABLE VIA GAIN/LOSS PAGE. THIS IS AN UNSOLICITED TRADE

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Luckin Transactions during Class Period

Calculation of Loss:

These are all supported by the attached transaction documents

Claim Number 18435

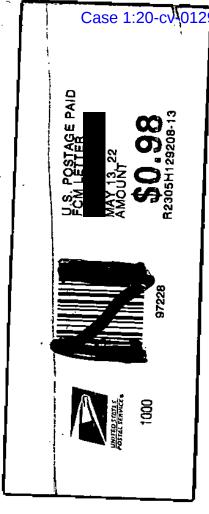
Ronald S Burton

Purchases

Date	Number	Price	
20-May-20	7,000	\$21,350	
20-May-20	7,000	\$21,840	AS-IS
21-May-20	4,000	\$10,400	Document Company
21-May-20	4,000	\$9,280	Content
Total Purchased	22,000	\$62,870 Total Cost	

Sales

Date	Number	Price
20-May-20	7,000	\$22,960
20-May-20	7,000	\$20,510
22-May-20	8,000	\$10,800
Total Sold	22,000	\$54,270 Sales Price
Loss		\$8,600



CLASS ACTION & CLAIMS SOLUTIONS INC SECURING LEIGASION 120 COFFEE CLACM ADMINISTRIATOR LUCKIN F P (A) IN AR CARA

97228-5887 ORYLAND

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因のX

BURTON

Sonal Patel (21803)

PART I - CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

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Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 198 of 355

PART III - SCHEDULE OF TRANSACTIONS IN LUCKIN ADSs

Use this section to provide information on your holdings and trading of Luckin ΛDSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 7 above.

list each and every p including the close of	urchase or acquisition (trading on July 15, 202	including free receipts) (20. Include Luckin ADSs	GH JULY 15, 2020, INCL of Luckin ADSs from May purchased in Luckin's May	17, 2019 through and 17, 2019 Initial Public					
Offering and January	10, 2020 Secondary 11y 15, 2020. (Must be doc	Public Offering and Lu-	ckin ADSs purchased on th	ne open market from					
Date of Purchase/ Acquisition (List Chronologically) (Month/Day/Year)	Number of ADSs Purchased/ Acquired	Purchase Price Per ADS	Total Purchase Price (excluding any fees, commissions, and taxes)	Were the shares purchased in or traceable to the May 2019 IPO or the Jan. 2020 SPO? Confirm Proof of Purchase/Acquisition Enclosed					
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3. BUBGH 4 SES/4 GO	HIGHTIONS FROM H	W. 16. 2020 TUROUS	W 00T0PEP 30 2021 IN						
2. PURCHASES/ACQUISITIONS FROM JULY 16, 2020 THROUGH OCTOBER 20, 2021, INCLUSIVE — State total number of Luckin ADSs purchased or acquired (including free receipts) from July 16, 2020 through the close of tradin October 20, 2021. If none, write "zero" or "0." 3. SALES FROM MAY 17, 2019 THROUGH OCTOBER 20, 2021 — Separately list each and every sale or disposition (including free deliveries) of Luckin ADSs from May 17, 2019 through and including the close of trading on October 20, 2021. (Must be documented.)									
Date of Sale (List Chronologically) (Month/Day/Year)	Number of ADSs Sold	Sale Price Per ADS	Total Sale Price (not deducting any fees, commission	Confirm Proof of Sale Enclosed					
033120	2000	26.69	578.	28 X					
033120	- 531	27.21	14448						
		•	•						
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4. HOLDINGS AS OF	OCTOBER 20, 2021 – St be documented.) If none,	tate the total number of Luc	ckin ADSs held as of the close o	of trading on Confirm Proof of					
October 20, 2021. (Mus	o o o	write zero of 0.		Position Enclosed					
18 110 V D = 2 - 1 - 1									
IF YOU REQUIRE ADDITIONAL SPACE FOR THE SCHEDULE ABOVE, ATTACH EXTRA SCHEDULES IN SAME FORMAT. PRINT THE BENEFICIAL OWNER'S FULL NAME AND LAST FOUR DIGITS OF SOCIETY/TAXPAYER IDENTIFICATION NUMBER ON EACH ADDITIONAL PAGE. IF YOU DO ATTACH EXTENDED SCHEDULES, CHECK THIS BOX.									

Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

PART IV - RELEASE OF CLAIMS AND SIGNATURE

YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON PAGE 7 OF THIS CLAIM FORM.

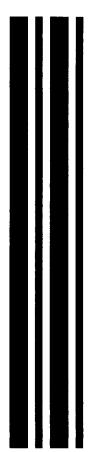
I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) and my (our) (the claimant(s)') heirs, executors, administrators, predecessors, successors, and assigns, in their capacities as such, shall be deemed to have, and by operation of law and of the judgment shall have, fully, finally, and forever compromised, settled, released, resolved, relinquished, waived, and discharged each and every Released Plaintiffs' Claim against Luckin and the other Defendants' Released Parties, and shall forever be barred and enjoined from prosecuting any or all of the Released Plaintiffs' Claims against any of the Defendants' Released Parties in any jurisdiction.

CERTIFICATION

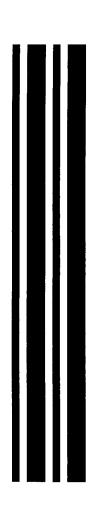
By signing and submitting this Claim Form, the claimant(s) or the person(s) who represent(s) the claimant(s) agree(s) to the release above and certifies (certify) as follows:

- 1. that I (we) have read and understand the contents of the Settlement Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;
- 2. that the claimant(s) is a (are) Class Member(s), as defined in the Settlement Notice, is (are) not excluded by definition from the Class as set forth in the Settlement Notice and did *not* submit a request for exclusion from the Class;
- 3. that I (we) own(ed) the Luckin ADSs identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Defendants' Released Parties to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
- 4. that the claimant(s) has (have) not submitted any other claim covering the same purchases of Luckin ADSs and knows (know) of no other person having done so on the claimant's (claimants') behalf;
- 5. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;
- 6. that I (we) agree to furnish such additional information with respect to this Claim Form as Class Counsel, the Claims Administrator, or the Court may require;
- 7. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this claim, and waives any right of appeal or review with respect to such determination;
- that should Luckin determine in its absolute discretion that the Settlement should also be implemented in the Cayman Islands by way of a scheme of arrangement promulgated under section 86 of the Cayman Islands Companies Act 1981 (the "Scheme"), the claimant(s) appoint(s) Sjunde AP-Fonden and Louisiana Sheriff's Pension & Relief Fund as its/their proxy to vote in favor of the Scheme at all meetings convened for the purpose of approving the Scheme;
- 9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and
- 10. that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.

UNDER THE PENALTY OF PERJURY UNDER THE LAWS OF THOSE THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM AND THAT THE DOCUMENTS SUBMITTED HEREWITH ARE PURPORT TO BE.	IM FORM IS TRUE, CORRECT, AND COMPLETE,
Seaty	Date: 03 - 12 - 2022
Signature of claimant	
SONAL PATEL	
Print claimant name here	_
	Date: MM DD YYYY
Signature of joint claimant, if here	
	7
Print joint claimant name here	
If the claimant is other than an individual, or is not the person compl	leting this form, the following also must be provided:
	Date: MM DD - YYYY
Signature of person signing on behalf of claimant	
	7
Print name of person signing on behalf of claimant here	
Capacity of person signing on behalf of claimant, if other than an individual provide evidence of authority to act on behalf of claimant – see ¶	vidual, e.g., executor, president, trustee, custodian, etc.



Attachments



Patch Code 3

TD Ameritrade Account:

My Account

Planning & Retirement Trade Research & Ideas

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Client Services

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Search

Printer-friendly page | 2 Page help

History & Statements

Transactions	Transactions Statements Confirmations Shareholder Library	Account Balances
		1/1/2020 Cash balance
Туре:	All transaction types ~	12/31/2020 Cash balance
Symbol(s): 63		Net change
·/chaquife	(separate symbol with commas)	1/1/2020 Cash alternatives balance
		12/31/2020 Cash alternatives balance
View range:	View range: Month-to-date 1 day. 7 days 14 days 30 days 60 days	Net change
View year:	2022 2021 2020 2019 2018 2017 2016 2015 Show More	
View dates:	Jan. ♥ 1 ♥ 2020 ♥ to: Dec. ♥ 31 ♥ 2020 ♥	Looking for tax documents?
	You can search a date range of up to one year.	To find 1099s and other tax documents, go to the Tax Center.
Sweeps:	Hide sweeps	
	Sweeps are uninvested cash transactions that move in and out of cash alternatives.	

Date/Time ►	Description	Amount	Commission	Reg Fee	Details
02/28/2020 11:15:41	Bought 1000 LK @ 37.445	-37,445.00	00:0	00.0	5
03/19/2020 11:28:26	Bought 200 LK @ 26.472	-5,294,40	0.00	0.00	
03/19/2020 14:32:13	Bought 1331 LK @ 24.285	-32,323.34	0.00	0.00	
03/31/2020 09:35:13	Sold 2000 LK @ 26.69	53,378.58	0.00	1.42	
03/31/2020 09:51:43	Sold 531 LK @ 27.21	14,448.14	00.0	0.37	

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Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 204 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

400500930004730995 000 0000194 00000000 0001 0001 00194 INS: 0 0 SONAL PATEL

Claim Number: 21803

Response Deadline: May 16, 2022

April 26, 2022

Notice of Deficient Claim Submission

Dear Claimant:

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action *In re Luckin Coffee Inc. Securities Litigation*, Case No. 1:20-cv-01293-JPC-JLC (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fail to respond by the response deadline set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that those conditions remain uncured. This is the only notice you will receive with respect to this Claim.

PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

Ineligibility Condition: No Recognized Claim.

In accordance with the Plan of Allocation set forth in the Settlement Notice, the Claim referenced above does not calculate to a Recognized Claim. An example of a condition that would result in no Recognized Claim is that all of the Luckin ADSs purchased during the Class Period were sold for a gain. Because your Claim does not calculate to a Recognized Claim, either for the reason noted in the preceding sentence or for another reason, it is not eligible to receive a distribution from the Net Settlement Fund. Unless you had additional transactions in Luckin ADSs during the Class Period (i.e., May 17, 2019, through July 15, 2020, inclusive) that are not reflected in your Claim, this is NOT a curable deficiency.

<u>How to Resolve</u>: You can resolve this condition of ineligibility only by submitting additional transactions in Luckin ADSs during the Class Period that were not previously reflected in your Claim and which make your Claim calculate to a Recognized Claim. For additional information, please reference Appendix A of the Settlement Notice. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial acceptance," unless this deficiency is cured.



Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. The Court will consider approval of the Settlement and the proposed Plan of Allocation at a hearing to be held on July 22, 2022. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court with financial account numbers and certain other information redacted. PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR'S DETERMINATION REGARDING YOUR CLAIM.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator To

In re Luckin Coffee Inc., Securities Litigation

c/o Epiq Class Action & Claims Solutions, Inc.

P.O. Box 5887

Portland, OR 97228-5887

Date: May 13th 2022

Subject: Court Review of Claim# 21803

Dear Claims Administrator,

With respect to your 'Notice of Deficient Claim' dated April 26th 2022, we have sent you email yesterday with relevant documentation and explanations to address the issue.

However, if that is not sufficient to address the deficiency claim as per your letter then please take this letter as our request for a Court Review to contest the rejection of my Claim# 21803

Lam attaching herewith a copy of

- 1) Deficient Claim notice that I received for my claim.
 - 2) A copy of the email we send you today
- 3) Full documentation of my eligible Luckin coffee transactions from my broker attached herewith clearly shows I incurred a loss (and not a gain) due to my transactions.

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Feel free to call or email if you'd like discuss further.

Thank you

Sonal Patel

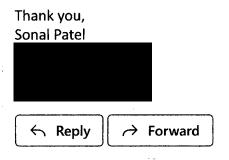


Hello LuckinCoffeeSecuritiesLigation team,

Claim number: 21803

Attached please find the full documentation as obtained from my broker for transactions in Luckin coffee securities during the class period for your reference and records -

Feel free to email or call me with any more information you need.



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May 11, 2022

Sonal Patel Roth Ira Td Ameritrade Inc Custodian

Re: Confirmation of Your Account Transaction History

Dear Sonal Patel,

LKNCY - LUCKIN COFFEE INC

Date		Activity	Quantity	Price	Amount
2/28/2020	Buy		1,000	\$ 37.45	\$(37,445.00)
3/19/2020	Buy		200	\$ 26.47	\$(5,294.40)
3/19/2020	Buy		1,331	\$ 24.29	\$(32,323.34)
3/31/2020	Sell		2,000	\$ 26.69	\$ 53,378.58
3/31/2020	Sell		531	\$ 27.21	\$ 14,448.14

If you have questions regarding your tax liability or need assistance with determining your cost basis, please consult with a qualified tax advisor. TD Ameritrade does not provide tax advice.

If we can be of any further assistance, please let us know. Just log in to your account and go to Client Services > Message Center to write us. You can also call Client Services at 800-669-3900. We're available 24 hours a day, 7 days a week.

Sincerely,

Resource Specialist
TD Ameritrade

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 209 of 355 This information is furnished as part of a general information service and TD Ameritrade shall not be liable for any damages arising out of any inaccuracy in the information. Because this information may differ from your TD Ameritrade monthly statement, you should rely only on the TD Ameritrade monthly statement as the official record of your TD Ameritrade account.

Market volatility, volume, and system availability may delay account access and trade executions.

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Epic Class Action & Claims Solutions Inc. (Re Luckin Coffee tesecurity Litigation) Portland, OR 97228-5887 P.O. BOX 5887

Sawal Patel

claim # 21803

Divider Page



May 11, 2022

Sonal Patel Roth Ira Td Ameritrade Inc Custodian

Re: Confirmation of Your Account Transaction History

Dear Sonal Patel,

Thank you for your request regarding your TD Ameritrade account ending in information you requested.

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Date	Activity	Quantity	Price	Amount
2/28/2020	Buy	1,000	\$ 37.45	\$(37,445.00)
3/19/2020	Buy	200	\$ 26.47	\$(5,294.40)
3/19/2020	Buy	1,331	\$ 24.29	\$(32,323.34)
3/31/2020	Sell	2,000	\$ 26.69	\$ 53,378.58
3/31/2020	Sell	531	\$ 27.21	\$ 14,448.14

If you have questions regarding your tax liability or need assistance with determining your cost basis, please consult with a qualified tax advisor. TD Ameritrade does not provide tax advice.

If we can be of any further assistance, please let us know. Just log in to your account and go to Client Services > Message Center to write us. You can also call Client Services at 800-669-3900. We're available 24 hours a day, 7 days a week.

Sincerely,



Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 213 of 355

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TDA 101515 02/21

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 214 of 355

From: Info_LuckinCoffeeSecuritiesL
Sent: Monday, May 16, 2022 9:05 AM

To:

Subject: FW: Claim# 21803 (Full documentation to address deficient claim)

Attachments: Sonal Roth IRA Luckin trades.pdf

----- Original Message -----

From:

Received: 5/13/2022 10:18 AM

To: info@LuckinCoffeeSecuritiesLitigation.com; Info@LuckinCoffeeSecuritiesLitigation.com

Subject: Claim# 21803 (Full documentation to address deficient claim)

CAUTION: This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Hello LuckinCoffeeSecuritiesLigation team,

Claim number: 21803

Attached please find the full documentation as obtained from my broker for transactions in Luckin coffee securities during the class period for your reference and records -

Feel free to email or call me with any more information you need.

Thank you, Sonal Patel

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 215 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

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Claim Number:

21803

Response Deadline: May 16, 2022

April 26, 2022

Notice of Deficient Claim Submission

Dear Claimant:

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action In re Luckin Coffee Inc. Securities Litigation, Case No. 1:20-cv-01293-JPC-JLC (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fail to respond by the response deadline set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that those conditions remain uncured. This is the only notice you will receive with respect to this Claim.

PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

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How to Resolve: You can resolve this condition of ineligibility only by submitting additional transactions in Luckin ADSs during the Class Period that were not previously reflected in your Claim and which make your Claim calculate to a Recognized Claim. For additional information, please reference Appendix A of the Settlement Notice. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial acceptance," unless this deficiency is cured.



Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. The Court will consider approval of the Settlement and the proposed Plan of Allocation at a hearing to be held on July 22, 2022. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court with financial account numbers and certain other information redacted. PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR'S DETERMINATION REGARDING YOUR CLAIM.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator

AF8912 v.04

Samantha Chui Shan Ku (11979)

In re Luckin Coffee Inc. Securities Litigation
Toll-Free Number: 1-855-535-1824
Email: info@LuckinCoffeeSecuritiesLitigation.com
Website: www.LuckinCoffeeSecuritiesLitigation.com

PROOF OF CLAIM AND RELEASE FORM

To be eligible to receive a payment from the Settlement, you must complete and sign this Claim Form and mail it by first-class mail to the address below, or submit it online at www.LuckinCoffeeSecuritiesLitigation.com, with supporting documentation, postmarked (or received) no later than March 15, 2022.

Mail to:

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

Failure to submit your Claim Form by the date specified will subject your claim to rejection and may preclude you from being eligible to receive a payment from the Settlement.

Submit your Claim Form only to the Claims Administrator at the address set forth above.

TABLE OF CONTENTS	PAGE #
PART I – CLAIMANT INFORMATION	
PART II – GENERAL INSTRUCTIONS	3-4
PART III – SCHEDULE OF TRANSACTIONS IN LUCKIN AMERICAN DEPOSITORY SHARES	5
DADT IV DELEASE OF CLAIMS AND SIGNATURE	6-7

PART 1 - CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

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Questions? Visit www.LuckinCoffecSecuritiesLitigation.com or call 1-855-535-1824



PART II - GENERAL INSTRUCTIONS

- It is important that you completely read and understand the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice") that accompanies this Claim Form, including the Plan of Allocation of the Net Settlement Fund set forth in the Settlement Notice. The Settlement Notice describes the proposed Settlement, how Class Members are affected by the Settlement, and the manner in which the Net Settlement Fund will be distributed if the Settlement and Plan of Allocation are approved. The Settlement Notice also contains the definitions of many of the defined terms (which are indicated by initial capital letters) used in this Claim Form. By signing and submitting this Claim Form, you will be certifying that you have read and that you understand the Settlement Notice, including the terms of the releases described therein and provided for herein.
- 2. This Claim Form is directed to all persons and entities (and their beneficiaries) who purchased or otherwise acquired the American Depository Shares ("ADSs") of Luckin Coffee Inc. ("Luckin") during the Class Period (from May 17, 2019 through July 15, 2020, inclusive) (the "Class"). Included in the Class are all persons and entities who purchased Luckin ADSs on the open market and/or in or traceable to the May 17, 2019 Initial Public Offering ("IPO") and January 10, 2020 Secondary Public Offering ("SPO") during the Class Period. Certain persons and entities are excluded from the Class by definition as set forth in ¶ 25 of the Settlement Notice.
- 3. By submitting this Claim Form, you will be making a request to receive a payment from the Settlement described in the Settlement Notice. IF YOU ARE NOT A CLASS MEMBER (see the definition of the Class on page 6 of the Settlement Notice, which sets forth who is included in and who is excluded from the Class), OR IF YOU, OR SOMEONE ACTING ON YOUR BEHALF, SUBMITTED A REQUEST FOR EXCLUSION FROM THE CLASS, DO NOT SUBMIT A CLAIM FORM. YOU MAY NOT, DIRECTLY OR INDIRECTLY, PARTICIPATE IN THE SETTLEMENT IF YOU ARE NOT A CLASS MEMBER. THUS, IF YOU ARE EXCLUDED FROM THE CLASS, ANY CLAIM FORM THAT YOU SUBMIT, OR THAT MAY BE SUBMITTED ON YOUR BEHALF, WILL NOT BE ACCEPTED.
- 4. Submission of this Claim Form does not guarantee that you will be eligible to receive a payment from the Settlement, if it is approved. The distribution of the payments to eligible purchasers of Luckin ADSs will be governed by the Plan of Allocation set forth in the Settlement Notice, if it is approved by the Court, or by such other plan of allocation as the Court approves.
- 5. Use the Schedule of Transactions in Part III of this Claim Form to supply all required details of your transaction(s) in, and holdings of, Luckin ADSs. On this schedule, provide all of the requested information with respect to your holdings, purchases, acquisitions, and sales of Luckin ADSs (including free transfers and deliveries), whether such transactions resulted in a profit or a loss. Failure to report all transaction and holding information during the requested time period may result in the rejection of your claim.
- 6. Please note: Only Luckin ADSs purchased or acquired from May 17, 2019 through July 15, 2020, inclusive, are eligible for payment under the Settlement. However, sales of Luckin ADSs during the period from July 16, 2020 through and including the close of trading on October 20, 2021, will be used for purposes of calculating your claim under the Plan of Allocation. Therefore, in order for the Claims Administrator to be able to balance your claim, the requested purchase/acquisition and sale/disposition information during this period must also be provided.
- 7. You are required to submit genuine and sufficient documentation for all of your transactions in and holdings of Luckin ADSs as set forth in the Schedule of Transactions in Part III of this Claim Form. Documentation may consist of copies of brokerage confirmation slips or monthly brokerage account statements, or an authorized statement from your broker containing the transactional and holding information found in a broker confirmation slip or account statement. The Settling Parties and the Claims Administrator do not independently have information about your investments in Luckin ADSs. IF SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN COPIES OF THE DOCUMENTS OR EQUIVALENT DOCUMENTS FROM YOUR BROKER. FAILURE TO SUPPLY THIS DOCUMENTATION MAY RESULT IN THE REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL DOCUMENTS. Please keep a copy of all documents that you send to the Claims Administrator. Also, do not highlight any portion of the Claim Form or any supporting documents.
- 8. Traceability of Luckin ADSs to Public Offerings in the Class Period. Public offerings of Luckin ADSs occurred during the Class Period on or about (i) May 17, 2019 (the IPO); and (ii) January 10, 2020 (the SPO). Claimants who purchased Luckin ADSs directly in one or both of the offerings, or who purchased shares "traceable" to one or both of the offerings (as opposed to generally on the open market) may be entitled to additional compensation under the Plan of Allocation. All Luckin ADSs purchased from May 17, 2019 through January 9, 2020 are assumed to be traceable to the IPO. However, if you purchased Luckin ADSs from January 10, 2020 through July 15, 2020 that were not purchased directly in the SPO but that you believe are specifically traceable to Luckin ADSs that were issued in the IPO or SPO, you must submit documentation with your Claim Form showing that the specific ADSs you purchased were shares issued in the IPO or SPO.
- 9. Use Part I of this Claim Form entitled "CLAIMANT INFORMATION" to identify the beneficial owner(s) of the Luckin ADSs. The complete name(s) of the beneficial owner(s) must be entered. If you held the Luckin ADSs in your own name, you were the beneficial owner as well as the record owner. If, however, your Luckin ADSs were registered in the name of a third party, such as a nominee or brokerage firm, you were the beneficial owner of the ADSs, but the third party was the record owner. The beneficial owner, not the record owner, must sign this Claim Form to be eligible to participate in the Settlement, If there were joint beneficial owners, each must sign this Claim Form and their names must appear as "Claimants" in Part 1 of this Claim Form.

- 10. One Claim should be submitted for each separate legal entity or separately managed account. Separate Claim Forms should be submitted for each separate legal entity (e.g., an individual should not combine his or her IRA holdings and transactions with holdings and transactions made solely in the individual's name). Generally, a single Claim Form should be submitted on behalf of one legal entity including all holdings and transactions made by that entity on one Claim Form. However, if a single person or legal entity had multiple accounts that were separately managed, separate Claims may be submitted for each such account. The Claims Administrator reserves the right to request information on all the holdings and transactions in Luckin ADSs made on behalf of a single beneficial owner.
- 11. Agents, executors, administrators, guardians, and trustees must complete and sign the Claim Form on behalf of persons represented by them, and they must:
 - (a) expressly state the capacity in which they are acting;
 - (b) identify the name; account number: last four digits of the Social Security Number, taxpayer identification number, or comparable identification number for non-U.S. claimants; address; and telephone number of the beneficial owner of (or other person or entity on whose behalf they are acting with respect to) the Luckin ADSs; and
 - (c) furnish herewith evidence of their authority to bind to the Claim Form the person or entity on whose behalf they are acting. (Authority to complete and sign a Claim Form cannot be established by stockbrokers demonstrating only that they have discretionary authority to trade securities in another person's accounts.)
 - 12. By submitting a signed Claim Form, you will be swearing that you:
 - (a) own(ed) the Luckin ADSs you have listed in the Claim Form; or
 - (b) are expressly authorized to act on behalf of the owner thereof.
- 13. By submitting a signed Claim Form, you will be swearing to the truth of the statements contained therein and the genuineness of the documents attached thereto, subject to penalties of perjury under the laws of the United States of America. The making of false statements, or the submission of forged or fraudulent documentation, will result in the rejection of your claim and may subject you to civil liability or criminal prosecution.
- 14. Payments to eligible Authorized Claimants pursuant to the Plan of Allocation will be made after final approval of the Settlement and any appeals from such approval, and after the completion of all claims processing. The claims process will take substantial time to complete fully and fairly. Please be patient.
- 15. PLEASE NOTE: As set forth in the Plan of Allocation, each Authorized Claimant shall receive his, her, or its pro rata share of the funds available under the Settlement. If the prorated payment to any Authorized Claimant calculates to less than \$10.00, it will not be included in the calculation and no distribution will be made to that Authorized Claimant.
- 16. If you have questions concerning the Claim Form, or need additional copies of the Claim Form, you may contact the Claims Administrator, Epiq Class Action & Claims Solutions, Inc., at the address on the first page of this Claim Form, by email at info@LuckinCoffeeSecuritiesLitigation.com, or by toll-free phone at 1-855-535-1824, or you can visit the website, www.luckinCoffeeSecuritiesLitigation.com, where copies of the Claim Form and other relevant documents are available for downloading.
- 17. 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. To obtain the mandatory electronic filing requirements and file layout, you may visit the Settlement website at www.luckinCoffeeSecuritiesLitigation.com or you may email the Claims Administrator's electronic filing department at info@LuckinCoffeeSecuritiesLitigation.com. Any file not in accordance with the required electronic filing format will be subject to rejection. The complete name of the beneficial owner of the securities must be entered where called for (see § 9 above). No electronic files will be considered to have been submitted unless the Claims Administrator issues an email to that effect. Do not assume that your file has been received until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at info@LuckinCoffeeSecuritiesLitigation.com to inquire about your file and confirm it was received.

IMPORTANT: PLEASE NOTE

YOUR CLAIM IS NOT DEEMED FILED UNTIL YOU RECEIVE AN ACKNOWLEDGEMENT POSTCARD. THE CLAIMS ADMINISTRATOR WILL ACKNOWLEDGE RECEIPT OF YOUR CLAIM FORM WITHIN 60 DAYS OF YOUR SUBMISSION. IF YOU DO NOT RECEIVE AN ACKNOWLEDGEMENT POSTCARD WITHIN 60 DAYS, CONTACT THE CLAIMS ADMINISTRATOR TOLL FREE AT 1-855-535-1824.

PART III - SCHEDULE OF TRANSACTIONS IN LUCKIN ADSS

Use this section to provide information on your holdings and trading of Luckin ADSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 7 above.

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Date of Purchase/ Acquisition (List Chronologically) (Month/Day/Year)	Number of ADSs Purchased/ Acquired	Purchase Price Per ADS	Total Purchase Price (excluding any fees, commissions, and taxes)	Were the shares purchased in or traceable to the May 2019 1PO or the Jan. 2020 SPO?	Confirm Proof of Purchase/ Acquisition Enclosed
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3. SALES FROM MA disposition (including fi October 20, 2021. (Must	ee deliveries) of Luckin A	1 OCTOBER 20, 2021 DSs from May 17, 2019 th	 Separately list each and extrough and including the close of 	very sale or of trading on	IF NONE, CHECK HERE
Date of Sale (List Chronologically) (Month/Day/Year)	Number of A DSs Sold	Sale Price Per ADS	Total Sale Price (not deducting any fees, commissio	ns, and taxes)	Confirm Proof of Sale Enclosed
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4. HOLDINGS AS OF October 20, 2021. (Must	be documented.) If none,	late the total number of Luc write "zero" or "0."	ckin ADSs held as of the close o	or trading on	Confirm Proof of Position Enclosed
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Questions? Visit www.LuckinCoffeeSecuritiesLitigation.com or call 1-855-535-1824

05-CA40050093

Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

PART IV - RELEASE OF CLAIMS AND SIGNATURE

YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON PAGE 7 OF THIS CLAIM FORM.

I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) and my (our) (the claimant(s)') heirs, executors, administrators, predecessors, successors, and assigns, in their capacities as such, shall be deemed to have, and by operation of law and of the judgment shall have, fully, finally, and forever compromised, settled, released, resolved, relinquished, waived, and discharged each and every Released Plaintiffs' Claim against Luckin and the other Defendants' Released Parties, and shall forever be barred and enjoined from prosecuting any or all of the Released Plaintiffs' Claims against any of the Defendants' Released Parties in any jurisdiction.

CERTIFICATION

By signing and submitting this Claim Form, the claimant(s) or the person(s) who represent(s) the claimant(s) agree(s) to the release above and certifies (certify) as follows:

- 1. that I (we) have read and understand the contents of the Settlement Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;
- 2. that the claimant(s) is a (are) Class Member(s), as defined in the Settlement Notice, is (are) not excluded by definition from the Class as set forth in the Settlement Notice and did not submit a request for exclusion from the Class;
- 3. that I (we) own(ed) the Luckin ADSs identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Defendants' Released Parties to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
- 4. that the claimant(s) has (have) not submitted any other claim covering the same purchases of Luckin ADSs and knows (know) of no other person having done so on the claimant's (claimants') behalf;
- 5. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;
- 6. that I (we) agree to furnish such additional information with respect to this Claim Form as Class Counsel, the Claims Administrator, or the Court may require;
- 7. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this claim, and waives any right of appeal or review with respect to such determination;
- 8. that should Luck in determine in its absolute discretion that the Settlement should also be implemented in the Cayman Islands by way of a scheme of arrangement promulgated under section 86 of the Cayman Islands Companies Act 1981 (the "Scheme"), the claimant(s) appoint(s) Sjunde AP-Fonden and Louisiana Sheriff's Pension & Relief Fund as its/their proxy to vote in favor of the Scheme at all meetings convened for the purpose of approving the Scheme;
- 9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and
- 10. that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.

UNDER THE PENALTY OF PERJURY UNDER THE LAWS OF THE UNITED STATES, I (WE) CERTIFY THAT ALL

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	Date: Date: DD - WW
Signature of joint claimant, if here] MM DD YY
]
Print joint claimant name here]
claimant is other than an individual, or is not the person comple	ting this form, the following also must be pro
	Date: MM DD YYY
Signature of person signing on behalf of claimant	J MM DD YYY
Print name of person signing on behalf of claimant here	•

REMINDER CHECKLIST

Sign the above release and certification. If this Claim Form is being made on behalf of joint claimants, then both
must sign.

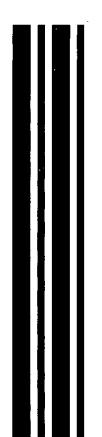
- 2. Attach only copies of acceptable supporting documentation as these documents will not be returned to you.
- 3. Do not highlight any portion of the Claim Form or any supporting documents.
- 4. Keep copies of the completed Claim Form and documentation for your own records.
- The Claims Administrator will acknowledge receipt of your Claim Form by mail, within 60 days of your submission. Your claim
 is not deemed filed until you receive an acknowledgement postcard. If you do not receive an acknowledgement postcard
 within 60 days, please call the Claims Administrator toll free at 1-855-535-1824.
- If your address changes in the future, or if this Claim Form was sent to an old or incorrect address, you must send the Claims Administrator written notification of your new address. If you change your name, inform the Claims Administrator.
- 7. If you have any questions or concerns regarding your claim, contact the Claims Administrator at the address below, by email at info@LuckinCoffeeSecuritiesLitigation.com, or by toll-free phone at 1-855-535-1824, or you may visit www.LuckinCoffeeSecuritiesLitigation.com.

This Claim Form must be mailed to the Claims Administrator by first-class mail or submitted online at www.LuckinCoffeeSccuritiesLitigation.com, postmarked (or received) no later than March 15, 2022. If mailed, the Claim Form should be addressed as follows:

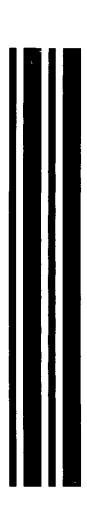
In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if a postmark date on or before March 15, 2022 is indicated on the envelope and it is mailed First Class, and addressed in accordance with the above instructions. In all other cases, a Claim Form shall be deemed to have been submitted when actually received by the Claims Administrator.

You should be aware that it will take a significant amount of time to fully process all of the Claim Forms. Please be patient and notify the Claims Administrator of any change of address.



Attachments



Patch Code 3



Online at: www.merrilledge.com

MRS SAMANTHA CHUI SHAN KU

MRS SAMANTHA CHUI SHAN KU

Net Portfolio Value:

Your Merrill Office:
Merrill EDGE

CMA® ACCOUNT

This account is enrolled in the Preferred Rewards Platinum Honors

May 01, 2020 - May 29, 2020

Opening Value (05/01) Total Credits Total Debits Total Debits Securities You Transferred in/Out Market Gains/(Losses) Closing Value (05/29) Closing Value (05/29) Clash/Money Accounts Fixed Income Equities Mutual Funds Options Other Subtotal (Long Portfolio) TOTAL ASSETS LIABILITIES	
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Merrill Lynch, Pierce, Fenner & Smith Incorporated (also referred to as "MLPF&S" or "Merrill") makes available certain investment products sponsored, managed, distributed or provided by companies that are affiliates of Bank of America Corporation (BofA Corp.). MLPF&S is a registered broker-dealer, Member SIPC and a wholly owned subsidiary of BofA Corp. Investment products:

Are Not FDIC Insured

Are Not Bank Guaranteed

May Lose Value

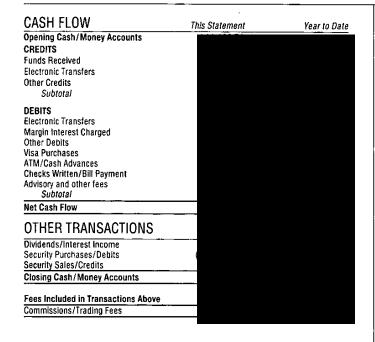
MRS SAMANTHA CHUI SHAN KU

Account Number:

24-Hour Assistance: Access Code:

CMA® ACCOUNT

May 01, 2020 - May 29, 2020



ASSET ALLOCATION*

 Estimated Accrued Interest not included; may not reflect all holdings; does not include asset categories less than 1%.





DOCUMENT PREFERENCES THIS PERIOD

	Mail	Online Delivery
Statements		X
Performance Reports		Х
Trade Confirms		X
Shareholders Communication		X
Prospectus		X
Service Notices		X
Tax Statements		χ

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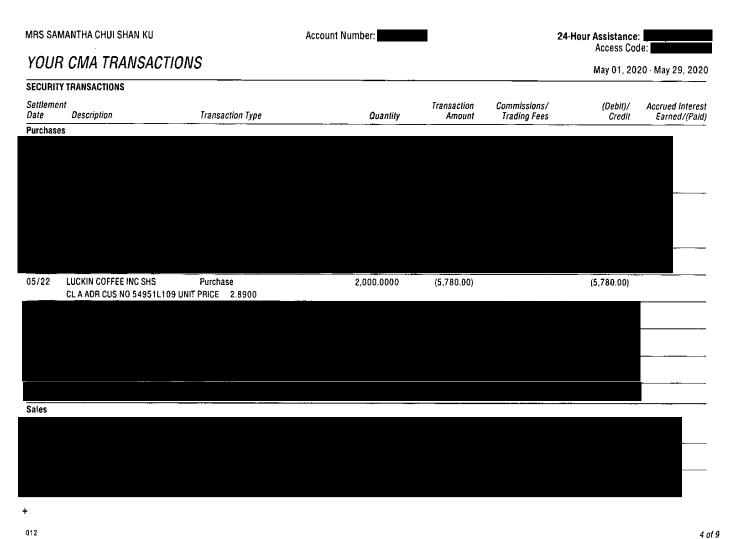
MRS SAMANTHA CHUI SHAN KU

Account Number:

YOUR CMA ASSET	S					M	Nay 01, 2020 - M	ay 29, 2020
CASH/MONEY ACCOUNTS Description		Quantity	Total Cost Basis	Estimated Market Price	Estir Market	nated Value An	Estimated nual Income	Est. Annual Yield%
EQUITIES Description	Symbol	Acquired	Quantity Cost I	Unit Total Basis' Cost Basis		Estimated Market Value	Unrealized Gain/(Loss) A	Estimated Annual Income
TOTAL						_		
- TOTAL								
RESEARCH RATINGS Security	Symbol	BofAML Research		Morningstar		CFRA		
PLEASE REFER TO THE BACK (F YOUR STATEM	MENT FOR A GUIDE TO 1	BofAML AND THIRD	PARTY RESEARCH RATING	GS.			
LONG PORTFOLIO			Adjusted/1 Cost B			Estimated Accrued Interest	Estimated Angual Income	
YOUR CMA TRANS	SACTIONS	3						
DIVIDENDS/INTEREST INCOME Date Description	TRANSACTION	S Transaction Type		Quantity	_		Income	Income Year To Date
Taxable Interest								

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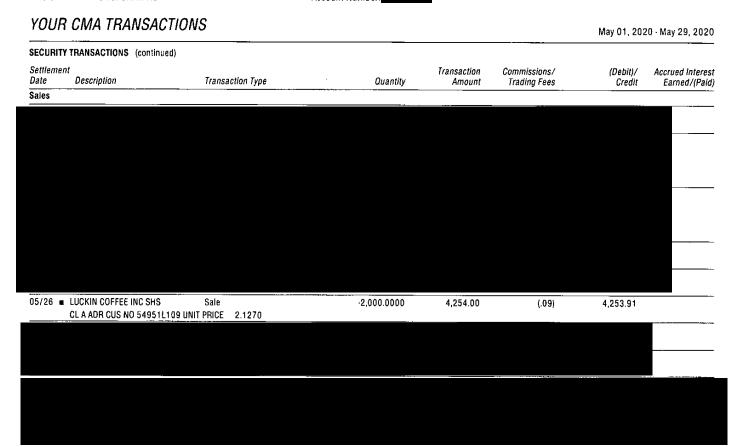
3 of 9





MRS SAMANTHA CHUI SHAN KU

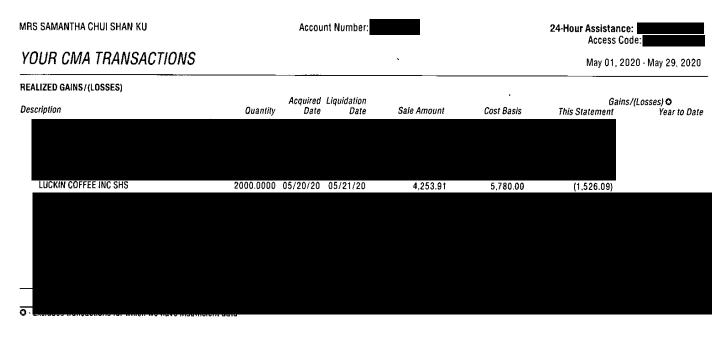
Account Number:



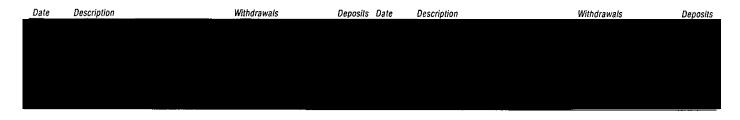
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5 of 9



YOUR CMA MONEY ACCOUNT TRANSACTIONS





FUNDAMENTAL EQUITY OPINION KEY AND GUIDE TO YOUR BOTA MERRILL LYNCH RESEARCH RATINGS

BofA MERRILL LYNCH RESEARCH

BofA Merrill Lynch Research or BofAML Research is research produced by Merrill Lynch, Pierce, Fenner & Smith Incorporated (MLPF&S) and/or one or more of its affiliates. MLPF&S is a wholly owned subsidiary of Bank of America Corporation.

Equity Opinions include a Volatility Risk Rating, an Investment Rating and an Income Rating.

BofAML Research Volatility Risk Ratings

BofAML Research Income Ratings

Indicators of potential price fluctuation are:

Indicators of potential cash dividends are:

A – Low

7 - Same/higher (dividend considered to be secure)

B - Medium C - High

8 - Same/lower (dividend not considered to be secure)

9 - Pays no cash dividend

BofAML Research Investment Ratings

Reflect the analyst's assessment of a stock's absolute total return potential and the stock's attractiveness for investment relative to other stocks within a Coverage Cluster (defined below). There are three investment ratings:

- 1 Buy stocks are expected to have a total return of at least 10% and are the most attractive stocks in the Coverage Cluster
- 2 Neutral stocks are expected to remain flat or increase in value and are less attractive than Buy rated stocks
- 3 Underperform stocks are the least attractive stocks in a Coverage Cluster

Analysts assign investment ratings considering, among other things, the 0-12 month total return expectation for a stock and the firm's guidelines for ratings dispersions (shown in the table below). The current price objective for a stock should be referenced to better understand the total return expectation at any given time. The price objective reflects the analyst's view of the potential price appreciation (depreciation).

BofAML Research Investment Rating	Total return expectation (within 12-month period of date of initial rating)	Ratings dispersion guidelines for Coverage Cluster+
Buy	> or = 10%	< or = 70%
Neutral	> or = 0%	< or = 30%
Underperform	N/A	> or = 20%

+Ratings dispersions may vary from time to time where BofAML Research believes that it better reflects the Investment prospects of stocks in a Coverage Cluster.

A Coverage Cluster is comprised of stocks covered by a single analyst or two or more analysts sharing a common industry, sector, region or other classification(s). A stock's Coverage Cluster is included in the most recent BofAML Comment referencing the stock.

THIRD PARTY RESEARCH

Third party research on the equity securities of certain companies is available to clients for informational purposes. Clients can access this research at www.merrilledge.com or can call 877-653-4732 to request that a copy be sent to them. Please note that the third party research rating is not necessarily equivalent to, or derived using the same methodology as, the BofAML Research ratings or the ratings of other third party research providers.



Customer Service

Please promptly report any inaccuracy, discrepancy, and/or concern by calling Wealth Management Client Support at (800-MERRILL) within ten (10) business days atter delivery of or communication of the account statement. You should re-confirm any oral communications in writing to protect your rights.

About Us

You may review our financial statement at our offices: Merrill Lynch, Pierce, Fenner & Smith Incorporated (MLPF&S or ML), One Bryant Park, New York, New York 10036. If you request a copy of our financial statement, we will mail it to you.

We act as a market maker, dealer, block positioner or arbitrageur in certain securities. These activities may put us or one of our affiliates on the opposite side of transactions we execute for you and potentially result in trading profits for us or our affiliates. Bolf Merrill Lynch Research is research produced by MLPF&S and/or one or more of its affiliates. Third party research ratings from selected vendors are provided, if available, for your information. Our providing these research ratings is not a solicitation or recommendation of any particular security. MLPF&S and its affiliates are not responsible for any thriding decision you make based upon third party research ratings and reports.

MLPF&S may make available to you certain securities and other investment products that are sponsored, managed, distributed or provided by companies that are affiliates or Bank of America Corporation (BAC) or in which BAC has a substantial economic interest.

Merrill and Merrill Edge are the marketing name for two businesses. Merrill advisory Center the which offers team-based advice and guidance brokerage services; and a self-directed online investing platform. Both are made available through MLPF&S.

Bank of America Merrill Lynch Profits is the marketing name for the global banking and global markets businesses of BAC. Lending, derivatives, and other commercial banking activities are performed globally by banking affiliates of BAC including Bank of America, N.A., member Federal Deposit Insurance Corporation (FDIC). Securities, strategic advisory, and other investment banking activities are performed globally by investment banking activities are performed globally by investment banking activities are performed globally by investment banking activities are performed globally b

Securities Investor Protection Corporation (SIPC), and,

in other jurisdictions, locally registered entitles.
Investment products offered by Investment Banking
Affiliates, including MLPF&S, ARE NOT FDIC INSURED,
ARE NOT BANK GUARANTEED AND MAY LOSE VALUE.

Additional Information

Additional Information

We will route your equity and option orders to market centers consistent with our duty of best execution.

Except for certain custodial accounts, we hold bonds and preferred stocks in bulk segregation. If there is a partial call for those securities, securities will be randomly selected from those held in bulk. The probability of your holdings being selected is proportional to the total number of customer holdings of that particular security that we hold.

This statement serves as a contirmation of certain transactions during the period permitted to be reported periodically. Additional information, including the time of execution for any trade, is available upon written request.

In accordance with applicable law, rules and regulations, your free credit balance is not segregated and we can use these funds in our business. Your free credit balance is the amount of funds payable upon your demand. You have the right to receive, in the normal course of business, any free credit balance and any fully paid securities to which you are entitled, subject to any obligations you owe in any of your accounts.

For clients enrolled in a sweep program, the balance in any bank deposit account or shares of any money market mutual fund in which you have a beneficial interest can be withdrawn or figuidated on your order and the proceeds returned to your securities account or remitted to you.

You will have the right to vote full shares and we may solicit voting instructions concerning these full shares in your account will be governed by the then current rules and policies of FINRA and the Securities Exchange Commission or other applicable exchanges or regulatory bodies.

All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market, and its clearinghouse, if any, where the transactions are executed, and if not executed on any exchange, FINRA. You may obtain an investor program I to obtain a brochure or more information about th

at www.finra.org
We receive a fee from ISA® banks of up to 2% per annum
of the average daily balances. We receive a fee from our
affiliated banks of up to \$1.00 per annum for each account
that sweeps balances to the banks under the RASP ** and
ML bank deposit programs. We also receive a fee from Bank
of America, N.A. based on the average daily Preferred
Deposit ® and Preferred Deposit for Business ® balances.

Options Customers

For all customers, including those who own options, please promptly advise us of any material change in your investment objectives or financial condition. Individual options commission charges have been included in your confirmation. You may request a summary of this intermation.

Margin Customers

If this statement is for a margin account, it is a combined statement of your margin account and special memorandum account maintained for you pursuant to applicable regulations. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. You should retain this statement for use with your next statement to calculate interest charges, if any, for the period covered by this statement. The interest charge period will parallel the statement period, except that interest due for the final day of the statement period will be carried over and appear on your next statement. your next statement.

Coverage for your Account

Coverage for your Account

The Securities Investor Protection Corporation (SIPC) and our excess-SIPC insurance policy do not cover commodities futures contracts, fixed annuity contracts, hedge funds, private equity funds, commodity pools and other investment contracts (such as limited partnerships) that are not registered with the US Securities Exchange Commission, precious metals, other assets that are not securities as defined by SIPC, and assets that are not held at MLPF&S, such as cash on deposit at Bank of America, N.A. or Bank of America California, N.A. (Merill Lynch affiliated banks) or other depository institutions. Those bank deposits are protected by the FDIC up to applicable limits. MLPF&S is not a bank. Unless otherwise disclosed, INVESTMENTS THROUGH MLPF&S ARE NOT FDIC (INSURED, ARE NOT BANK GUARANTEED AND MAY LOSE VALUE. To obtain information about SIPC, including the SIPC Brochure, contact SIPC at http://www.sipc.org or (202)371-8300.

Fixed Income Securities

Values on your statement generally are based on estimates obtained from various sources and in certain cases only from affiliates. These values assume standard market conditions, are not firm bids or offers and may vary from prices achieved in actual transactions, especially for thinly traded securities. These values are generally for transactions of \$1 million or more, which often reflect more favorable pricing than transactions in smaller amounts. You may pay more than these values if you purchase smaller amounts of securities, or receive less if you sell smaller amounts of securities.

Prices and Valuations

White we believe our pricing information to be reliable, we cannot guarantee its accuracy. Pricing information provided for certain thinly traded securities

reliable, we cannot guarantee its accuracy. Pricing information provided for certain thinly traded securities may be stale.

Values on your statement generally are based on estimates obtained from various sources and in certain cases only from affiliates.

Investments such as direct participation program securities (e.g., partnerships, limited liability companies, and real estate trusts which are not listed on any exchange), and alternative investments (e.g. commodity pools, private equity funds, private debit funds, and hedge funds) are generally illiquid investments. No formal trading market exists for these securities and their current values will likely be different from the purchase price. Unless otherwise indicated, and except for certain alternative investment funds sponsored by affiliates of MLPF&S, the value shown on this statement for an investment in these securities has been provided by the management, administrator or sponsor of each program or a third-party vendor, in each case without independent verification by MLPF&S. The values shown may not reflect actual market value or be realized upon a sale. If an estimated value is not provided, accurate valuation information is not available.

Cost Data/Realized Capital Gains & Losses

Cost Data/Realized Capital Gains & Losses

Cost Data and Realized Capital Galns/Losses are provided in this statement for informational purposes only. Please review for accuracy. Merrill Lynch is not responsible for omitted or restated data. Please consult your tax advisor to determine the tax consequences of your securities transactions. Your statement is not an official accounting of gains/losses. Please refer to your records, trade contirmations, and your Consolidated Tax Reporting Statement (Form 1099).

Insurance Policies and Annuity Contracts

Information is based on data from the issuing insurer. We are not responsible for the calculation of policy/contract values. Insurance policies and annuity contracts are generally not held in your MLPF&S account. If we, as cusfodian or trustee, hold an annuity contract that is a security, SIPC and excess SIPC coverage apply coverage apply

Estimated Annual Income and Current Yield
Estimated Annual Income and Current Yield for certain
types of securities could include a return of principal or
capital gains in which case the Estimated Annual
income and Current Yield would be overstated.
Estimated Annual Income and Current Yield are
estimates and the actual income and yield might be
lower or higher than the estimated amounts. Current
Yield is based upon Estimated Annual Income and the
current price of the security and will fluctuate.

Market-Linked Investments (MLI)

MLIs are debt securities or Certificates of Deposit linked to an underlying reference asset. They are reflected on your statement by their underlying reference asset – equities (e.g., stocks, ETFs, equity Indices), alternative investments (e.g., commodities, currencies), or fixed income (e.g., interest rates). This classification method illustrates your asset allocation.

Symbols and Abbreviations

□ Interest reported to the IRS
□ Gross Proceeds reported to the IRS
□ Dividends reported to the IRS
□ Transactions reported to the IRS
○ OCC Options Clearing Corporation
□ Transaction you requested same day
□ payment. Prior day's dividend retained to
□ offset cost of advancing payment on your
□ behalf

N/A N/C N/N N/O N/O CUST

offset cost of advancing payment on your behalf Price, value and/or cost data not available Not-Calculated Non-negotiable securities Securities registered in your name Non-negotiable securities registered in the name of the custodian Indicates that BofA Merrill Lynch Research has upgraded (1) or downgraded (1) its fundamental equity opinion on a security. **†** Į

Info_LuckinCoffeeSecuritiesL From: Sent: Sunday, February 6, 2022 2:42 PM To: Claims_LuckinCoffeeSecuritie Luckin Coffee Inc. Securities Litigation - Claim Upload Subject: **Contact Information** Location: \\Ca003-prfs001\CA-7\Luckin Coffee Inc. Securities Litigation - 40050093\Electronic Files Received\Claim\14160\ Name: Samantha Ku Address: Phone Number: Email: Date and Time: 2/6/2022 2:41:33 PM Confirmation Number:

Divider Page

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 238 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

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SAMANTHA C KU

Claim Number: 11979

Response Deadline: April 18, 2022

March 29, 2022

Notice of Deficient Claim Submission

Dear Claimant:

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action *In re Luckin Coffee Inc. Securities Litigation*, Case No. 1:20-cv-01293-JPC-JLC (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fail to respond by the response deadline set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that those conditions remain uncured. This is the only notice you will receive with respect to this Claim.

PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement, which has been approved by the Court and which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

Ineligibility Condition: No Recognized Claim.

In accordance with the Court-approved Plan of Allocation set forth in the Settlement Notice, the Claim referenced above does not calculate to a Recognized Claim. An example of a condition that would result in no Recognized Claim is that no Luckin ADSs were held through the alleged corrective disclosure on January 31, 2020 (see Settlement Notice Appendix A paragraph 7(a)). Because your Claim does not calculate to a Recognized Claim, either for the reason noted in the preceding sentence or for another reason, it is not eligible to receive a distribution from the Net Settlement Fund. Unless you had additional transactions in Luckin ADSs during the Class Period (i.e., May 17, 2019, through July 15, 2020, inclusive) that are not reflected in your Claim, this is NOT a curable deficiency.

<u>How to Resolve:</u> You can resolve this condition of ineligibility only by submitting additional transactions in Luckin ADSs during the Class Period that were not previously reflected in your Claim and which make your Claim calculate to a Recognized Claim. For additional information, please reference Appendix A of the Settlement Notice. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial acceptance," unless this deficiency is cured.



Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court with financial account numbers and certain other information redacted. PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR'S DETERMINATION REGARDING YOUR CLAIM.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator

Divider Page

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 241 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

400500930004544255 000 0004542 00000000 0001 0001 04542 INS: 0 0 SAMANTHA C KU .

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11979

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PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement, which has been approved by the Court and which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

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How to Resolve: You can resolve this condition of ineligibility only by submitting additional transactions in Luckin ADSs during the Class Period that were not previously reflected in your Claim and which make your Claim calculate to a Recognized Claim. For additional information, please reference Appendix A of the Settlement Notice. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible, even for "partial acceptance," unless this deficiency is cured.



Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

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If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator April 17, 2022

Samantha C: Ku

In re Luckin Coffee Inc. Securities Litigation c/o Eqip Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

Via Certified Mail, Return Receipt Requested (USPS No

To Whom It May Concern:

I am in received your Notice of Deficient Claim Submission dated March 29, 2022, with disagreement.

You alleged my substantial claim has no recognized claim was unmerited and unjustified.

Based on your alleged reason of per Settlement Notice Appendix A, paragraph 7(a), Luckin ADS sold before 11:00 am Eastern time on January 31, 2020, the Exchange Act Loss Amount is zero.

However, under paragraph 7(b), my claim has merit and justified and should be recognized. Therefore, is eligible to receive claim under the settlement.

For your reference, I am attaching my account record for 2020. The record reflects that I sold the Luckin ADS on May 21, 2020.

Kindly process and complete my claim.

Thank you for your attention in this matter.

Samantha C Ku

Claimant

A BANK OF AMERICA COMPANY MERRILL

Account No.

Page 1 of 11

Taxpayer No.

2020 TAX REPORTING STATEMENT

ORIGINAL 1099 02/16/2021

MRS SAMANTHA CHUI SHAN KU	

Table of Contents	rac Pac
Simmary Pages	
Sale Proceeds and Gain/Loss Details	
Divident Income Activity	,
DIVIDENT INCOME ACTIVITY	



We would like you to note the following item(s) which may affect your tax return. Please discuss these matters with your Tax Advisor prior to completing your tax return.

IMPORTANT ITEMS FOR YOUR ATTENTION

s produced separately from your Tax Reporting Statement and is only available on MyMerrill.com or MerrillEdge.com. Online enrollment is necessary to access the statement. For more information, including how to download your details into Microsoft Excel or other software, visit the Tax Education and Planning Center on MyMerrill.com or MerrillEdge.com.

To view additional tax resources available online, please visit our Tax Center on mymerrill.com or merrilledge.com.

Taxpayer No.

2020 TAX REPORTING STATEMENT

Account No.

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MRS SAMANTHA CHUI SHAN KU

A BANK OF AMERICA COMPANY MERRILL

MRS SAMANTHA CHUI SHAN KU

Account No.

Taxpayer No.

Page 3 of 11

DRIGINAL 1099 02/16/2021

Your Financial Advisor 1000 ML DIRECT

Payer: Merrill Lynch, Pierce, Fenner & Smith Inc

Case 1:20-cv-0129

2020 TAX REPORTING STATEMENT

	For	Form 1099-DIV 2020 Divid	2020 Dividends and Distributions (OMB NO. 1545-0110)	1545-0110)
				Amount
	4	Total Ordinary Dividends	Sched. 9, Line 5 &/or Form 1040, Line 3b	
	1 0	Qualified Dividends	Form 1040, Line 3a	
	2a	Total Capital Gain Distributions	Sched. D, Line 13 or Form 1040, Line 13	
	2p	Unrecap, Sec. 1250 Gain	Sched. D, Line 19	
_	ಜ	Section 1202 Gain	Sée Sched. D Instructions	
	2 d	Collectibles (28%) Gain	Sched. D, Line 18	
	က	Nondividend Distributions	See Publication 550	
	4	Federal Income Tax Withheld	Form 1040, Line 17	
	2	Section 199A Dividends	See Instructions	
	9	Investment Expenses	See Instructions	
	7	Foreign Tax Paid	Form 1116 &/or Sched. 3, Line 1	
	8	Foreign Country or U.S. Possession	on See instructions	
	တ	Liquidation Distributions Cash	See Instructions	
	9	Liquidation Distributions Non-Cash	n See Instructions	
	F	Exempt-Interest Dividends	Form 1040, Line 2a	
	12	Spec. Private Activity Bond Int. Div.	V. See Instructions for Form 6251	
_	5	State	See Instructions	
	14	State Identification No.	See Instructions	
	5	State Tax Withheld	See Instructions	

<u></u>	For	Form 1099-INT 2020	2020 Interest income	(OMB NO. 1545-0112)	(12)
Ę				Amc	Amount
	-	Interest Income	Sched. B, Line 1 &/or Form 1040, Line 2b	n 1040, Line 2b	
	2	Early Withdrawal Penatty	Sched. 1, Line 17		
	က	Int. on U.S. Savings Bonds & Treas.	See Publication 550		
	4	Federal Income Tax Withheld	Form 1040, Line 17	•	
	S	Investment Expenses	See Instructions		
-	9	Foreign Tax Paid	Form 1116 &/or Sched. 3, Line	Line 1	
	7	Foreign Country or U.S. Possession	See Instructions		
	∞	Tax-Exempt Interest	Form 1040, Line 2a		
	6	Specified Private Activity Bond Interest	est See Instructions for Form 6251	6251	
	2	Market Discount	See Instructions		
	=	Bond Premium	See Instructions		
	. 12	Bond Premium on Treas. Obligations	S See Instructions		
	13	Bond Premium on Tax-Exempt Bond	See Instructions		
_	14	Tax-Exempt/Tax Credit Bond CUSIP No.	No. See Instructions		
	7	State	See Instructions		
	16	State Identification No.	See Instructions		
	17	State Tax Withheld	See Instructions		
_					
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					I
		Summary o	Summary of 2020 Sales Proceeds		
Ī					١

Amount Sales Proceeds See Form 8949 Federal Income Tax Withheld Form 1040, Line 17	Gross Proceeds from each of your 2020 securities trades are individually reported to the IRS. Refer to the 2020 Proceeds from Broker and Barter Exchange Transactions detail section of this statement.
--	---

Amount

Summary of 2020 Original Issue Discount Items

Amounts of Original Issue Discount are individually reported to the IRS. Refer to the 2020 Original Issue Discount detail section of this statement.

Tax-Exempt Original Issue Discount OID on U.S. Treasury Obligations

Original Issue Discount Market Discount

Acquisition Premium

See Publication 1212 See Publication 1212 See Publication 1212

See Publication 1212 See Publication 1212



Account No.

Faxpayer No.

Page 4 of 11 Amount

MRS SAMANTHA CHUI SHAN KU

2020 TAX REPORTING STATEMENT

Form 1099-MISC 2020 Miss 2 Royalties 3 Other Income 4 Federal Income Tax Withheld 8 Sub. Payments in Lieu of Div. or Int. 15 State Tax Withheld 16 State/Payer's State No.	Sched. E, Line 4 Sched. E, Line 4 Sched. 1. Line 8 Sched. 1. Line 8 Form 1040, Line 17 of Div. or Int. Sched. 1, Line 8 See Instructions See Instructions	(OMB NO. 1545-0115) Amount	Limited Partnership Income Non-Reportable Dividends and Interest Non-Reportable Tax-Exempt Interest Taxable Muni Accrued Int. Paid Non-Tax Muni Accrued Int. Paid Other Accrued Interest Paid Margin Interest Non-Reportable Distribution Expenses Excess Bond Premium Additional Rond Premium	Distributions and Charges* and Interest Paid Paid Expenses
This is important tax information and is being furnis are required to file a return, a negligence penalty of this income is taxable and the IRS determines that	This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.	nal:Revenue Service. If you may be imposed on you if reported.	*Dollar amounts above may reflect as net, please review the detail ser This information is not reported-to the IRS, consult with your Tax Adv	ase review the detail se

INSTRUCTIONS FOR RECIPIENT OF FORMS 1099, COPY B =: READ CAREFULLY

the amounts listed on Forms 1099-DIV, 1099-MISC, 1099-MISC, 1099-OID and 1099-B represent dividends, interest, miscellaneous income, original issue discount and/or gross proceeds payments made or credited to your account during the calendar year

Schedule K-1) will not appear on the Jax Reporting Statement. Such information will be sent to you directly from the If you are an investor in a limited partnership, information concerning your distributive share of the partnership's taxable income or limited partnership, for inclusion on your income tax-return. Nominees - if your federal Taxpayer Identification Number is shown on this form and includes amounts belonging to another person. you are considered a nominee recipiem. You must file and funish Form 1039-BV. 1095-MIS. 1099-MID or 1099-B, as applicable, with the RS, for each of the other owners to show that stare of the income. A bustand or wife is not required to file a momines return to show amounts owned by the other. See the 2020 General Instructions for Certain information Returns.

Foreign Tax Paid - You may be able to claim this foreign tax as a deduction or a credit on Form 1040. See the Instructions for Form 1040. Foreign country or U.S. possession will always be displayed as various.

Backup Withholding · Persons not furnishing their taxpayer identification number (TIN) to the payer become subject to backup withholding on certain payments at a rate of 24%, including dividends, interest, and gross proceeds from dispositions of securities. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

1099-MISC - MISCELLANEOUS INCOME

Because the information reported to shareholders by the royalty trust includes the information we report to you on Form 1099-MISC. you should be careful not to report this income on your tax return twice. Each royalty trust is required to provide their shareholders with detailed information regarding items of trust income and deductions

(OMB No. 1545-0115)

Line 1 - Shows the income received from rental property. Report on Schedule E (Form 1040). See Publication 527

Line 2 - Shows the royalty trust income paid to your account during the tax year. Report on Schedule E (Form 1040).

Line 3 - Generally, report this amount on the "Other Income" line of Form 1040 and identify the payment. The amount shown may be payments you received as the beneficiary of a deceased employee, prizes, awards, taxable damages, or other taxable income. See Publication 525. It it is trade or business income, report this amount on Schedule C or F (Form 1040).

Line 8 - Shows substitute payments in lieu of dividends or tax-exempti interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other Income" line of Form 1040.

Line 15-17 Show state or local income tax withheld from the payments.

section to determine impact.Oddvisor for more information.no

Line ta - Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040. Atention of the amount on line 1a that may be eligible for reduced capital gains rates. See the Instructions for Feet 1940 for how to determine this amount and where to report. The amount shown may be dividends a congration paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership has not a feet or the construction of the amount and where to report.

Treat if as a plan distribution, not as investment income, for any other purpose.

Line 2a - Shows total capital gain distributions from a regulated investment company (RIC). Report it as a dividend on your form 1040 bit it as a plan distribution, not as investment income, for any other purpose.

Line 2a - Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). Set the 7 A Report in the Instructions for Schedule D (Form 1040). But, if no amount is shown on line 2a-2d and your only capital gales, and losses are capital gain distributions. you imay be able to report the amounts shown, on line 2a on your form 1040 rather than Schedule D. Set the Instructions for Form 1040. But, if no amounts shown, on line 2a on your form 1040 rather than Schedule D. Set the Instructions for Form 1040.

Line 2b - Shows the portion of the amount on line 2a that is unrecaptured section 1250 gain from certain depreciable real property. Set the Unrecaptured Section 1250 Gain Worksheet-Line 19 in the Instructions for Schedule D (Form 1040).

Line 2c - Shows the portion of the amount on line 2a that is section 1202 gain from certain small business stock that may be subject(CD) and acclusion. See the Instructions for Schedule D (Form 1040).

Line 2dain Worksheet-Line 18 in the Instructions for Schedule D (Form 1040).

Line 3dain Worksheet-Line 18 in the Instructions for Schedule D (Form 1040).

Line 3 - Shows a ceturn of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis is taxable to you as capital gain. See Publication 550.

Line 5 - Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section included an line 1s.

Set the Instructions for Form 1040.

Line 5 - Shows your stare of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount included an line 1s.

included on line 1a.

included on line 1a.

Lines 9 and 10 - Shows cash and noncash liquidation distributions.

Line 11 - Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructional tor Form 1040 for where to report. This amount may be subject to backup withholding.

Line 12 - Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included on line 11. See the

Lines 13-15. State income tax withheld reporting boxes. nstructions for Form 625

Account No.

Page 5 of 11

MRS SAMANTHA CHUI SHAN KU

2020 TAX REPORTING STATEMENT

(OMB No. 1545-0112)

instructions for form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-(In)(5) that you did not want to amortize the premium under section 171 or for a tax exempt covered security acquired at a premium, your payer generally must report a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security noncovered securities. For a description of covered securities, see the acquired at a premium, your payer is only required to report the gross amount of interest paid to you. Line 1 - Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown on line 3. May information provided may be different for covered and

also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, and build America bonds that must be included by the bonds, qualified solved the second construction bonds, and build America bonds that must be included by in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912.

Line 3 - Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not be all taxels. See Publication 56.5. This interest is earned trong related and local income taxes. This Interest included on line 1. Line 5 - Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included on line 1. Line 8 - Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the

Line 9 - Shows tax-exempt interest subject to the alternative minimum tax. This amount is included on line 8. See the Instructions for Instructions for Form 1040. This amount may be subject to backup withholding. See line 4.

income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-01D. Report the accrued market discount on your income tax return as directed in the instructions for Form 1040. Market discount or on a tax-exempt security is includible in taxable income as interest income. Line 10 - For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in

Line 11 - For a taxable covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1,6045-f(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported on this line, see the instructions for Form 1040 (Schedule B). If the amount on this line is

Line 12 - For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

r-interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amount is eported on this line, see the instructions for Form 1040 (Schedule B). If the amount on this line 18 greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4)

Line 13 - for a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If the amount on this line is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

Line 14 - Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year.

Lines 15-17 - State tax withheld reporting lines

1099-01D - ORIGINAL ISSUE DISCOUNT

(OMB No. 1545-0117) Instructions for Form 8949. For a covered security acquired with acquisition premium, your payer generally must report a gross amount for both the Old and the acquisition premium amountation for the year. For a noncovered security acquired with acquisition premium, your payer is only required to report the gross amount of Old.

Line 1 - Shows the Old on a taxable obligation for the part of the year you owned it. Report the amount on line 1 as interest income information provided may be different for covered and noncovered securities. For a description of covered securities, see the 퍨

on your income tax return. However, depending on the type of debt instrument, the issue or acquisition date, and other factors (for example, if you paid acquisition or bond premium, or the obligation is a stripped bond or coupon), you may have to figure the correct amount of OID to report on your return. See Publication 1212 for details on how to figure the correct OID.

market discount that accrued on the debt instrument during the year white held by you. For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with 010, shows the market discount that accrued on the obligation during the year white held by you. Report the accrued market discount on your income tax return as directed in the Instructions for Form as it accrues and you notitied your payer ot the election in writing in accordance with Regulations section 1.6045-1(n)(5). shows the Line 5 - For a covered security acquired with OID, it you made an etection under section 1278(b) to include market discount in income 1040. Market discount on a tax-exempt security is includible in taxable income as interest income

(Schedule B). If there is an amount on both lines 6 and 11, for a tax-exempt obligation that is a covered security acquired on or affer January 1, 2017, and issued with oll0, the amount on line 6 shows the amount of acquisition premium amortization for the year that January 1, 2017, and issued with oll0, the wear.

Line 8 - Shows Oll on a U.S. Treasury obligation for the part of the year you owned it. Report this amount as interest income on your O tederal income tax return, and see Publication 1212 to figure any appropriate adjustments to this amount. This Oll is exempt from state 1 and local income tax exampt obligation that is a covered security acquired on or after January 1, 2017, shows the tax-exempt from state 1 obligation that is a covered security acquired on or after January 1, 2017, shows the tax-exempt Oll on the 2 obligation for the part of the year you owned it. In general, report the amount of tax-exempt Oll on Form 1040.

1099-B - PROCEEOS FROM BRADKER AND BARTER EXCHANGE TRANSACTIONS

1099-B - PROCEEOS FROM BRADKER AND BARTER EXCHANGE TRANSACTIONS

1099-B - PROCEEOS FROM BRODKER AND BARTER EXCHANGE TRANSACTIONS

1009-B - Indicates a short-term transaction for which the cost or other basis is being reported to the IRS.

1004-B - Indicates a long-term transaction for which the cost or other basis is being reported to the IRS.

1006-B - Indicates a long-term transaction for which the cost or other basis is not being reported to the IRS. Line 6 - For a taxable covered security, shows the amount of acquisition premium amortization for the year that reduces the amount of the color that reduces the amount of the second of this line, see the instructions for Form 1900 to Colorada by 14 than a is a security and the form of the second of the security acquired on or after the colorada by 14 than a second of the security acquired on or after the colorada by 14 than a second of the security acquired on or after the colorada by 14 than a security acquired on or after the colorada by 14 than a security acquired to the colorada by 15 than a second of the colorada by 15 than a second of the colorada by 15 than a second of the security acquired by 15 than a second of the colorada by 15 than a second of the se (Schedule B). If there is an amount on both lines 6 and 11, for a tax-exempt obligation that is a covered security acquired on or : January 1, 2017, and issued with OID, the amount on line 6 shows the amount of acquisition premium amordization for the year

Code E - Indicates a long-term transaction for which the cost or other basis is not being reported to the IRS.

Code X - Indicates a transaction for which the holding period is unknown.

Line 1a - Shows a brief description of the item or service for which amounts are being reported.

Line the - This ilne may be blank if line 5 is noted or if the securities sold were acquired on a variety of dates. For short sales, the date

Line 1a - Shows a brief description of the item or service for which amounts are being reported.

Line 1b - This line may be bank if line 5 is noted of it the securities sold were acquired on a variety of dates. For short sales, from the short sale.

Line 1c - Shows the trade date of the sale or exchange. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

Line 1c - Shows the trade date of the sale or exchange. For short sales, the date shown is the date to close the sale or exchange. For short sales, the date shown is traded to close the sale or exchange. For short sales, the date shown is the date shown in the short sale.

Line 1c - Shows the cash proceads, reduced by any commissions of transfer taxes related to the sale.

Line 1c - Shows the cash proceads, reduced by any commissions of transfer taxes related to the sale, for transactions involving stocks, and the fair the delivered or any stock or other property received in a velocity confirmed to the day stock or other property received in a reportable change in control or capital structure arising from the corporation. Losses on forward contracts or non-Section 1266 option contracts. May show the proceads from regulated futures contracts or section 1266 option contracts are shown in parentheses. This line does not include proceads from regulated futures contracts or Section 1266 option contracts are shown in parentheses. This line does not include any angulated futures contracts or Section 1266 option contracts are shown in parentheses. This line one or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a form Way and Profession Securities of a compensatory securities were acquired through the exercise of a compensatory secu

Surfly means: stock purchased before 2012, debt acquirer with means: stock purchased before 2012, debt acquirer with means: stock purchased before 2012, debt acquirer with a sale of a security, more than the before 2014.

Interest and into before 2014, and noncompensatory option resulted in a sale of a security, more than a control or more option premium.

Line 7 - If noted, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or with a cannot take a loss on your tax return based on gross proceeds from a reportable change in control or with a statement.

In order or with the control on line 1d. See the Form 8949 and the instuctions for Schedule D. The broker should advise you of any losses on a structure reported on line 1d. See the Form 8949 and the instuctions for Schedule D. The broker should advise you of any losses on a structure reported on line 1d. See the Form 8949 and the instuctions for Schedule D. The broker should advise you of any losses on a structure reported on line 1d. See the Form 8949 and the instuctions for Schedule D. The broker should advise you of any losses on a structure reported on line 1d. See the Form 8949 and the instuctions for Schedule D. The broker should advise you of any losses on a structure reported on line 1d. See the Form 8949 and the instuctions for Schedule D. The broker should advise you of any losses on a structure reported on line 1d. See the Form 8949 and the instuction of the security of the security

Page 6 of 11

2020 TAX REPORTING STATEMENT

Taxpayer No.

Account No.

MRS SAMANTHA CHUI SHAN KU

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Gain or Loss

1g. Wash Sale Loss Disallowed

> 1f. Accrued Market Discount

> > 1e. Cost Basis

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MRS SAMANTHA CHUI SHAN KU

Page 7 of 11

2020 TAX REPORTING STATEMENT

The 2020 Proceeds from Broker and Barter Exchange Transactions section includes both sales of positions for "covered securities" and "noncovered securities." A covered security includes security includes security occurred within the following timeline: Equities acquired on or after January 1, 2011, Mutual Funds acquired on or after January 1, 2012, Option The following sections are provided to facilitate your review and the preparation of your tax return.

Transactions and less complex debt securities acquired on or after January 1, 2014, and more complex debt securities and options issued as part of a debt instrument acquired on or after January 1, 2016. Legislation requires reporting the gross proceeds of the sales of "covered" and "noncovered" securities and the adjusted cost basis for "covered securities." Any sale of a security that is calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of taxable bonds. Under the Cost Basis Reporting Regulations, brokers need not track wash sale activity for substantially identical securities, transactions across accounts, or between covered and noncovered securities. However, you as a taxpayer still have to track and report wash sales as you have in the past which would include all of the aforementioned transaction types. Securities considered a "noncovered security" will still be included in this section with the adjusted cost basis (where available) but the adjusted basis will not be transmitted to the IRS.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported

distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID")

obligations includes the accretion of OID.

(OMB NO. 1545-0715) 2020 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1a. Description of Property Acquired or Disposed 1d. Proceeds

SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 2 - Box 6 Net Proceeds COVERED TRANSACTIONS - Cost basis reported to IRS - Form 8949, Part I, (A)



Account No.

Taxpayer No.

Page 8 of 11 Case 1:20-(OMB NO. 1545-0715)

MRS SAMANTHA CHUI SHAN KU

2020 TAX REPORTING STATEMENT

2020 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Form 1099-B

1a. Description of Property Acquired	1b. Date 1c. Date Sold Acquired or Disposed	1d. Proceeds	1e. Cost Basis	1f. Accrued Market Discount	1g. Wash Sale Loss Disallowed	Gain or Loss
LUÇKÎN ÇOFFEE INC SHS CUSIP Number 54951L109	nber 54951L109					
2000.0000 Sale 05/20/20	/20/20 05/21/20	4,253.91	5,780.00	0.00	0.00	(1,526.09) *

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A BANK OF AMERICA COMPANY MERRILLES

MRS SAMANTHA CHUI SHAN KU

Taxpayer No.

Account No.

Page

9 of 11

2020 TAX REPORTING STATEMENT

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2020 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS 1b. Date 1c. Date Sold Acquired or Disposed

1d. Proceeds

. 1a. Description of Property

Form 1099-B

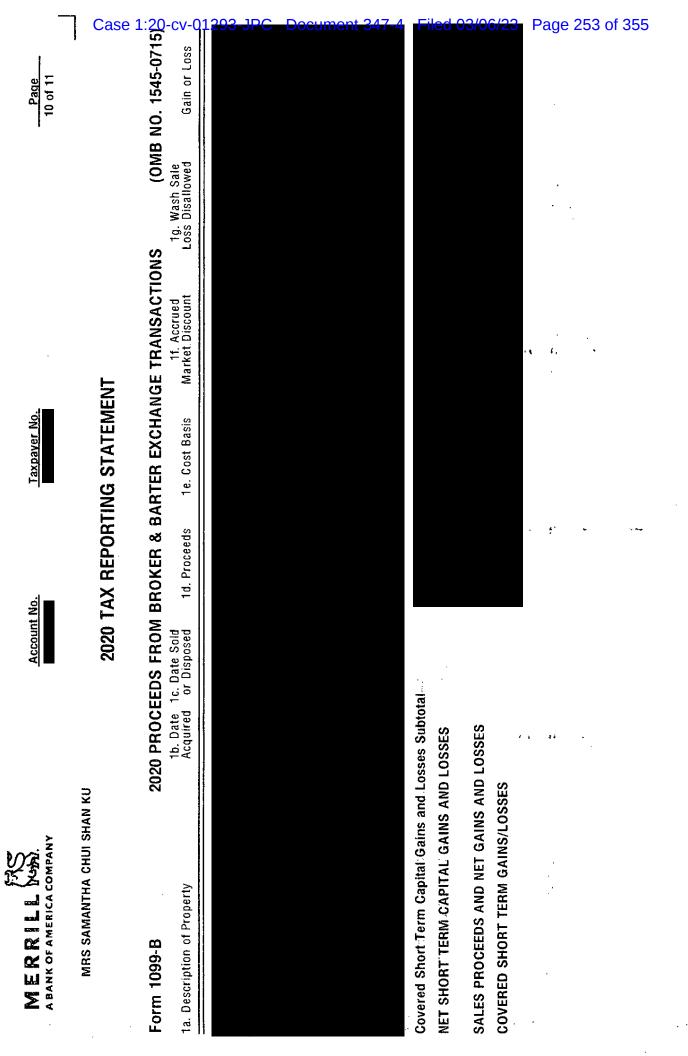
1e. Cost Basis

1f. Accrued Market Discount

1g. Wash Sale Loss Disallowed

Gain or Loss

(OMB NO. 1545-0715)



A BANK OF AMERICA COMPANY MERRILL

MRS SAMANTHA CHUI SHAN KU

Taxpayer No.

Account No.

Page 11 of 11

2020 TAX REPORTING STATEMENT

2020 DIVIDENDS, QUALIFIED AND SECTION 199A DIVIDEND DISTRIBUTIONS

Date Quantity

Security Description

UNITED STATES

Transaction Description

Amount

Qualified

Section 199A

Remarks

DIVIDENDS FROM UNITED STATES

D IN LINE 4 1099-DIV)

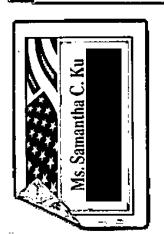
END OF STATEMENT FOR THIS ACCOUNT



c/o Eqip Class Action & Claims Solutions, Inc. In re Luckin Coffee Inc. Securities Litigation P.O. Box 5887

Portland, OR 97228-5887

RETURN RECEIPT REQUESTED



CHATTATATATATATA

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Lou L Lai IRA Contributory (7878)



PART I - CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

Beneficial Owner's Name First Name	MI	Last Na	ime									
L04	۷.		I				П			\neg		
Joint Beneficial Owner's Name (if applicable) First Name	MI	Last Na	me				 					
If this claim is submitted for an IRA, and if you would lik the IRA, please include "IRA" in the "Last Name" box about	ove (e.g.,	eck that y Jones IR	you M <i>A</i> A).	Y be	<u>l</u> eligibl	e to	recei	ive n	nade	pay	yabl	e to
Entity Name (if the Beneficial Owner is not an individual)	ТТ		<u> </u>	Т				$\overline{}$		—т		_
Name of Representative if applicable (Ц_	<u>L</u>	Щ					
Name of Representative, if applicable (executor, administration)	ator, trus	stee, c/o.	etc.), 1f	differe	ent fro	m B	enefi	icial	Ow	ner	\neg	
Last 4 digits of Social Security Number or Taxpayer Identi	fication	Number	L	<u>i</u>					1			
Street Address	rication	Number							٠			
·							П	Т	\top	Т	П	
City				S	ate/Pi	rovir	nce 2	ZIP	Cod	 e		
Foreign Postal Code (if applicable) Foreign Co	ountry (if	applicab	ole)									
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Telephone Number (Day) Tel	ephone ì	Numbei (Evenin	g)								
Email Address (Email address is not required, but if you providing you with information relevant to this claim.)	provide	it you a	uthoriz	e the	Claim	s Ac	lmini	istra	tor 1	to u	se it	t in
					T		T		\top	Т		
Account Number				1 1								
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Type of Beneficial Owner:												
Specify one of the following:												
Individual(s) Corporation UGMA Cu	ustodian		V IRA									
Partnership Estate Trust			Oth	er (des	cribe:))
TOTAL LOSS DUE LK FRA				F								
TOTAL LOSS DUE LK FRA	HD:	1. E.	· ′		93. A.	#	50	76	z. '	00		

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 258 of 355

PART III - SCHEDULE OF TRANSACTIONS IN LUCKIN ADSs

Use this section to provide information on your holdings and trading of Luckin ADSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, \P 7 above.

list each and every p including the close of Offering and January	urchase or acquisition (trading on July 15, 202	including free receipts) 0. Include Luckin ADSs Public Offering and Lu	GH JULY 15, 2020, INC of Luckin ADSs from May purchased in Luckin's May ckin ADSs purchased on t	17, 2019 throu 17, 2019 Initial	gh and Public
Date of Purchase/ Acquisition (List Chronologically) (Month/Day/Year) O 1 2 2 Z O O 2 Z I Z O O 2 I 4 Z O O 3 O 2 Z O 2. PURCHASES/ACQ total number of Luckin October 20, 2021. If nor	ADSs purchased or acqu	Purchase Price Per ADS 11	Total Purchase Price (excluding any fees, commissions, and taxes) 8 0 5 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	to the May 2019 IPO or the Jan. 2020 SPO? E	Confirm Proof of urchase/ quisition nclosed tate the ding on
3. SALES FROM M. disposition (including from October 20, 2021. (Muss	ee deliveries) of Luckin A	H OCTOBER 20, 2021 DSs from May 17, 2019 th	- Separately list each and enrough and including the close of	of trading on C	NONE, CHECK HERE
Date of Sale (List Chronologically) (Month/Day/Year)	Number of ADSs Sold	Sale Price Per ADS	Total Sale Price (not deducting any fees, commission		Confirm Proof of Sale Inclosed
021420	1000	3 · 1 5 1 · 1 2 0 · 2 5	3150 1120 738	00	
4. HOLDINGS AS OF October 20, 2021. (Mus	OCTOBER 20, 2021 – S t be documented.) If none, $O O O$	tate the total number of Lu write "zero" or "0."	ckin ADSs held as of the close	F	Confirm Proof of Position Inclosed
SAME FORMAT, P	RINT THE BENEFICI ER IDENTIFI <u>CA</u> TION	AL OWNER'S FULL I	ABOVE, ATTACH EXTRA NAME AND LAST FOUR DDITIONAL PAGE. IF YOU	DIGITS OF S	OCIAL

Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 259 of 355

PART III - SCHEDULE OF TRANSACTIONS IN LUCKIN ADSs

Use this section to provide information on your holdings and trading of Luckin ADSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 7 above.

	list each and every princluding the close of Offering and January	ourchase or acquisition trading on July 15, 20	(including free receipts) 20. Include Luckin ADSs Public Offering and Lu	GH JULY 15, 2020, INCO of Luckin ADSs from May purchased in Luckin's May ckin ADSs purchased on the	17, 2019 through and 17, 2019 Initial Public				
	Date of Purchase/ Acquisition (List Chronologically) (Month/Day/Year)	Number of ADSs Purchased/ Acquired	Purchase Price Per ADS	Total Purchase Price (excluding any fees, commissions, and taxes)	Were the shares purchased in or traceable to the May 2019 IPO or the Jan. 2020 SPO? Confirm Proof of Purchase/ Acquisition Enclosed				
4	030620	1000	7.60	7600.00					
(5)	040320	3000	1.42	4260.00					
(b)	032720	1000	5 • 37	5370.00					
7	0/2220	1000	10.60	0600.00					
			•	•					
•	2. PURCHASES/ACQUISITIONS FROM JULY 16, 2020 THROUGH OCTOBER 20, 2021, INCLUSIVE – State the total number of Luckin ADSs purchased or acquired (including free receipts) from July 16, 2020 through the close of trading on October 20, 2021. If none, write "zero" or "0." 3. SALES FROM MAY 17, 2019 THROUGH OCTOBER 20, 2021 – Separately list each and every sale or disposition (including free deliveries) of Luckin ADSs from May 17, 2019 through and including the close of trading on October 20, 2021. (Must be documented.)								
			1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1		HERE				
	Date of Sale (List Chronologically) (Month/Day/Year)	Number of ADSs Sold	Sale Price Per ADS	Total Sale Price (not deducting any fees, commission	Proof of Sale				
	051820	3000	0.00	0.	00				
<u>(6)</u>	040320	1000	0.61	610.	00				
<u>/</u> 7\	022120	1000	5.05	5050	00				
				•					
			•	•					
	4. HOLDINGS AS OF	of OCTOBER 20, 2021 – State be documented.) If none	State the total number of Lu , write "zero" or "0."	ckin ADSs held as of the close of	of trading on Proof of Position Enclosed				
	SAME FORMAT, P	RINT THE BENEFIC ER IDENTIFI <u>CA</u> TION	IAL OWNER'S FULL I	ABOVE, ATTACH EXTRA S NAME AND LAST FOUR DDITIONAL PAGE. IF YOU	DIGITS OF SOCIAL				

Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 260 of 355

UNDER THE PENALTY OF PERJURY UNDER THE LAWS OF THE UNITED STATES, I (WE) CERTIFY THAT ALL

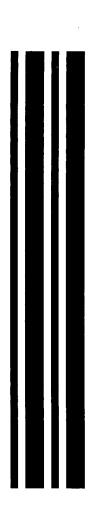
OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM FORM IS TRUE, CORRECT, AND COMPLETE, AND THAT THE DOCUMENTS SUBMITTED HÉREWITH ARE TRUE AND CORRECT COPIES OF WHAT THEY PURPORT TO BE. Signature of claimant LAI Lou Print claimant name here Signature of joint claimant, if here Print joint claimant name here If the claimant is other than an individual, or is not the person completing this form, the following also must be provided: Date: MM DD Signature of person signing on behalf of claimant Print name of person signing on behalf of claimant here

Capacity of person signing on behalf of claimant, if other than an individual, e.g., executor, president, trustee, custodian, etc. (Must provide evidence of authority to act on behalf of claimant -see ¶ 11 on page 4 of this Claim Form.)





Attachments



Patch Code 3

June 1-30, 2020 Statement Period

Account Number

Customer Service and Account Information

Call your Schwab Representative Customer Service and Trading:

1 (800) 435-9050

1 (800) 435-9050 Bank Inquiries:

Schwab by Phone™

Automated Services: 1 (800) 435-8804

TeleBroker®:

Visit Our Web Site: (800) 272-4922

schwab.com

To provide updates for incomplete cost basis information, please visit Cost Basis Updates: schwab.com/gainloss

CONTRIBUTORY SCHWAB & COINC CUST **LOUL LAI**



CHARLES SCHWAB & CO INC CUST

Contributory IRA of LOU L LAI IRA CONTRIBUTORY

www.schwab.com/lesspaper. Visit www.schwab.com/premiumstatement to

explore the features and benefits of this statement.

Protect your privacy and the environment. Switch to eStatements at

Accounts > History

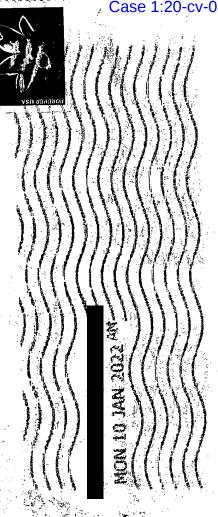
Transactions From 01/22/2020 To 05/18/2020

Account #:

	Date	Action	Details	Symbol	Description*	Quantity	Price	Fees & Comm	Amount
<u>\$</u>	05/18/2020 as of 05/15/2020	Expired		LK 05/15/2020 5.00 P	PUT LUCKIN COFFEE INC \$5 EXP 05/15/20	-30			
<u>/b</u> \	04/03/2020	Sell to Close	Trade Details	LK 07/17/2020 26.00 C	CALL LUCKIN COFFEE INC \$26 EXP 07/17/20	10	\$ 0.61	\$3.68	\$606.32
	, 04/03/2020	Buy to Open	Trade Details	LK 05/22/2020 6.00 P	PUT LUCKIN COFFEE INC \$6 EXP 05/22/20	10	\$2.27	\$3.67	-\$2,273.67
<u></u>	04/03/2020	Buy to Open	Trade Details	LK 05/15/2020 5.00 P	PUT LUCKIN COFFEE INC \$5 EXP 05/15/20	30	\$1.42	\$10.99	-\$4,270.99
	04/03/2020	Sell to Close	Trade Details	LK 07/17/2020 15.00 C	CALL LUCKIN COFFEE INC \$15 EXP 07/17/20	30	\$1.46	\$11.09	\$4,368.91
	04/02/2020	Buy to Open	Trade Details	LK 07/17/2020 15.00 C	CALL LUCKIN COFFEE INC \$15 EXP 07/17/20	30	\$1.33	\$10.99	-\$4 _, 000.99
4	04/02/2020	Sell to Close	Trade Details	LK 07/17/2020 38.00 C	CALL LUCKIN COFFEE INC \$38 EXP 07/17/20	30	\$0.25	\$11.01	, \$738.99
<u></u>	03/27/2020	Sell to Close	Trade Details	LK 07/17/2020 40.00 C	CALL LUCKIN COFFEE INC \$40 EXP 07/17/20	10	\$1.12	\$3.69	\$1,116.31
b	03/27/2020	Buy to Open	Trade Details	LK 07/17/2020 26.00 C	CALL LUCKIN COFFEE INC \$26 EXP 07/17/20	10	\$5.37	\$3.67	-\$5,373.67
	03/06/2020	Buy to Open	Trade Details	LK 07/17/2020 38.00 C	CALL LUCKIN COFFEE INC \$38 EXP 07/17/20	10	\$7.60	\$3.67	-\$7,603.67
	03/02/2020	Buy to Open	Trade Details	LK 07/17/2020 38.00 C	CALL LUCKIN COFFEE INC \$38 EXP	10	\$7.50	\$3.67	-\$7,503.67

					07/17/20				
3	02/21/2020	Buy to Open	Trade Details	LK 07/17/2020 40.00 C	CALL LUCKIN COFFEE INC \$40 EXP) 07/17/20	10	\$7.62	\$3.67	-\$7,623.67
	02/21/2020	Sell to Close	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	10	\$5.05	\$3.78	\$5,046.22
	02/19/2020	Sell to Close	Trade Details	LK 06/19/2020 35.00 C	CALL LUCKIN COFFEE INC \$35 EXP 06/19/20	10	\$11.40	\$3.92	\$11,396.08
Δ	02/14/2020	Sell to Close	Trade Details	LK 06/19/2020 47.00 C	CALL LUCKIN COFFEE INC \$47 EXP 06/19/20	10	\$3.15	\$3.74	\$3,146.26
4	02/14/2020	Buy to Open	Trade Details	LK . 07/17/2020 38.00 C	CALL LUCKIN COFFEE INC \$38 EXP 07/17/20	. 10	\$6.95	\$3.67	-\$6,953.67
-	02/03/2020	Sell to Close	Trade Details	LK 06/19/2020 35.00 C	CALL LUCKIN COFFEE INC \$35 EXP 06/19/20	3	\$7.60	\$1.14	\$2,278.86
anamannan harringa	02/03/2020	Sell to Close	Trade Details	LK 06/19/2020 35.00 C	CALL LUCKIN COFFEE INC \$35 EXP 06/19/20	: 3	\$7.60	\$1.14	\$2,278.86
***************************************	02/03/2020	Sell to Close	Trade Details	LK 06/19/2020 35.00 C	CALL LUCKIN COFFEE INC \$35 EXP 06/19/20	3	\$7.60	\$1.14	\$2,278.86
***************************************	02/03/2020	Sell to Close	Trade Details	LK 06/19/2020 35.00 C	CALL LUCKIN COFFEE INC \$35 EXP 06/19/20	. 1	\$7.60	\$0.37	\$759.63
эний объедина положения	01/31/2020	Buy to Open	Trade Details	LK 06/19/2020 35.00 C	CALL LUCKIN COFFEE INC \$35 EXP 06/19/20	10	\$3.94	\$3.67	-\$3,943.67
	01/31/2020	Sell to Close	Trade Details	LK 03/20/2020 36.00 P	PUT LUCKIN COFFEE INC \$36 EXP 03/20/20	10	\$10.50	\$3.89 \	\$10,496.11
	01/27/2020	Buy to Open	Trade Details	LK 03/20/2020 36.00 P	PUT LUCKIN COFFEE INC \$36 EXP	10	\$7.00	\$3.67	-\$7,003.67

					03/20/20				
7	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	1	\$10.60 ,	\$0.35	-\$1,060.35
9	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	· 2	\$10.60	\$0.74	-\$2,120.74
$\widehat{\mathcal{D}}$	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	1	\$10.60	\$0.35	-\$1,060.35
7	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	1	\$10.60	\$0.35	-\$1,060.35
7	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	2	\$10.60	\$0.74	-\$2,120.74
9	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	1	\$10.60 ·	\$0.35	-\$1,060.35
9	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	1	\$10.60	\$0.35	-\$1,060.35 _.
7	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	1	\$10.60	\$0.35	-\$1,060.35
0	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 47.00 C	CALL LUCKIN COFFEE INC \$47 EXP 06/19/20	5	\$11.50	\$1.82	-\$5,751.82
(1)	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 47.00 C	CALL LUCKIN COFFEE INC \$47 EXP 06/19/20	2	\$11.50	\$0.74	-\$2,300.74
<u></u>	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 47.00 C	CALL LUCKIN COFFEE INC \$47 EXP 06/19/20	. 2	\$11.60	\$0.74	-\$2,320.74
2	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 47.00 C	CALL LUCKIN COFFEE INC \$47 EXP	1	\$11.60	. \$0.35	-\$1,160.35



c/o Epig Class Action & Claims Solutions, Fre In re Luckin Coffee Inc. Securities

P. O. Box 5887 Portland, OR 97228-5887

Divider Page

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 268 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

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000 0002881 00000000 0001 0001 02881 INS: 0 0
LOU L LAI IRA CONTRIBUTORY
CHARLES SCHWAB & CO INC CUST

Claim Number: 7878

Response Deadline: April 18, 2022

March 29, 2022

Notice of Deficient Claim Submission

Dear Claimant:

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action *In re Luckin Coffee Inc. Securities Litigation*, Case No. 1:20-cv-01293-JPC-JLC (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fail to respond by the response deadline set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that those conditions remain uncured. This is the only notice you will receive with respect to this Claim.

PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement, which has been approved by the Court and which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

<u>Ineligibility Condition:</u> No Class Period purchases/acquisitions of Luckin ADSs. (No Eligible Transactions).

The Claim referenced above did not contain any purchases or eligible acquisitions of Luckin ADSs during the Class Period, i.e., May 17, 2019, through July 15, 2020, inclusive. Unless you had eligible transactions during the Class Period that are not reflected in your Claim, this is NOT a curable deficiency.

<u>How to Resolve:</u> You can resolve this condition of ineligibility only by submitting documentation supporting purchases and/or eligible acquisitions of Luckin ADSs during the Class Period that were not previously reflected in your Claim. Acceptable supporting documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible unless this deficiency is also cured.

Ineligibility Condition: Ineligible Stock.

In order to be considered eligible to participate in the Settlement, you must have purchased or otherwise acquired Luckin ADSs. The supporting documentation that you submitted does not show that the transactions were Luckin ADSs.



<u>How to Resolve</u>: You can resolve this condition of ineligibility by showing that the claimed transactions were Luckin ADSs. Self-generated documents are not acceptable. Please note: Do not merely resubmit the same documentation, as it was deemed deficient. You will need to provide additional documentation to cure the deficiency in your Claim.

PLEASE NOTE: Curing this condition of ineligibility in its entirety or in part is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If the deficiency is only cured in part, the Claim will be calculated based on the transactions for which acceptable documentation was submitted. If you have other deficiencies and cure them, your Claim still will not be eligible unless this deficiency is cured at least in part and, to the extent that it is cured, it calculates to a Recognized Claim under the Plan of Allocation.

Date	Quantity	Price per Share	Type of Transaction	Type of Security
01/22/2020	700.00	\$11.50	Purchase	Ineligible Security
01/22/2020	300.00	\$11.60	Purchase	Ineligible Security
01/22/2020	1000.00	\$10.60	Purchase	Ineligible Security
02/14/2020	1000.00	\$3.15	Sale	Ineligible Security
02/14/2020	1000.00	\$6.95	Purchase	Ineligible Security
02/21/2020	1000.00	\$7.62	Purchase	Ineligible Security
02/21/2020	1000.00	\$5.05	Sale	Ineligible Security
03/02/2020	1000.00	\$7.50	Purchase	Ineligible Security
03/06/2020	1000.00	\$7.60	Purchase	Ineligible Security
03/27/2020	1000.00	\$1.12	Sale	Ineligible Security
03/27/2020	1000.00	\$5.37	Purchase	Ineligible Security
04/02/2020	3000.00	\$0.25	Sale	Ineligible Security
04/03/2020	1000.00	\$0.61	Sale	Ineligible Security
04/03/2020	3000.00	\$1.42	Purchase	Ineligible Security
05/18/2020	3000.00	\$0.00	Sale	Ineligible Security

Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court with financial account numbers and certain other information redacted. PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE **CLAIMS ADMINISTRATOR'S** DETERMINATION REGARDING YOUR CLAIM.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator

Divider Page

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 271 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

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000 0002881 00000000 0001 0001 02881 INS: 0 0
LOU L LAI IRA CONTRIBUTORY
CHARLES SCHWAB & CO INC CUST

Claim Number:

7878

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March 29, 2022

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Dear Claimant:

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PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement, which has been approved by the Court and which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

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How to Resolve: You can resolve this condition of ineligibility only by submitting documentation supporting purchases and/or eligible acquisitions of Luckin ADSs during the Class Period that were not previously reflected in your Claim. Acceptable supporting documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Curing this condition of ineligibility is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If you have other deficiencies and cure them, your Claim still will not be eligible unless this deficiency is also cured.

Ineligibility Condition: Ineligible Stock.

In order to be considered eligible to participate in the Settlement, you must have purchased or otherwise acquired Luckin ADSs. The supporting documentation that you submitted does not show that the transactions were Luckin ADSs.



<u>How to Resolve:</u> You can resolve this condition of ineligibility by showing that the claimed transactions were Luckin ADSs. Self-generated documents are not acceptable. Please note: Do not merely resubmit the same documentation, as it was deemed deficient. You will need to provide additional documentation to cure the deficiency in your Claim.

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Date	Quantity	Price per Share	Type of Transaction	Type of Security
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01/22/2020	300.00	\$11.60	Purchase	Ineligible Security
01/22/2020	1000.00	\$10.60	Purchase	Ineligible Security
02/14/2020	1000.00	\$3.15	Sale	Ineligible Security
02/14/2020	1000.00	\$6.95	Purchase	Ineligible Security
02/21/2020	1000.00	\$7.62	Purchase	Ineligible Security
02/21/2020	1000.00	\$5.05	Sale	Ineligible Security
03/02/2020	1000.00	\$7.50	Purchase	Ineligible Security
03/06/2020	1000.00	\$7.60	Purchase	Ineligible Security
03/27/2020	, 1000.00	\$1.12	Sale	Ineligible Security
03/27/2020	1000.00	\$5.37	Purchase	Ineligible Security
04/02/2020	3000.00	\$0.25	Sale	Ineligible Security
104/03/2020	1000.00	\$0.61	Sale	Ineligible Security
04/03/2020	3000.00	\$1.42	Purchase	Ineligible Security
05/18/2020	3000.00	\$0.00	Sale	Ineligible Security

Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

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If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

Sincerely, Claims Administrator



In re Luckin Coffee Inc. Securities Litigation c/o Epic Class Action & Claims Solutions, Inc. P.O. Box 5887
Portland, OR 97228-5887

Claim #: 7878 re: Lou L. Lai IRA Contributory, Schwab Acc. #

Date: April 10th, 2022

Dear Sir/Madam:

I received the Notice of Deficient Claim Submission dated 3/29/2022, I respectfully disagree with it and hereby request <u>Court Review of Full of the rejection</u> of this claim, due to the reasons as below:

During the period of 5/17/2019 through 7/15/2020, I traded Luckin Coffee securities in the form of call and put options, and due to Luckin Coffee management fraud, I lost \$50762 of related tradings in this account.

By definition, invest in stock option is to buy the **Right** to buy (call option) or sell (put option) Luckin Coffee stock at certain price during a specific period of time. Due to Luckin Coffee's management fraud, SEC suspended Luckin Coffee related all securities trading, which included the stock option of Luckin Coffee. And therefore, I lost part or all the value that I invested in these stock options. Hence, invest in Luckin Coffee stock and its stock options are the same in nature, and the root-cause of these losses of the investors is, Luckin Coffee's management deliberately committed fraud.

Enclosed please find my trading records of Luckin Coffee securities from Charles Schwab, during the specified period of time as stared.

Base on the reason as above, I respectfully request a Court Review in full of my case, please keep me informed of your decision.

Thank you!

Regards,

Lou Toill

Page 1 of 11

June 1-30, 2020 Statement Period

coount Number

Customer Service and Account Information

Call your Schwab Representative Customer Service and Trading:

1 (800) 435-9050

Bank Inquiries:

Schwab by PhoneTM 1 (800) 435-9050

Automated Services: 1 (800) 435-8804

1 (800) 272-4922 TeleBroker®:

Visit Our Web Site:

Cost Basis Updates: schwab.com

To provide updates for incomplete cost basis information, pleasé visit schwab.com/gainloss

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CHARLES SCHWAB & CO INC CUST

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www.schwab.com/lesspaper. Visit www.schwab.com/premlumstatement to

explore the features and benefits of this statement:

Protect your privacy and the environment. Switch to eStatements at

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Document Contro!

Accounts > History

Print - History

Transactions From 01/22/2020 To 05/18/2020

Account #.

	Date	Action	Details	Symbol	Description*	Quantity	` Price	Fees & Comm	Amount
B	05/18/2020 as of 05/15/2020	Expired		LK 05/15/2020 5.00 P	PUT LUCKIN COFFEE INC S5 EXP 05/15/20	-30	4, 40, 40, 40, 40, 40, 40, 40, 40, 40, 4		
16	04/03/2020	Sell to Close	Trade Details	LK 07/17/2020 26.00 C	CALL LUCKIN COFFEE INC \$26 EXP 07/17/20	. 10	\$0.61	\$3.68	\$606.32
• 1 MM PA - (1877)	04/03/2020	Buy to Open	Trade Details	LK 05/22/2020 6.00 P	PUT LUCKIN COFFEE INC \$6 EXP 05/22/20	10	\$2.27	\$3.67	-\$2,273.67
<u>(S)</u>	04/03/2020	Buy to Open	Trade Details	LK 05/15/2020 5.00 P	PUT LUCKIN COFFEE INC 85 EXP 05/15/20	30	\$1.42	\$10.99	-\$4,270.99
-	04/03/2020	Sell to Close	Trade Details	LK 07/17/2020 15.00 C	CALL LUCKIN COFFEE INC \$15 EXP 07/17/20	30	\$1.46	\$11.09	\$4,368.91
	04/02/2020	Buy to Open	Trade Details	LK 07/17/2020 15.00 C	CALL LUCKIN COFFEE INC \$15 EXP 07/17/20	30 _	\$1.33	\$10.99	-\$4,000.99
4	04/02/2020	Sell to Clase	Trade Details	LK 07/17/2020 38.00 C	CALL LUCKIN COFFEE INC \$38 EXP 07/17/20	30	\$0.25	S11.01	\$738.99
<u></u>	03/27/2020	Seli ta Close	Trade Details	LK 07/17/2020 40.00 C	CALL LUCKIN COFFEE INC \$40 EXP 07/17/20	10	\$1.12	\$3.69	\$1,116.31
(b)	03/27/2020	Buy to Open	Trade Details	LK 07/17/2020 26.00 C	CALL LUCKIN COFFEE INC \$26 EXP 07/17/20	10	\$5.37	\$3.67	-\$ 5.373.67
4	03/06/2020	Buy to Open	Trade Details	LK -07/17/2020 38.00 C	CALL LUCKIN COFFEE INC \$38 EXP 07/17/20	10	\$7.60	\$3.67	-\$7,603.67
	03/02/2020	Buy to Open	Trade Details	LK 07/17/2020 38.00 C	CALL LUCKIN COFFEE INC \$38 EXP	10	\$7.50	\$3.67	-\$7,503.67

					07/1 7/ 20				
3	02/21/2020	Buy to Open	Trade Details	LK 07/17/2020 40.00 C	CALL LUCKIN COFFEE INC \$40 EXP 07/17/20	10	\$7.62	\$3.67	-\$7,623.67
	02/21/2020	Seli to Close	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	10	\$5.05	\$3.78	\$5,046.22
	02/19/2020	Sell to Close	Trade Details	LK 06/19/2020 35.00 C	CALL LUCKIN COFFEE INC \$35 EXP 06/19/20	10	\$11.40	\$3.92	\$11,396.08
\triangle	02/14/2020	Sell to Close	Trade Details	LK 06/19/2020 47.00 C	CALL LUCKIN COFFEE INC \$47 EXP 06/19/20	10	\$3.15	\$3.74	\$3,146.26
4	02/14/2020	Buy to Open	Trade Details	LK 07/17/2020 38.00 C	CALL LUCKIN COFFEE INC \$38 EXP 07/17/20	10	\$6.95	\$3.67	-\$6,953.67
	02/03/2020	Sell to Close	Trade Details	LK 06/19/2020 35.00 C	CALL LUCKIN COFFEE INC \$35 EXP 06/19/20	3	\$7.60	\$1.14	\$2,278.86
	02/03/2020	Sell to Close	Trade Details	LK 06/19/2020 35.00 C	CALL LUCKIN COFFEE INC \$35 EXP 06/19/20	3	\$7.60	\$1,14	\$2,278.86
	02/03/2020	Seli to Close	Trade Details	LK 06/19/2020 35.00 C	CALL LUCKIN COFFEE INC \$35 EXP 06/19/20	3	\$7.60	\$1,14	\$2.278.86
	02/03/2020	Sell to Close	Trade Details	LK 06/19/2020 35.00 C	CALL LUCKIN COFFEE INC \$35 EXP 06/19/20	1	\$7.60	\$0.37	\$759.63
	01/31/2020	Buy to Open	Trade Details	LK 06/19/2020 35.00 C	CALL LUCKIN COFFEE INC \$35 EXP 06/19/20	10	\$3.94	\$3.67	-\$3,943.67
	01/31/2020	Sell to Close	Trade Details	LK 03/20/2020 36.00 P	PUT LUCKIN COFFEE INC \$36 EXP 03/20/20	10	\$10.50	\$3.89	\$10.496.11
,	01/27/2020	Buy to Open	Trade Details	LK 03/20/2020 36.00 P	PUT LUCKIN COFFEE INC \$36 EXP	10	\$7.00	\$3.67	-\$7,003.67

					03/20/20				
7	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	1	\$10.60	S0.35	-\$1,060.35
9	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	2	\$10.60	\$0.74	-\$2,120.74
9	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	1	\$10.60	\$0.35	-\$1,060.35
7	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	1	\$10.60	\$0.35	-\$1,060.35
7	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	2	\$10.60	\$0.74	-\$2,120.74
3	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	1	\$10.60	\$0.35	-\$1,060.35
9	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	1	\$10.60	\$0.35	-\$1,060.35
7	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 45.00 C	CALL LUCKIN COFFEE INC \$45 EXP 06/19/20	1	\$10.60	\$0.35	-\$1,060.35
0	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 47.00 C	CALL LUCKIN COFFEE INC S47 EXP 06/19/20	5	\$11.50	\$1.82	-\$ 5,751.82
(1)	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 47.00 C	CALL LUCKIN COFFEE INC \$47 EXP 06/19/20	2	\$11.50	S0.74	-\$2,300.74
3	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 47.00 C	CALL LUCKIN COFFEE INC \$47 EXP 06/19/20	2	\$11.60	\$0.74	-\$2,320.74
2	01/22/2020	Buy to Open	Trade Details	LK 06/19/2020 47.00 C	CALL LUCKIN COFFEE INC \$47 EXP	1	\$11.60	\$0.35	-\$1,160.35

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Document 344-4 Filed 03/06/53 Page 518 of 322 Class Action & Class &

From . Lou lai

William Abbate (17888)

In re Luckin Coffee Inc. Securities Litigation
Toll-Free Number: 1-855-535-1824
Email: info@LuckinCoffeeSecuritiesLitigation.com
Website: www.LuckinCoffeeSecuritiesLitigation.com

PROOF OF CLAIM AND RELEASE FORM

To be eligible to receive a payment from the Settlement, you must complete and sign this Claim Form and mail it by first-class mail to the address below, or submit it online at www.LuckinCoffeeSecuritiesLitigation.com, with supporting documentation, *postmarked* (or received) no later than March 15, 2022.

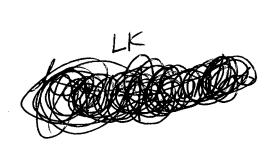
Mail to:

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

Failure to submit your Claim Form by the date specified will subject your claim to rejection and may preclude you from being eligible to receive a payment from the Settlement.

Submit your Claim Form only to the Claims Administrator at the address set forth above.

TABLE OF CONTENTS	PAGE #
PART I – CLAIMANT INFORMATION	2
PART II – GENERAL INSTRUCTIONS	3-4
PART III – SCHEDULE OF TRANSACTIONS IN LUCKIN AMERICAN DEPOSITORY SHARES	5
PART IV _ RELEASE OF CLAIMS AND SIGNATURE	6.7



PART I - CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

Beneficial Owner's Name First Name	МІ	Last Name										
William	MI	1 b b	_	10			•					
Joint Beneficial Owner's Name (if applicable)			127 1 1					- 1				
First Name	MI	Last Name										
If this claim is submitted for an IRA, and if you would lil the IRA, please include "IRA" in the "Last Name" box ab	ke any che ove (<i>e.g.</i> , .	eck that you Jones IRA).	MAY	be el	igible	to 1	recei	ve n	nade	e pa	yabl	e to
Entity Name (if the Beneficial Owner is not an individual)											
											·	
Name of Representative, if applicable (executor, administration)	rator, trus	tee, c/o, etc), if di	fferen	t fro	m Be	enefi	icial	Ow	ner		, .
Last 4 digits of Social Security Number or Taxpayer Ident	ification 1	Number			•			, ,				
*												
Street Address						,						
City	•			Sta	te/Pr	ovin	ice 7	ZIP	Cod	le		
City	•			Sta	te/Pr	ovin	ice 2	ZIP	Cod	le		
		applicable)		Sta	te/Pr	ovin	ice 2	ZIP	Cod	le		
		applicable)		Sta	te/Pr	ovin	ice 2	ZIP	Cod	le		
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Telephone Number (Day) Email Address (Email address is not required, but if yo providing you with information relevant to this claim.) Account Number Type of Beneficial Owner:	Country (if	Number (Ev									use i	it in
Telephone Number (Day) Telephone Number (Day) Email Address (Email address is not required, but if yo providing you with information relevant to this claim.) Account Number Type of Beneficial Owner: Specify one of the following:	Country (if	Number (Ev									use i	it in
Telephone Number (Day) Email Address (Email address is not required, but if yo providing you with information relevant to this claim.) Account Number Type of Beneficial Owner:	Country (if	Number (Ev									use i	it in

PART II - GENERAL INSTRUCTIONS

- 1. It is important that you completely read and understand the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice") that accompanies this Claim Form, including the Plan of Allocation of the Net Settlement Fund set forth in the Settlement Notice. The Settlement Notice describes the proposed Settlement, how Class Members are affected by the Settlement, and the manner in which the Net Settlement Fund will be distributed if the Settlement and Plan of Allocation are approved. The Settlement Notice also contains the definitions of many of the defined terms (which are indicated by initial capital letters) used in this Claim Form. By signing and submitting this Claim Form, you will be certifying that you have read and that you understand the Settlement Notice, including the terms of the releases described therein and provided for herein.
- 2. This Claim Form is directed to all persons and entities (and their beneficiaries) who purchased or otherwise acquired the American Depository Shares ("ADSs") of Luckin Coffee Inc. ("Luckin") during the Class Period (from May 17, 2019 through July 15, 2020, inclusive) (the "Class"). Included in the Class are all persons and entities who purchased Luckin ADSs on the open market and/or in or traceable to the May 17, 2019 Initial Public Offering ("IPO") and January 10, 2020 Secondary Public Offering ("SPO") during the Class Period. Certain persons and entities are excluded from the Class by definition as set forth in ¶ 25 of the Settlement Notice.
- 3. By submitting this Claim Form, you will be making a request to receive a payment from the Settlement described in the Settlement Notice. IF YOU ARE NOT A CLASS MEMBER (see the definition of the Class on page 6 of the Settlement Notice, which sets forth who is included in and who is excluded from the Class), OR IF YOU, OR SOMEONE ACTING ON YOUR BEHALF, SUBMITTED A REQUEST FOR EXCLUSION FROM THE CLASS, DO NOT SUBMIT A CLAIM FORM. YOU MAY NOT, DIRECTLY OR INDIRECTLY, PARTICIPATE IN THE SETTLEMENT IF YOU ARE NOT A CLASS MEMBER. THUS, IF YOU ARE EXCLUDED FROM THE CLASS, ANY CLAIM FORM THAT YOU SUBMIT, OR THAT MAY BE SUBMITTED ON YOUR BEHALF, WILL NOT BE ACCEPTED.
- 4. Submission of this Claim Form does not guarantee that you will be eligible to receive a payment from the Settlement, if it is approved. The distribution of the payments to eligible purchasers of Luckin ADSs will be governed by the Plan of Allocation set forth in the Settlement Notice, if it is approved by the Court, or by such other plan of allocation as the Court approves.
- 5. Use the Schedule of Transactions in Part III of this Claim Form to supply all required details of your transaction(s) in, and holdings of, Luckin ADSs. On this schedule, provide all of the requested information with respect to your holdings, purchases, acquisitions, and sales of Luckin ADSs (including free transfers and deliveries), whether such transactions resulted in a profit or a loss. Failure to report all transaction and holding information during the requested time period may result in the rejection of your claim.
- 6. <u>Please note</u>: Only Luckin ADSs purchased or acquired from May 17, 2019 through July 15, 2020, inclusive, are eligible for payment under the Settlement. However, sales of Luckin ADSs during the period from July 16, 2020 through and including the close of trading on October 20, 2021, will be used for purposes of calculating your claim under the Plan of Allocation. Therefore, in order for the Claims Administrator to be able to balance your claim, the requested purchase/acquisition and sale/disposition information during this period must also be provided.
- 7. You are required to submit genuine and sufficient documentation for all of your transactions in and holdings of Luckin ADSs as set forth in the Schedule of Transactions in Part III of this Claim Form. Documentation may consist of copies of brokerage confirmation slips or monthly brokerage account statements, or an authorized statement from your broker containing the transactional and holding information found in a broker confirmation slip or account statement. The Settling Parties and the Claims Administrator do not independently have information about your investments in Luckin ADSs. IF SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN COPIES OF THE DOCUMENTS OR EQUIVALENT DOCUMENTS FROM YOUR BROKER. FAILURE TO SUPPLY THIS DOCUMENTATION MAY RESULT IN THE REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL DOCUMENTS. Please keep a copy of all documents that you send to the Claims Administrator. Also, do not highlight any portion of the Claim Form or any supporting documents.
- 8. Traceability of Luckin ADSs to Public Offerings in the Class Period. Public offerings of Luckin ADSs occurred during the Class Period on or about (i) May 17, 2019 (the IPO); and (ii) January 10, 2020 (the SPO). Claimants who purchased Luckin ADSs directly in one or both of the offerings, or who purchased shares "traceable" to one or both of the offerings (as opposed to generally on the open market) may be entitled to additional compensation under the Plan of Allocation. All Luckin ADSs purchased from May 17, 2019 through January 9, 2020 are assumed to be traceable to the IPO. However, if you purchased Luckin ADSs from January 10, 2020 through July 15, 2020 that were not purchased directly in the SPO but that you believe are specifically traceable to Luckin ADSs that were issued in the IPO or SPO, you must submit documentation with your Claim Form showing that the specific ADSs you purchased were shares issued in the IPO or SPO.
- 9. Use Part I of this Claim Form entitled "CLAIMANT INFORMATION" to identify the beneficial owner(s) of the Luckin ADSs. The complete name(s) of the beneficial owner(s) must be entered. If you held the Luckin ADSs in your own name, you were the beneficial owner as well as the record owner. If, however, your Luckin ADSs were registered in the name of a third party, such as a nominee or brokerage firm, you were the beneficial owner of the ADSs, but the third party was the record owner. The beneficial owner, not the record owner, must sign this Claim Form to be eligible to participate in the Settlement. If there were joint beneficial owners, each must sign this Claim Form and their names must appear as "Claimants" in Part I of this Claim Form.

- 10. One Claim should be submitted for each separate legal entity or separately managed account. Separate Claim Forms should be submitted for each separate legal entity (e.g., an individual should not combine his or her IRA holdings and transactions with holdings and transactions made solely in the individual's name). Generally, a single Claim Form should be submitted on behalf of one legal entity including all holdings and transactions made by that entity on one Claim Form. However, if a single person or legal entity had multiple accounts that were separately managed, separate Claims may be submitted for each such account. The Claims Administrator reserves the right to request information on all the holdings and transactions in Luckin ADSs made on behalf of a single beneficial owner.
- 11. Agents, executors, administrators, guardians, and trustees must complete and sign the Claim Form on behalf of persons represented by them, and they must:
 - (a) expressly state the capacity in which they are acting;
 - (b) identify the name; account number; last four digits of the Social Security Number, taxpayer identification number, or comparable identification number for non-U.S. claimants; address; and telephone number of the beneficial owner of (or other person or entity on whose behalf they are acting with respect to) the Luckin ADSs; and
 - (c) furnish herewith evidence of their authority to bind to the Claim Form the person or entity on whose behalf they are acting. (Authority to complete and sign a Claim Form cannot be established by stockbrokers demonstrating only that they have discretionary authority to trade securities in another person's accounts.)
 - 12. By submitting a signed Claim Form, you will be swearing that you:
 - (a) own(ed) the Luckin ADSs you have listed in the Claim Form; or
 - (b) are expressly authorized to act on behalf of the owner thereof.
- 13. By submitting a signed Claim Form, you will be swearing to the truth of the statements contained therein and the genuineness of the documents attached thereto, subject to penalties of perjury under the laws of the United States of America. The making of false statements, or the submission of forged or fraudulent documentation, will result in the rejection of your claim and may subject you to civil liability or criminal prosecution.
- 14. Payments to eligible Authorized Claimants pursuant to the Plan of Allocation will be made after final approval of the Settlement and any appeals from such approval, and after the completion of all claims processing. The claims process will take substantial time to complete fully and fairly. Please be patient.
- 15. **PLEASE NOTE:** As set forth in the Plan of Allocation, each Authorized Claimant shall receive his, her, or its *pro rata* share of the funds available under the Settlement. If the prorated payment to any Authorized Claimant calculates to less than \$10.00, it will not be included in the calculation and no distribution will be made to that Authorized Claimant.
- 16. If you have questions concerning the Claim Form, or need additional copies of the Claim Form, you may contact the Claims Administrator, Epiq Class Action & Claims Solutions, Inc., at the address on the first page of this Claim Form, by email at info@LuckinCoffeeSecuritiesLitigation.com, or by toll-free phone at 1-855-535-1824, or you can visit the website, www.LuckinCoffeeSecuritiesLitigation.com, where copies of the Claim Form and other relevant documents are available for downloading.
- 17. 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. To obtain the *mandatory* electronic filing requirements and file layout, you may visit the Settlement website at www.LuckinCoffeeSecuritiesLitigation.com or you may email the Claims Administrator's electronic filing department at info@LuckinCoffeeSecuritiesLitigation.com. Any file not in accordance with the required electronic filing format will be subject to rejection. The *complete* name of the beneficial owner of the securities must be entered where called for (see ¶ 9 above). No electronic files will be considered to have been submitted unless the Claims Administrator issues an email to that effect. Do not assume that your file has been received until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at info@LuckinCoffeeSecuritiesLitigation.com to inquire about your file and confirm it was received.

IMPORTANT: PLEASE NOTE

YOUR CLAIM IS NOT DEEMED FILED UNTIL YOU RECEIVE AN ACKNOWLEDGEMENT POSTCARD. THE CLAIMS ADMINISTRATOR WILL ACKNOWLEDGE RECEIPT OF YOUR CLAIM FORM WITHIN 60 DAYS OF YOUR SUBMISSION. IF YOU DO NOT RECEIVE AN ACKNOWLEDGEMENT POSTCARD WITHIN 60 DAYS, CONTACT THE CLAIMS ADMINISTRATOR TOLL FREE AT 1-855-535-1824.

Case 1:20-charage 284 of 355

Use this section to provide information on your holdings and trading of Luckin ADSs during the requested time periods. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 7 above.

1. PURCHASES/ACQUISITIONS FROM MAY 17, 2019 THROUGH JULY 15, 2020, INCLUSIVE — Separately list each and every purchase or acquisition (including free receipts) of Luckin ADSs from May 17, 2019 through and including the close of trading on July 15, 2020. Include Luckin ADSs purchased in Luckin's May 17, 2019 Initial Public Offering and January 10, 2020 Secondary Public Offering and Luckin ADSs purchased on the open market from May 17, 2019 through July 15, 2020. (Must be documented.)						
Please Sec. With Sap Date of Purchase/ Acquisition (List Chronologically) (Month/Day/Year)	Attached Spr oovting docar Number of ADSs Purchased/ Acquired	rend Shect From nentation At Purchase Price Per ADS	Total Purchase Price (excluding any fees, commissions, and taxes)	Were the shares purchased in or traceable to the May 2019 IPO or the Jan. 2020 SPO? Confirm Proof of Purchase/ Acquisition Enclosed		
		•	•			
2. PURCHASES/ACQUISITIONS FROM JULY 16, 2020 THROUGH OCTOBER 20, 2021, INCLUSIVE – State the total number of Luckin ADSs purchased or acquired (including free receipts) from July 16, 2020 through the close of trading on October 20, 2021. If none, write "zero" or "0." Total # 2,849,107,43 3. SALES FROM MAY 17, 2019 THROUGH OCTOBER 20, 2021 – Separately list each and every sale or IF NONE, CHECK						
3. SALES FROM MAY 17, 2019 THROUGH OCTOBER 20, 2021 — Separately list each and every sale or disposition (including free deliveries) of Luckin ADSs from May 17, 2019 through and including the close of trading on October 20, 2021. (Must be documented.) Place see Affiched decument from HER Appine May has Mangement Group, LLC, Confir						
Date of Sale (List Chronologically) (Month/Day/Year)	Number of ADSs Sold	Sale Price Per ADS	Total Sale Price (not deducting any fees, commission	Proof of Sale		
06/29/20	110250		117967	50 J		
4. HOLDINGS AS OF October 20, 2021. (Must	be documented.) If none.	write "zero" or "0."	ckin ADSs held as of the close of $4/4/2,731,13$	Proof of		
IF YOU REQUIRE ADDITIONAL SPACE FOR THE SCHEDULE ABOVE, ATTACH EXTRA SCHEDULES IN THE SAME FORMAT. PRINT THE BENEFICIAL OWNER'S FULL NAME AND LAST FOUR DIGITS OF SOCIAL SECURITY/TAXPAYER IDENTIFICATION NUMBER ON EACH ADDITIONAL PAGE. IF YOU DO ATTACH EXTRA SCHEDULES, CHECK THIS BOX.						

Please note: Information requested with respect to your purchases and acquisitions of Luckin ADSs from July 16, 2020 through the close of trading on October 20, 2021 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim under the Plan of Allocation.

PART IV - RELEASE OF CLAIMS AND SIGNATURE

YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON PAGE 7 OF THIS CLAIM FORM.

I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) and my (our) (the claimant(s)') heirs, executors, administrators, predecessors, successors, and assigns, in their capacities as such, shall be deemed to have, and by operation of law and of the judgment shall have, fully, finally, and forever compromised, settled, released, resolved, relinquished, waived, and discharged each and every Released Plaintiffs' Claim against Luckin and the other Defendants' Released Parties, and shall forever be barred and enjoined from prosecuting any or all of the Released Plaintiffs' Claims against any of the Defendants' Released Parties in any jurisdiction.

CERTIFICATION

By signing and submitting this Claim Form, the claimant(s) or the person(s) who represent(s) the claimant(s) agree(s) to the release above and certifies (certify) as follows:

- 1. that I (we) have read and understand the contents of the Settlement Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;
- 2. that the claimant(s) is a (are) Class Member(s), as defined in the Settlement Notice, is (are) not excluded by definition from the Class as set forth in the Settlement Notice and did *not* submit a request for exclusion from the Class;
- 3. that I (we) own(ed) the Luckin ADSs identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Defendants' Released Parties to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
- 4. that the claimant(s) has (have) not submitted any other claim covering the same purchases of Luckin ADSs and knows (know) of no other person having done so on the claimant's (claimants') behalf;
- 5. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;
- 6. that I (we) agree to furnish such additional information with respect to this Claim Form as Class Counsel, the Claims Administrator, or the Court may require;
- 7. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this claim, and waives any right of appeal or review with respect to such determination;
- 8. that should Luckin determine in its absolute discretion that the Settlement should also be implemented in the Cayman Islands by way of a scheme of arrangement promulgated under section 86 of the Cayman Islands Companies Act 1981 (the "Scheme"), the claimant(s) appoint(s) Sjunde AP-Fonden and Louisiana Sheriff's Pension & Relief Fund as its/their proxy to vote in favor of the Scheme at all meetings convened for the purpose of approving the Scheme;
- 9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and
- 10. that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.

UNDER THE PENALTY OF PERJURY UNDER THE LAWS OF THE OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM AND THAT THE DOCUMENTS SUBMITTED HEREWITH ARE TO PURPORT TO BE.	I FORM IS TRUE, CORRECT, AND COMPLETE,
Signature of claimant	Date: 03 - 01 - 2022 MM DD YYYY
William Abbate Print claimant name here	ring sign of the s
Finit Gainfailt name nere	Date: MM - DD - YYYY
Signature of joint claimant, if here	
Print joint claimant name here If the claimant is other than an individual, or is not the person complet	ing this form, the following also must be provided:
1 28' 91 01 80 6	Date: MM DD YYYY
Signature of person signing on behalf of claimant	entropy that the state of the s
W., W. 10 11 12	
Print name of person signing on behalf of claimant here	*
Capacity of person signing on behalf of claimant, if other than an individual (Must provide evidence of authority to act on behalf of claimant – $see \ 1$)	dual, e.g., executor, president, trustee, custodian, etc. 1 on page 4 of this Claim Form.)

REMINDER CHECKLIST

- 1. Sign the above release and certification. If this Claim Form is being made on behalf of joint claimants, then both must sign.
- 2. Attach only copies of acceptable supporting documentation as these documents will not be returned to you.
- 3. Do not highlight any portion of the Claim Form or any supporting documents.
- 4. Keep copies of the completed Claim Form and documentation for your own records.
- 5. The Claims Administrator will acknowledge receipt of your Claim Form by mail, within 60 days of your submission. Your claim is not deemed filed until you receive an acknowledgement postcard. If you do not receive an acknowledgement postcard within 60 days, please call the Claims Administrator toll free at 1-855-535-1824.
- 6. If your address changes in the future, or if this Claim Form was sent to an old or incorrect address, you must send the Claims Administrator written notification of your new address. If you change your name, inform the Claims Administrator.
- 7. If you have any questions or concerns regarding your claim, contact the Claims Administrator at the address below, by email at info@LuckinCoffeeSecuritiesLitigation.com, or by toll-free phone at 1-855-535-1824, or you may visit www.LuckinCoffeeSecuritiesLitigation.com.

This Claim Form must be mailed to the Claims Administrator by first-class mail or submitted online at www.LuckinCoffeeSecuritiesLitigation.com, postmarked (or received) no later than March 15, 2022. If mailed, the Claim Form should be addressed as follows:

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if a postmark date on or before March 15, 2022 is indicated on the envelope and it is mailed First Class, and addressed in accordance with the above instructions. In all other cases, a Claim Form shall be deemed to have been submitted when actually received by the Claims Administrator.

You should be aware that it will take a significant amount of time to fully process all of the Claim Forms. Please be patient and notify the Claims Administrator of any change of address.







Patch Code 3

Abbate	
William	

e Amount Comsn	(\$56,055.00)	_		(\$65,682.09) \$ 0.00	(\$22,742.85) \$ 0.00	(\$88,425.00) \$ -	(\$88,425.00) \$ -	(\$104,760.00) \$ 0.00	_	(\$70,140.00) \$ 0.00		(\$63,829.35) \$ 0.00	(\$27,095.65) \$ 0.00	(\$30,510.00) \$ -	(\$15,552.50) \$ -	(\$31,070.00) \$ 0.00	(\$31,260.00) \$ -	(\$79,425.00) \$ 0.00	(\$16,125.00) \$ 0.00	(\$32,800,00) \$ 0.00	(\$66,940.00) \$ -	(\$16,835.00) \$ 0.00	(\$33,800.00) \$ 0.00	(\$50,655.00) \$ -	(\$51,105.00) \$ 0.00	(\$68,020.00) \$ 0.00	(\$87,425.00) \$ -	(\$87,425.00) \$ 0.00	(\$67,675.00) \$ 0.00	(\$60,140.00) \$ 0.00	(\$30,170.00) \$ -	(\$15,185.00) \$ 0.00	(\$15,385.00) \$ -	(\$80,425.00) \$ -	(\$81,275.00) \$ 0.00	(\$81,925.00) \$ -	(\$82,525.00) \$ -	(\$47,055.00) \$ 0.00		(\$97,510.98) \$ 0.00	_	
Price Trans Type	7 B				\$35.37 Bought	\$35.37 Bought	\$35.37 Bought	\$34.92 Bought	\$35.01 Bought	\$35.07 Bought	\$35.37 Bought	\$36.37 Bought	\$36.37 Bought	\$30.51 Bought	\$31.11 Bought	\$31.07 Bought	\$31.26 Bought	\$31.77 Bought	\$32.25 Bought	\$32.80 Bought	\$33.47 Bought	\$33.67 Bought	\$33.80 Bought	\$33.77 Bought	\$34.07 Bought	\$34.01 Bought	\$34.97 Bought	\$34.97 Bought	\$27.07 Bought	\$30.07 Bought	\$30.17 Bought	\$30.37 Bought	\$30.77 Bought	\$32.17 Bought	\$32.51 Bought	\$32.77 Bought	\$33.01 Bought	\$31.37 Bought	\$33.37 Bought	\$24.99 Bought		
ol Description	***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES	**************************************																																								
Qty Symbol	1,500	1,000 LK	2,500 LK	1,857 LK	643 LK	2,500 LK	2,500 LK	3,000 LK	3,000 LK	2,000 LK	2,500 LK	1,755 LK	745 LK	1,000 LK	500 LK	1,000 LK	1,000 LK	2,500 LK	200 LK	1,000 LK	2,000 LK	200 LK	1,000 LK	1,500 LK	1,500 LK	2,000 LK	2,500 LK	2,500 LK	2,500 LK	2,000 LK	1,000 LK	200 LK	200 LK	2,500 LK	2,500 LK	2,500 LK	2,500 LK	1,500 LK	2,500 LK	3,902 LK	1,098 LK	NI OOS
Date	1/27/2020 3:00 BOT	1/27/2020 3:00 BOT	1/29/2020 3:00 BOT	1/30/2020 3:00 BOT	1/31/2020 3:00 BOT	2/3/2020 3:00 BOT	2/3/2020 3:00 BOT	2/3/2020 3:00 BOT	2/3/2020 3:00 BOT	2/3/2020 3:00 BOT	2/3/2020 3:00 BOT	3/20/2020 3:00 BOT	3/20/2020 3:00 BOT	3/2/2/02/03:00 BOT																												

William Abbate

(\$22,770.00) \$ 0.00	(\$22,798.60) \$ 0.00	(\$1,297.08) \$ 0.00	(\$6,045.63) \$ 0.00	(\$60,025.00) \$ 0.00	(\$455.00) \$ 0.00	(\$10,033.40) \$ 0.00	(\$12,185.70) \$ 0.00	00.0 \$ (00.006,6\$)	(\$13,900.00) \$ 0.00	(\$11,650.00) \$ 0.00	. \$ (\$12,989.90)	(\$13,700.00) \$ 0.00	(\$15,080.00) \$ -	(\$15,639.90) \$ 0.00	(\$18,989.90) \$ 0.00	(\$18,870.00) \$ -	(\$15,200.00) \$ 0.00	(\$3,790.00) \$ 0.00	(\$21,819.90) \$ 0.00	(\$22,699.80) \$ -	(\$5,417.20) \$ 0.00	(\$5,453.70) \$ -	(\$3,304.68) \$ 0.00	(\$1,650.75) \$ 0.00	(\$6,055.50) \$ 0.00	(\$5,507.20) \$ -	(\$775.00) \$ -	(\$835.00) \$ 0.00	(\$1,765.00) \$ -	(\$1,369.90) \$ -	(\$1,369.90) \$ 0.00	(\$1,510.00) \$ -
\$22.77 Bought	\$24.10 Bought	\$24.02 Bought	\$24.18 Bought	\$24.01 Bought	\$4.55 Bought	\$4.54 Bought	\$4.53 Bought	\$3.96 Bought	\$5.56 Bought	\$11.65 Bought	\$12.99 Bought	\$13.70 Bought	\$15.08 Bought	\$15.64 Bought	\$18.99 Bought	\$18.87 Bought	\$19.00 Bought	\$18.95 Bought	\$21.82 Bought	\$22.70 Bought	\$5.42 Bought	\$5.45 Bought	\$5.51 Bought	\$5.50 Bought	\$5.51 Bought	\$5.51 Bought	\$1.55 Bought	\$1.67 Bought	\$1.77 Bought	\$1.37 Bought	\$1.37 Bought	\$1.51 Bought
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES	***LUCKIN COFFEE INCAMERICAN DEPOSITARY SHARES	***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES	***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES	***LUCKIN COFFEE INCAMERICAN DEPOSITARY SHARES	***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES																											
1,000 LK	946 LK	54 LK	250 LK	2,500 LK	100 LK	2,210 LK	2,690 LK	2,500 LK	2,500 LK	1,000 LK	1,000 LK	1,000 LK	1,000 LK	1,000 LK	1,000 LK	1,000 LK	800 LK	200 LK	1,000 LK	1,000 LK	1,000 LK	1,000 LK	900 LK	300 LK	1,100 LK	1,000 LK	200 LK	200 LK	1,000 LK	1,000 LK	1,000 LK	1,000 LK
3/23/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/2/2020 3:00 BOT	4/3/2020 3:00 BOT	5/22/2020 3:00 BOT	5/22/2020 3:00 BOT	5/22/2020 3:00 BOT	5/22/2020 3:00 BOT	5/22/2020 3:00 BOT	5/22/2020 3:00 BOT									

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E*TRADE Securities

Investment Account

TRADE CONFIRMATION

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Ac	count Number	r:			Account Name:			·
					WILLIAM ABBATE			
E	RADE Securities	LLC						
					Customer Update			
					Tax questions? No prob	lem. Get heloful tips.	tools, and key dates in the	Tax Center Visit
					etrade.com/tax today.			o rax ocirici. Visit
TRA		MKT/	SYMBOL/	BUY/		ACC	T	
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Confirmations to support the work sheets. EXTRADE FINANCIAL

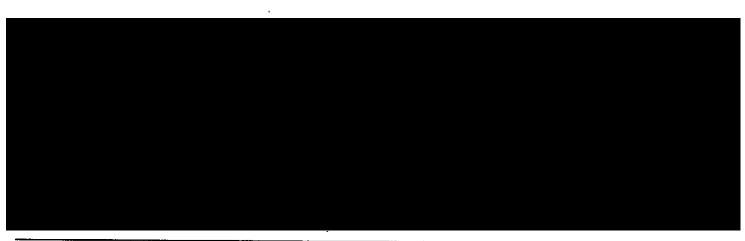
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Investment Account

TRADE CONFIRMATION

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01/27/20	01/29/20	6 1	LK	BUY	1,000	\$37.37	Margin	PRINCIPAL	\$37,370.00
***LUCKI	N COFFEE (NC AME	ERICAN DEPO	DSITARY SHA	RES	•	•	NET AMOUNT	\$37,370.00

Case 1:20-cv-01293-JPC Dacinhears 4 Filed 03/06/23 Page 295 of 355

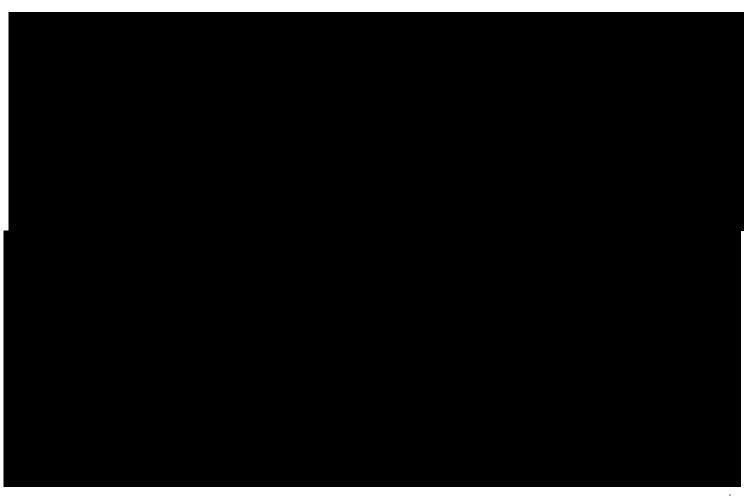
E*****TRADE Securities

Investment Account

TRADE CONFIRMATION

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TRADE	SETL	MKT/	SYMBOL/	BUY/	•	•	ACCT	
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01/27/20	01/29/20	31	LK	BUY	1.500	\$37.37	Margin	PRINCIPAL	\$56,055,00
******						40,.0,	tatal All I		430,033.00
TTTLUCK	IN COFFEE I	NC AME	IICAN DEP	OSITARY SHA	ARES			NET AMOUNT	\$56,055.00
					*****			HEI MINOUILI	470,033.00

Case 1:20-cv-01293-JPC Downsin 347-4 Filed 03/06/23 Page 296 of 355

E*TRADE Securities

Investment Account

TRADE CONFIRMATION

Account Number:

TRADE	SETL	MKT/	SYMBOL/	BUY/		F1.4467 . Fm. 4 . Museumann	ACCT		
DATE	DATE	CPT	CUSIP	SELL	QUANTITY	PRICE	TYPE		
01/29/20	01/31/20	6 1	LK	BUY	2,500	\$ 37.37	Margin	PRINCIPAL	\$93,425.00
	NI AAEEEE	INIC ARRE	BICAN DEDO	SITARY SHA	REC			NET AMOUNT	\$93,425.00

E*TRADE Securities LLC

E#TRADE Securities

Investment Account

TRADE CONFIRMATION

1	Accoun	nt Number:				Account Name:				
	E♥TRADE	Securities LL	c			WILLIAM ABBA	TE			
							lo problem. Get helpful	l tips, too	s, and key dates in th	e Tax Center. Visit
	TRADE DATE	SETL DATE	MKT/ CPT	SYMBOL/ CUSIP	BÜY/ Sell	etrade.com/tax to	PRICE	ACCT TYPE		
Ĩ	01/30/20	02/03/20	31	LK	BUY SITARY SHAR	2,000	\$35.07	Margin	PRINCIPAL NET AMOUNT	\$70,140.00 \$70,140.00
	01/30/20 ***LUC		3 1 INC AME	LK RICAN DEPO	BUY SITARY SHAR	3,000 ES	\$34.92	Margin	PRINCIPAL NET AMOUNT	\$104,760.00 \$104,760.00
	01/30/20 ••••LUCI		3 1 INC AME	LK RICAN DEPO	BUY SITARY SHAR	2,500 ES	\$35.37	Margin	PRINCIPAL NET AMOUNT	\$88,425.00 \$88,425.00
		ICH HERE JAM ABBATE		_			•			NETACH HERE
						Use 1	This Deposit S	ilip	Acct:	
						Please	do not send cash	F	Dollars	Cents
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		E*TRADE Secu	rities LLC	_						



-cv-01293-JPC Documen 337-4 Filed 03/06/23 Page 298 of 355 Page 2 of 8

E*TRADE Securities

Investment Account

TRADE CONFIRMATION

Account Number:

TRADE DATE

SETL DATE

MKT/ **CPT**

SYMBOL/ CUSIP

BUY/ SELL

QUANTITY

PRICE

ACCT TYPE

01/30/20	02/03/20	6.1	LK	BUY	745	400.00			
			RICAN DEP			\$36.37	Margin	PRINCIPAL	\$27,095.69
10011	OUTTE	WO AINL	INOMIA DEL	VOIIMNI Q	NANES			NET AMOUNT	\$27,095.6
							•		
	02/03/20	6 1	LK	BUY	1,755	\$36.37	Margin	PRINCIPAL	\$63,829,3
			LK RICAN DEP		1,755 HARES	\$36.37	Margin	PRINCIPAL NET AMOUNT	
					1,755 HARES	\$36.37	Margin		
***LUCK	IN COFFEE	INC AME	RICAN DEP	OSITARY S	HARES			NET AMOUNT	
1/30/20	02/03/20	INC AME	RICAN DEP	OSITARY S	5.000	\$36.37 \$35.01	Margin Margin	NET AMOUNT PRINCIPAL	\$63,829.3
1/30/20	02/03/20	INC AME	RICAN DEP	OSITARY S	5.000			NET AMOUNT	\$63,829.3 \$175,050.0
**LUCK	02/03/20	INC AME	RICAN DEP	OSITARY S	5.000			NET AMOUNT PRINCIPAL	\$63,829.3 \$175,050.0
01/30/20 ***LUCK	02/03/20 IN COFFEE 02/03/20	6 1 INC AME	LK RICAN DEP	BUY OSITARY S BUY	5,000 HARES	\$35.01	Margin	PRINCIPAL NET AMOUNT	\$63,829.3 \$175,050.0 \$175,050.0
**LUCK 1/30/20 **LUCK 1/30/20	02/03/20 IN COFFEE 02/03/20	6 1 INC AME	RICAN DEP	BUY OSITARY S BUY	5,000 HARES			PRINCIPAL PRINCIPAL PRINCIPAL	\$63,829.3 \$175,050.0 \$175,050.0 \$22,742.8
**LUCK 1/30/20 **LUCK 1/30/20	02/03/20 IN COFFEE 02/03/20	6 1 INC AME	LK RICAN DEP	BUY OSITARY S BUY	5,000 HARES	\$35.01	Margin	PRINCIPAL NET AMOUNT	\$63,829.3 \$175,050.0 \$175,050.0 \$22,742.8
01/30/20 •••*LUCK 01/30/20 •••*LUCK	02/03/20 IN COFFEE 02/03/20 IN COFFEE	6 1 INC AME 6 1 INC AME	LK RICAN DEP	BUY OSITARY S BUY OSITARY S	HARES 5,000 HARES 643	\$35.01	Margin	PRINCIPAL PRINCIPAL PRINCIPAL	\$63,829.3 \$175,050.0 \$175,050.0 \$22,742.8
01/30/20 ***LUCK 01/30/20 ***LUCK	02/03/20 IN COFFEE 02/03/20 IN COFFEE 02/03/20	6 1 INC AME 6 1 INC AME	LK RICAN DEP	BUY OSITARY S BUY OSITARY S BUY OSITARY S	5,000 HARES 643 HARES	\$35.01	Margin	PRINCIPAL PRINCIPAL PRINCIPAL	\$63,829.3 \$63,829.3 \$175,050.0 \$175,050.0 \$22,742.8 \$22,742.8

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 299 of 355

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E*TRADE Securities

Investment Account

TRADE CONFIRMATION

TRADE DATE	SETL DATE	MKT / CPT	SYMBOL/ CUSIP	BUY/ SELL			ACCT TYPE	
DATE	DATE	CPT	CUSIP	SELL	QUANTITY	PAICE	TYPE	

01/30/20 02/03		•	LK	BUY	2,500	\$35.37	Margin	PRINCIPAL	\$88,425.00
'**LUCKIN COF	FEE INC	AMERIC/	AN DEP	DSITARY SHARES		•		NET AMOUNT	\$88,425.00
	/20 3	1	LK	BUY	2,500	\$35.37	Margin	PRINCIPAL	\$88,425.00
01/30/20 02/03									

E*TRADE Securities

Investment Account

TRADE CONFIRMATION

Account 1	Yumber:				Account Name: WILLIAM ABBAT	F.			
E#TRADE Se	curities LLC				WILLIAM ADDA	•			
					Customer Upd Tax questions? No etrade.com/tax to	problem. Get hel	pful tips, tool	s, and key dates in the	Tax Center. Visit
TRADE DATE	SETL Date	MKT/ CPT	SYMBOL/ CUSIP	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
01/31/20	02/04/20	31	LK	BUY	2,500	\$27.07	Margin	PRINCIPAL	\$67,675.00
"""LUCKIR	CUFFEE	INC AME	RICAN DEPO	SIIARY SHA	IHES			NET AMOUNT	\$67,675.0
1/31/20	02/04/20	3 1	LK	BUY	500	\$33.67	Margin	PRINCIPAL	\$16,835.0
***LUCKIN	I COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES			NET AMOUNT	\$16,835.0
1/31/20	02/04/20	31	LK	BUY	1,000	\$31.26	Margin	PRINCIPAL	\$31,260.0
***LUCKIN	V COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES			NET AMOUNT	\$31,260.0
<u> </u>		_							
▲ DETACH	MEGE								TAMU LIEDE A

Make checks payable to E*TRADE Securities LLC. Mail deposits to:

TOTAL DEPOSIT

Use This Deposit Slip

Please do not send cash

Acct:

Dollars

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E*TRADE Securities LLC

WILLIAM ABBATE

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E*TRADE Securities

Investment Account

TRADE CONFIRMATION

TRADE DATE	SETL DATE	MKT / CPT	SYMBOL/ CUSIP	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
01/31/20	02/04/20	61	LK	BUY	1,000	\$30.17	Margin	PRINCIPAL	\$30,170.00
***LUCKI	N COFFEE IN	IC AME	RICAN DEPOS	SITARY SHA	RES			NET AMOUNT	\$30,170.00
01/31/20	02/04/20	6 1	LK	BUY	2,000		`	001101011	***************************************
			RICAN DEPOS		RES .	\$30.07	Margin	PRINCIPAL NET AMOUNT	\$60,140.00 \$60,140.00
01/31/20	02/04/20	61	LK	BUY	2,500	\$34.97	Margin	PRINCIPAL	\$87,425.00
LUÇKII	V COFFEE 11	IC AMER	RICAN DEPOS	SITARY SHA	RES			NET AMOUNT	\$87,425.00

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TRADE DATE	SETL DATE	MKT/ CPT	SYMBOL/ CUSIP	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	
01/31/20	02/04/20	6 1	LK	BUY	2,500	\$34.97	Margin	PRINCIPAL	\$87,425.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	IRES			NET AMOUNT	\$87,425.00
01/31/20	02/04/20	6 1	LK	BUY	2,000	\$34.01	Margin	PRINCIPAL	\$68,020.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES .			NET AMOUNT	\$68,020.00
01/31/20	02/04/20	6 1	ŁK	BUY	1,500	\$34.07	Margin	PRINCIPAL	\$51,105.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	IRES			NET AMOUNT	\$51,105.00
01/31/20	02/04/20	6 1	LK	BUY	1,500	\$33.77	Margin	PRINCIPAL	\$50,655.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES			NET AMOUNT	\$50,655.00
01/31/20	02/04/20	6 1	LK	BUY	1,000	\$33.80	Margin	PRINCIPAL	\$33,800.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES		-	NET AMOUNT	\$33,800.00
01/31/20	02/04/20	6 1	LK	BUY	2,000	\$33.47	Margin	PRINCIPAL	\$66,940.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	IRES		-	NET AMOUNT	\$66,940.00
01/31/20	02/04/20	6 1	LK	BUY	1,000	\$32.80	Margin	PRINCIPAL	\$32,800.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	IRES			NET AMOUNT	\$32,800.00
01/31/20	02/04/20	61	LK	BUY	2,500	\$ 31.77	Margin	PRINCIPAL	\$79,425.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES		-	NET AMOUNT	\$79,425.00
01/31/20	02/04/20	6 1	LK	BUY	1,000	\$31.07	Margin	PRINCIPAL	\$31,070.00
***LUCK	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES		•	NET AMOUNT	\$31,070.00
01/31/20	02/04/20	6 1	LK	BUY	500	\$31.105	Margin	PRINCIPAL	\$15,552.50
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES		-	NET AMOUNT	\$15,552.50
01/31/20	02/04/20	6 1	LK	BUY	1,000	\$30.51	Margin	PRINCIPAL	\$30,510.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES		-	NET AMOUNT	\$30,510.00



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Investment Account

TRADE CONFIRMATION

TRADE DATE	SETL DATE	MKT / CPT	SYMBOL/ Cusip	BUY/ Sell	QUANTITY	PRICE	ACCT TYPE		
01/31/20	02/04/20	3 1	LK	BUY	500	\$30.77	Margin	PRINCIPAL	\$15,385.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES			NET AMOUNT	\$15,385.00
01/31/20	02/04/20	31	LK	BUY	500	\$30.37	Margin	PRINCIPAL	\$15,185.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES		_	NET AMOUNT	\$15,185.00
01/31/20	02/04/20	3 1	ĹK	BUY	500	\$32.25	Margin	PRINCIPAL	\$16,125,00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	IRES		•	NET AMOUNT	\$16,125.00

d 03/06/23 Page 304 of 355

E#TRADE Securities

Investment Account

TRADE CONFIRMATION

Account Number:

Account Name:

WILLIAM ABBATE

E*TRADE Securities LLC



Customer Update

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Margin

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TRADE SETL MKT/ SYMBOL/ BUY / ACCT DATE DATE CPT CUSIP SELL QUANTITY PRICE TYPE 02/03/20 02/05/20 LK 61 BUY 1,500 \$31.37 Margin **PRINCIPAL** \$47,055.00 ***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES **NET AMOUNT** \$47,055.00 02/03/20 02/05/20 61 LK BUY 2,500 \$33.01 Margin PRINCIPAL \$82,525.00 ***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES **NET AMOUNT** \$82,525.00 02/03/20 02/05/20 ТK 6 1 BUY 2,500 \$32.77 Margin PRINCIPAL \$81,925.00 ***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES **NET AMOUNT** \$81,925.60 02/03/20 02/05/20 6 1 LK BUY 2,500 \$32.51 Margin PRINCIPAL \$81,275.00 ***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES **NET AMOUNT** \$81,275.00

02/03/20 02/05/20 ***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES

2,500 \$32.17

PRINCIPAL \$80,425.00 **NET AMOUNT** \$80,425.00

Case 1:20-cy-01293-JPC Document 9474 Filed 03/06/23 Page 305 of 355

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E*TRADE Securities

Investment Account

TRADE CONFIRMATION

Account Number:

TRADE DATE	SETL DATE	MKT / CPT	SYMBOL/ Cusip	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		 د
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\$33.37

Margin

PRINCIPAL

NET AMOUNT

2,500

E*TRADE Securities LLC

02/03/20

02/05/20

31

****LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES

LK

\$83,425.00

\$83,425.00

E*TRADE Securities

Investment Account

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Account Number:		Account Name:				
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#TRADE Securities LLC						
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ATE DATE CPT CUSIP	SELL	QUANTITY	PRICE	TYPE		
3/20/20 03/24/20 3 1 LK **LUCKIN COFFEE INC AMERICAN DE	BUY POSITARY SHARE	1,098 S:	\$24.99	Margin	PRINCIPAL NET AMOUNT	\$27,43 \$27,43
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TOTAL DEPOSIT

E*TRADE Securities LLC

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TRADE CONFIRMATION

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1	DATE	DATE	CPT	CUSIP	SELL	QUANTITY	PRICE	TYPE		
	03/20/20	03/24/20	6 1	LK	BUY	3,902	\$24.99	Margin	PRINCIPAL	\$97,510.98
	***LUCKI	N COFFEE I	NC AM	ERICAN DEPO	SITARY	SHARES			NET AMOUNT	\$97,510.98

E*TRADE Securities

Investment Account

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TRADE DATE	SETL DATE	MKT/	SYMBOL/ CUSIP	BUY/ SELL	QUAN		PRICE	ACCT TYPE			
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	03/25/20 COFFEE	3 1 INC AME	IK RICAN DEPOS	BUY SITARY SHA	1,00 ARES	0	\$22.77	Margin	PRINCIPAL NET AMOUNT		\$22,770.00 \$22,770.00
03/23/20 ***LUCKIN	03/25/20 COFFEE	3 1 INC AME	IK RICAN DEPOS	BUY SITARY SHA	1,00 ARES	0	\$22.53	Margin	PRINCIPAL NET AMOUNT		\$22,530.00 \$22,530.00
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investment Account

TRADE CONFIRMATION

Account Number:

TRADE DATE SETL Date

MKT / CPT SYMBOL/ CUSIP BUY/ Sell

QUANTITY

PRICE

ACCT TYPE

03/23/20 03/25/20	61	LK	ВИУ	2,500		

03/23/20	03/25/20	6 1	LK	BUY	2,500	\$24.01	Margin	PRINCIPAL	\$60,025,00
"""LUCKI	N CUFFEE	INC AME	RICAN DEP	OSITARY SHARE	S			NET AMOUNT	\$60,025.00
03/23/20	03/25/20	61	LK	BUY	250	\$24.1825	Margin	PRINCIPAL	\$6 04E 62
***LUCKI	V COFFEE (INC AME	RICAN DEP	OSITARY SHARE	S	45-77-020	magai	NET AMOUNT	\$6,045.63 \$6,045.63
03/23/20	03/25/20	6 1	LK	BUY	54	\$24.02	Margin	PRINCIPAL	\$1,297,08
LUCKII	V CUFFEE I	INC AME	RICAN DEPI	OSITARY SHARE	S		v	NET AMOUNT	\$1,297.08
03/23/20	03/25/20	61	1K	THE V					٧.
				BUY DSITARY SHARE:	946	\$24.10	Margin	PRINCIPAL	\$22,7 9 8.60
FOOKII	COLLE	ING AIRE	NICAN DEPI	usitakt shake:	5			NET AMOUNT	\$22,798.60
03/23/20	03/25/20	61	LK	BUY	500	\$22.4327	Margin	PRINCIPAL	\$11,216.35
LUCKIR	I CUFFEE I	NC AME	RICAN DEPO	DSITARY SHARE	\$		•	NET AMOUNT	\$11,216.35

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Account	Number:	
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Account Name: WILLIAM ABBATE

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TRADE DATE	SETL DATE	MKT / CPT	SYMBOL/ CUSIP	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
04/02/20	04/06/20	61	LK	BUY	1,000	\$22.6998	Margin	PRINCIPAL	\$22,699.80
***LUCK!	N COFFEE	INC AME	RICAN DEPO	SITARY SHAI	RES		•	NET AMOUNT	\$22,699.80
04/02/20	04/06/20	6 1	LK	BUY	1,000	\$21.8199	Margin	PRINCIPAL	\$21,819.90
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES	-		NET AMOUNT	\$21,819.90
04/02/20	04/06/20	61	LK	BUY	200	\$18.95	Margin	PRINCIPAL	\$3,790.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES			NET AMOUNT	\$3,790.00
04/02/20	04/06/20	61	LK	BUY	800	\$19.00	Margin	PRINCIPAL	\$15,200.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES			NET AMOUNT	\$15,200.00
04/02/20	04/06/20	6 1	LK	BUY	1,000	\$18.87	Margin	PRINCIPAL	\$18,870.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHAI	RES		·	NET AMOUNT	\$18,870.00
04/02/20	04/06/20	61	LK	BUY	1,000	\$18.9899	Margin	PRINCIPAL	\$18,989.90
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHAI	RES		·	NET AMOUNT	\$18,989.90
04/02/20	04/06/20	61	LK.	BUY	1,000	\$15.6399	Margin	PRINCIPAL	\$15,639.90
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHAI	RES			NET AMOUNT	\$15,639.90
04/02/20	04/06/20	6 1	LK	BUY	1,000	\$15.08	Margin	PRINCIPAL	\$15,080.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHAI	RES		4	NET AMOUNT	\$15,080.00

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WILLIAM ABBATE

Use This Deposit Slip

TOTAL DEPOSIT

Acct:

DETACH HERE

Please do not send cash

Dollars Cents

Make checks payable to E*TRADE Securities LLC. Mail deposits to:

E*TRADE Securities LLC

E*TRADE Securities

Investment Account

TRADE CONFIRMATION

DATE	DATE	MKT/ CPT	SYMBOL/ Cusip	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
04/02/20 ***LUCKI	04/06/20 N COFFEE	6 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	1,000 IRES	\$13.70	Margin	PRINCIPAL NET AMOUNT	\$13,700.00 \$13,700.00
04/02/20 ***LUCKI	04/06/20 N COFFEE	6 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	1,000 ARES	\$12.9899	Margin	PRINCIPAL NET AMOUNT	\$12,989.90 \$12,989.90
04/02/20 ***LUCKI	04/06/20 N COFFEE	6 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	1,000	\$11.65	Margin	PRINCIPAL NET AMOUNT	\$11,650.00 \$11,650.00
04/02/20	04/06/20 N COFFEE	6 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	2,500 IRES	\$5.56	Margin	PRINCIPAL NET AMOUNT	\$13,900.00 \$13,900.00
04/02/20	04/06/20 N COFFEE	6 I	LK RICAN DEPO	BUY SITARY SHA	2,500 RES	\$3.96	Margin	PRINCIPAL NET AMOUNT	\$9,900.00 \$9,900.00
04/02/20 ***LUCKI	04/06/20 N COFFEE	6 1	LK RICAN DEPO	BUY SITARY SHA	2,690 RES	\$4.53	Margin	PRINCIPAL NET AMOUNT	\$12,185.70 \$12,185.70
04/02/20	04/06/20	6 1	LK RICAN DEPO	BUY	2,210	\$4.54	Margin	PRINCIPAL NET AMOUNT	\$10,033.40
04/02/20	04/05/20	61	LK LK	BUY	100	\$4.55	Margin	PRINCIPAL	\$10,033.40 \$455.00

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TRADE	SÉTL	MXT/	SYMBOL/	BUY/			ACCT	
DATE	DATE	CPT	CUSIP	SELL	QUANTITY	PRICE	TYPE	

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04/03/20	04/07/20	6 1	LK	BUY	1,000	\$5.5072	Margin	PRINCIPAL	\$5,507.20
***LUCK	N COFFEE I	NC AMEI	RICAN DEP	OSITARY SHAF	RES		. •	NET AMOUNT	\$5,507.20
04/03/20	04/07/20	61	LK	BUY	1,100	\$5,505	Margin	PRINCIPAL	\$6,055,50
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES						44.000		NET AMOUNT	\$6,055.50
04/03/20	04/07/20	61	LK	BUY	300	\$5.5025	Margin	PRINCIPAL	\$1,650,75
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES				RES		· ·	NET AMOUNT	\$1,650.75	
04/03/20	04/07/20	61	LK	BUY	600	\$ 5.5078	Margin	PRINCIPAL	\$ 3,304,68
***LUCKI	N COFFEE I	NC AME	RICAN DEP	OSITARY SHAF	RES			NET AMOUNT	\$3,304.68

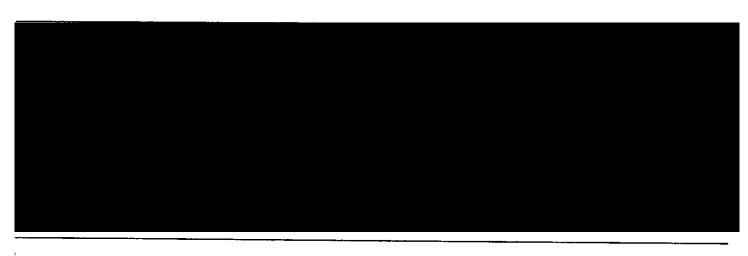
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TRADE CONFIRMATION

TRADE DATE	SETL DATE	MKT / CPT	SYMBOL/ CUSIP	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
04/03/20 ***LUCK	04/07/20 N COFFEE	6 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	1,000 RES	\$5.4537	Margin	PRINCIPAL NET AMOUNT	\$5,453.70 \$5,453.70
04/03/20 ***LUCK	04/07/20 N COFFEE	6 1 INC AME	LK RICAN DEPO	BUY Sitary Sha	1,000 RES	\$5,4172	Margin	PRINCIPAL NET AMOUNT	\$5,417,20 \$5,417.20



Case 1:20-cy-01293-JPC Document 349-4 Fried 03/06/23 Page 314 of 355 Page 1 of 4

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Account Number: WILLIAM ABBATE CUISTOMER Update Want to get important documents faster? Get your statements, confirms, and online with paperless delivery. Enroll at etrade.com/paperless. TRADE SETL MKT / SYMBOL / BUY / QUANTITY PRICE TYPE O5722720 O5727720 6 1 LK BUY 1,000 \$1,3699 Margin PRINCIPAL NET AMOUNT LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES O5722720 O5727720 6 1 LK BUY 1,000 \$1,3699 Margin PRINCIPAL NET AMOUNT O5722720 O5727720 6 1 LK BUY 1,000 \$1,3699 Margin PRINCIPAL NET AMOUNT O5722720 O5727720 6 1 LK BUY 1,000 \$1,765 Margin NET AMOUNT O5722720 O5727720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O5727720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O5727720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O5727720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O5727720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O5727720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O5727720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O5727720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O5727720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O5727720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O572720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O572720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O572720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O572720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O572720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O572720 6 1 LK BUY 1,000 \$1,765 Margin PRINCIPAL NET AMOUNT O5722720 O572720 6 1 LK BUY 1,000 Margin PRINCIPAL NET AMOUNT O5722720 O572720 6 1 LK BUY 1,000 Margin PRINCIPAL NET AMOUNT O5722720 O572720 6 1 LK BUY 1,000 Margin PRINCIPAL NET AMOUNT O5722720 O572720 6 1 LK BUY 1,000 Margin PRINCIPAL NET AMOUNT O5722720 O572720 6 1 LK BUY 1,000 Margin PRINCIPAL NET AMOUNT O5722720 O572720 6 1 LK BUY 1,0	N
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Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 315 of 355 Page 2 of 4

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E*TRADE Securities

Investment Account

TRADE CONFIRMATION

TRADE DATE	SETL DATE	MKT/ CPT	SYMBOL/ CUSIP	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
05/22/20 •••LUCK	05/27/20 N COFFEE	3 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	1,000 RES	\$1.51	Margin	PRINCIPAL NET AMOUNT	\$1,510.00 \$1,510.00
05/22/20 ***LUCK	05/27/20 N COFFEE	3 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	500 RES	\$1.55	Margin	PRINCIPAL NET AMOUNT	\$775.00 \$775.00



February 7, 2022

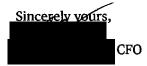
Mr. William Abbate, Esq.

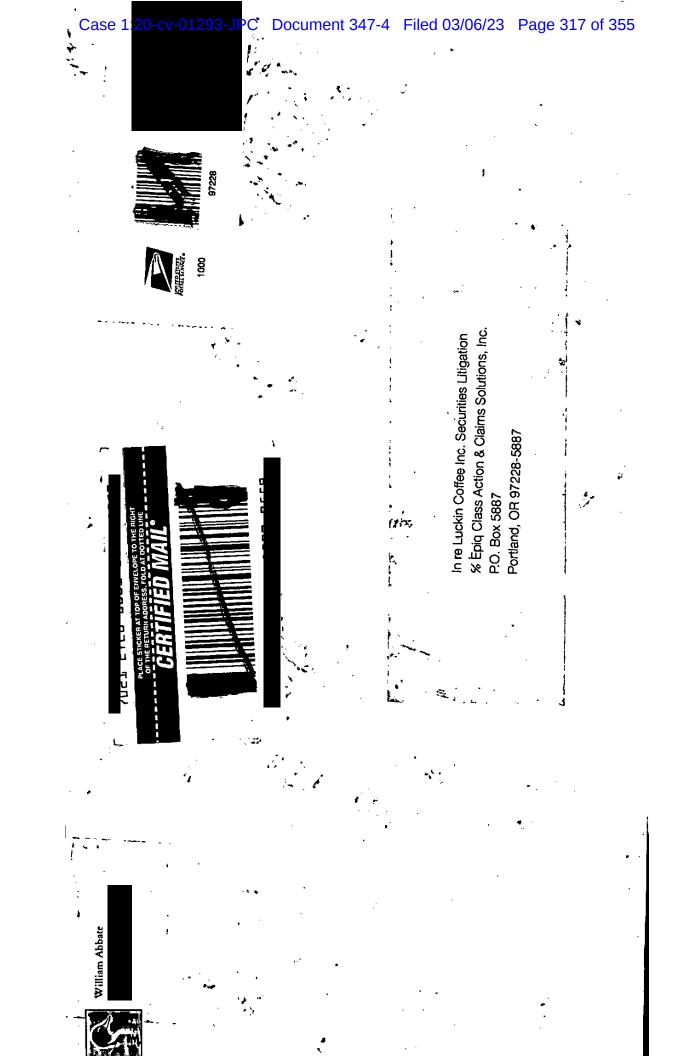
Dear Mr. Abbate,

This document should suffice with respect to the 110,250 shares of Luckin Coffee Inc. American Depository Shares (Formerly LK-symbol) that you delivered to our Management Company: Alpine Analytics Management Group, LLC. As per your direct instructions, all of shares were liquidated on your behalf and all of the sales proceeds were applied to your Individual account with our hedge fund. Kindly share this document with the Claims administrator handling this class action matter (LUCKIN COFFEE INC. AMERICAN DEPOSITORY RECEIPTS).

Please allow this document to serve as a sworn affidavit that we liquidated 110,250 shares of LK (Luckin Coffee, Inc.) at an average selling price per share of \$1.07 on June 29th, 2020 resulting in total proceeds of \$117,967.50 that were credited to your Individual account upon the trade settling.

Please let us know if we can be of any further assistance.





Divider Page

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 319 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824

400500930004779448 000 0000114 00000000 0001 0002 00111 INS: 0 0 WILLIAM ABBATE

Claim Number: 17888

Response Deadline: June 13, 2022

May 24, 2022

Notice of Deficient Claim Submission

Dear Claimant:

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action *In re Luckin Coffee Inc. Securities Litigation*, Case No. 1:20-cv-01293-JPC-JLC (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fail to respond by the response deadline set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that those conditions remain uncured. This is the only notice you will receive with respect to this Claim.

PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

Ineligibility Condition: Inadequate Documentation.

The Claim referenced above sets forth Class Period purchases/acquisitions of Luckin ADSs, but none of the documentation previously provided was deemed adequate.

<u>How to Resolve</u>: You can resolve this condition of ineligibility only by submitting acceptable documentation to support your Claim, including all of the transactions and holding amounts set forth in the Claim. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable. Please note, do not merely resubmit the same documentation, as it was deemed deficient. You will need to provide additional documentation to cure the deficiency in your Claim.

PLEASE NOTE: Curing this condition of ineligibility in its entirety or in part is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If the deficiency is only cured in part, the Claim will be calculated based on the transactions for which acceptable supporting documentation was submitted. If you have other deficiencies and cure them, your Claim still will not be eligible, unless this deficiency is cured at least in part and, to the extent that it is cured, it calculates to a Recognized Claim under the Plan of Allocation.

Deficiency: Trade Discrepancy/Claim Does Not Balance.



There is a discrepancy between (a) the number of shares of Luckin ADSs you state on your Claim Form to have purchased or acquired from May 17, 2019 through October 20, 2021 and (b) the number of shares of Luckin ADSs you state on your Claim Form to have sold from May 17, 2019 through October 20, 2021 or have held at the end of that period (October 20, 2021). The numbers in (a) and (b) should be equal.

<u>How to Resolve</u>: You must provide acceptable documentation to support the missing transactions, the missing beginning or unsold holding amounts, or the adjustments to your Claim so that the Claim balances.

PLEASE NOTE: If you fail to respond or to the extent your response fails to cure the deficiency identified, the transaction(s) that make up the discrepancy will be rejected, along with any corresponding transaction(s) according to First-In, First-Out ("FIFO") matching, and these transactions will not be considered in the calculation of your Claim's Recognized Claim amount pursuant to the Plan of Allocation. Your Claim will still be processed to the extent otherwise eligible as a partial claim. For additional information, please reference Appendix A of the Settlement Notice.

The formula used to calculate the discrepancy is:

All Shares Purchased or Acquired from May 17, 2019 through October 20, 2021 – All Shares Sold or Delivered from May 17, 2019 through October 20, 2021 – Unsold Shares as of the close of trading on October 20, 2021.

This value should equal 0.00 if all transactions have been provided. Your Claim calculates to a discrepancy of the following amount of shares:

Quantity	Type of Transaction	Type of Securities
110250.00	Holding Difference 10/20/2021	ADS

Deficiency: Partial Documentation.

You either did not supply documentation to support some of the transactions listed on your Claim Form, or the documentation that you submitted with your Claim does not include some or all of the required information for the transactions listed in the chart below.

<u>How to Resolve</u>: You must provide acceptable documentation that includes all the required information for the transaction(s) listed below.

PLEASE NOTE: If you fail to respond or to the extent your response fails to cure the deficiency identified for a given transaction below, the remaining deficient transaction(s) will be rejected, along with any corresponding transaction(s) according to First-In, First-Out ("FIFO") matching, and these transactions will not be considered in the calculation of your Claim's Recognized Claim amount pursuant to the Plan of Allocation. Your Claim will still be processed to the extent otherwise eligible as a partial Claim. For additional information, please reference Appendix A of the Settlement Notice.

The specific transaction(s) for which you must submit complete documentation are listed below.

Date	Quantity	Price per Share	Type of Transaction	Type of Security
06/29/2020	110250.00	\$1.07	Sale	ADS

Deficiency: No Recognized Claim Unless Defects Are Cured.

In accordance with the Plan of Allocation which is set forth in the Settlement Notice available on the settlement website, the Claim referenced above does not calculate to a Recognized Claim due to certain defects listed in this notice and therefore is not eligible to receive a distribution from the Net Settlement Fund.

<u>How to Resolve</u>: You can resolve this condition of ineligibility by resolving the other defects listed in this notice and/or by submitting additional transactions that occurred during the Class Period that were not previously reflected in your Claim and that make your Claim calculate to a Recognized Claim. You must also support any additional transactions with acceptable documentation. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable.

PLEASE NOTE: Your Claim must calculate to a Recognized Claim under the Plan of Allocation in order for you to be eligible to receive a distribution.

Please note, even if you cure the noted deficiency(ies), your Claim must then calculate to a Recognized Claim under the Plan of Allocation in order to be included in the list of eligible claims presented to the Court for approval. The method of calculating a Claim to determine if it has a Recognized Claim is described in the Plan of Allocation set forth in Appendix A of the Settlement Notice. The Court will consider approval of the Settlement and the proposed Plan of Allocation at a hearing to be held on July 22, 2022. If you disagree with the condition(s) identified in this notice, you may contact us for assistance and/or request Court review of our administrative determination regarding your Claim.

To request Court review of your Claim, you must send a letter to the Claims Administrator at the address printed at the top of this notice, postmarked no later than the response deadline set forth above. Your letter must: (1) include a copy of this notice; (2) specifically state that you request Court review of the full or partial rejection of the Claim; (3) state your argument(s) for why you are contesting the full or partial rejection of the Claim; and (4) include any and all documentation supporting your argument(s). If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court with financial account numbers and certain other information redacted. PLEASE NOTE: COURT REVIEW SHOULD ONLY BE SOUGHT IF YOU DISAGREE WITH THE CLAIMS ADMINISTRATOR'S DETERMINATION REGARDING YOUR CLAIM.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at the toll-free number or email address noted above.

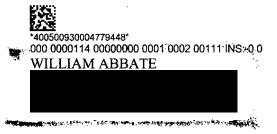
Sincerely, Claims Administrator



Divider Page

Case 1:20-cv-01293-JPC Document 347-4 Filed 03/06/23 Page 323 of 355

In re Luckin Coffee Inc. Securities Litigation c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 5887 Portland, OR 97228-5887 Website: www.LuckinCoffeeSecuritiesLitigation.com Email: info@LuckinCoffeeSecuritiesLitigation.com Phone: 855-535-1824



Claim Number 17888

Response Deadline: June 13, 2022

May 24, 2022

Notice of Deficient Claim Submission

Dear Claimant:

We received your Proof of Claim and Release Form ("Claim") that you submitted in connection with the Settlement obtained in the securities class action In re Luckin Coffee Inc. Securities Litigation, Case No. 1:20-cv-01293-JPC-JLC (S.D.N.Y.). We have determined, based on our review of your Claim, that the Claim is deficient or ineligible for the reason(s) identified below. In order to resolve the deficiencies within your Claim, you must submit a written response with any required documentation as specified below, postmarked no later than the response deadline printed at the top of this notice. Please include a copy of this notice with your response. If you fail to respond by the response deadline set forth above, or if your response fails to cure the condition(s) identified below, this Claim will be rejected to the extent that those conditions remain uncured. This is the only notice you will receive with respect to this Claim.

PLEASE NOTE: The Plan of Allocation for the net proceeds of the Settlement which is referred to in many of the conditions of deficiency, is set forth in the Notice of (I) Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses (the "Settlement Notice"). The Settlement Notice can be viewed on or downloaded from www.LuckinCoffeeSecuritiesLitigation.com.

Ineligibility Condition: Inadequate Documentation.

The Claim referenced above sets forth Class Period purchases/acquisitions of Luckin ADSs, but none of the documentation previously provided was deemed adequate.

How to Resolve: You can resolve this condition of ineligibility only by submitting acceptable documentation to support your Claim, including all of the transactions and holding amounts set forth in the Claim. Acceptable documentation includes securities brokers' confirmation slips, month- and year-end account statements, or similar documentation. Self-generated documents are not acceptable. Please note, do not merely resubmit the same documentation, as it was deemed deficient. You will need to provide additional documentation to cure the deficiency in your Claim.

PLEASE NOTE: Curing this condition of ineligibility in its entirety or in part is an absolute requirement in order for your Claim to be eligible to participate in the Settlement. If the deficiency is only cured in part, the Claim will be calculated based on the transactions for which acceptable supporting documentation was submitted. If you have other deficiencies and cure them, your Claim still will not be eligible, unless this deficiency is cured at least in part and, to the extent that it is cured, it calculates to a Recognized Claim under the Plan of Allocation.

<u>Deficiency</u>: Trade Discrepancy/Claim Does Not Balance.



There is a discrepancy between (a) the number of shares of Luckin ADSs you state on your Claim Form to have purchased or acquired from May 17, 2019 through October 20, 2021 and (b) the number of shares of Luckin ADSs you state on your Claim Form to have sold from May 17, 2019 through October 20, 2021 or have held at the end of that period (October 20, 2021). The numbers in (a) and (b) should be equal.

<u>How to Resolve</u>: You must provide acceptable documentation to support the missing transactions, the missing beginning or unsold holding amounts, or the adjustments to your Claim so that the Claim balances.

PLEASE NOTE: If you fail to respond or to the extent your response fails to cure the deficiency identified, the transaction(s) that make up the discrepancy will be rejected, along with any corresponding transaction(s) according to First-In, First-Out ("FIFO") matching, and these transactions will not be considered in the calculation of your Claim's Recognized Claim amount pursuant to the Plan of Allocation. Your Claim will still be processed to the extent otherwise eligible as a partial claim. For additional information, please reference Appendix A of the Settlement Notice.

The formula used to calculate the discrepancy is:

All Shares Purchased or Acquired from May 17, 2019 through October 20, 2021 – All Shares Sold or Delivered from May 17, 2019 through October 20, 2021 – Unsold Shares as of the close of trading on October 20, 2021.

This value should equal 0.00 if all transactions have been provided. Your Claim calculates to a discrepancy of the following amount of shares:

Quantity	Type of Transaction	Type of Securities
110250.00	Holding Difference 10/20/2021	ADS

<u>Deficiency</u>: Partial Documentation.

You either did not supply documentation to support some of the transactions listed on your Claim Form, or the documentation that you submitted with your Claim does not include some or all of the required information for the transactions listed in the chart below.

How to Resolve: You must provide acceptable documentation that includes all the required information for the transaction(s) listed below.

PLEASE NOTE: If you fail to respond or to the extent your response fails to cure the deficiency identified for a given transaction below, the remaining deficient transaction(s) will be rejected, along with any corresponding transaction(s) according to First-In, First-Out ("FIFO") matching, and these transactions will not be considered in the calculation of your Claim's Recognized Claim amount pursuant to the Plan of Allocation. Your Claim will still be processed to the extent otherwise eligible as a partial Claim. For additional information, please reference Appendix A of the Settlement Notice.

The specific transaction(s) for which you must submit complete documentation are listed below.

Date	Quantity	Price per Share	Type of Transaction	Type of Security
06/29/2020	110250.00	\$1.07	Sale	ADS

Deficiency: No Recognized Claim Unless Defects Are Cured.

In accordance with the Plan of Allocation which is set forth in the Settlement Notice available on the settlement website, the Claim referenced above does not calculate to a Recognized Claim due to certain defects listed in this notice and therefore is not eligible to receive a distribution from the Net Settlement Fund.

Enclosed,
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"buy" confirmations
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1/2,250 Shares of LK proof of trade firmations



Investment Account

TRADE CONFIRMATION

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Investment Account

TRADE CONFIRMATION

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Investment Account

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E*TRADE Securities

Investment Account

TRADE CONFIRMATION

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01/29/20	01/31/20	6 1	LK	BUY	2,500	\$37.37	Margin	PRINCIPAL	\$93,425.00
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E*TRADE Securities

Investment Account

TRADE CONFIRMATION

TRADE DATE	SETL DATE	MKT / CPT	SYMBOL/ Cusip	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
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E*TRADE Securities LLC

E*TRADE Securities

Investment Account

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	01/30/20	02/03/20	3 1	LK	BUY	2,000	\$35.07	Margin	PRINCIPAL	\$70,140.0
	***LUCK	IN COFFEE	INC AME	RICAN DEPO	SITARY SH	IARES			NET AMOUNT	\$70,140.0
_	01/30/20	02/03/20	3 1	LK	BUY	3,000	\$34.92	Margin	PRINCIPAL	\$104,760.0
	***LUCK	IN COFFEE	INC AME	RICAN DEPO	SITARY SH			•	NET AMOUNT	\$104,760.0
-	01/30/20	02/03/20	3 1	LK	BUY	2,500	\$35.37	Margin	PRINCIPAL	\$88,425.0
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Investment Account

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BUY/ SELL

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PRICE

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01/30/20	02/03/20	61	LK	BUY	745	\$36.37	Margin	PRINCIPAL	\$27,095.65
***LUCK	IN COFFEE I	NC AME	RICAN DEPI	OSITARY SH	ARES		•	NET AMOUNT	\$27,095.65
									
01/30/20	02/03/20	6 1	LK	BUY	1,755	\$36.37	Margin	PRINCIPAL	\$63,829.35
				BUY Ositary sh		\$36.37	Margin	PRINCIPAL NET AMOUNT	\$63,829.35 \$63,829.35
						\$36.37	Margin		
***LUCK	IN COFFEE I	NC AME	RICAN DEP	OSITARY SH	ARES			NET AMOUNT	\$63,829.35
***LUCK	02/03/20	NC AME	RICAN DEP	OSITARY SH	5.000	\$36.37 \$35.01	Margin Margin	NET AMOUNT PRINCIPAL	\$63,829.35 \$175,050.00
***LUCK	02/03/20	NC AME	RICAN DEP	OSITARY SH	5.000			NET AMOUNT	\$63,829.35
***LUCK	02/03/20	NC AME	RICAN DEP	OSITARY SH	5.000			NET AMOUNT PRINCIPAL	\$63,829.35 \$175,050.00
01/30/20 ****LUCKI	02/03/20 IN COFFEE I	6 I NC AME	LK RICAN DEP	BUY OSITARY SH	5,000 ARES	\$35.01	Margin	PRINCIPAL NET AMOUNT	\$63,829.35 \$175,050.00 \$175,050.00
01/30/20 ****LUCKI	02/03/20 IN COFFEE I	6 I NC AME	LK RICAN DEP	BUY OSITARY SH	5,000 ARES			PRINCIPAL NET AMOUNT PRINCIPAL	\$63,829.35 \$175,050.00 \$175,050.00 \$22,742.85
01/30/20 ****LUCKI	02/03/20 IN COFFEE I	6 I NC AME	LK RICAN DEP	BUY OSITARY SH	5,000 ARES	\$35.01	Margin	PRINCIPAL NET AMOUNT	\$63,829.35 \$175,050.00 \$175,050.00
01/30/20 ****LUCKI 01/30/20 ****LUCKI	02/03/20 IN COFFEE I 02/03/20 IN COFFEE I	6 I NC AMEI 6 I NC AMEI	LK RICAN DEPO LK RICAN DEPO	BUY OSITARY SH. BUY OSITARY SH. BUY OSITARY SH.	5,000 ARES	\$35.01	Margin	PRINCIPAL NET AMOUNT PRINCIPAL	\$63,829.35 \$175,050.00 \$175,050.00 \$22,742.85
01/30/20 ****LUCKI 01/30/20 ****LUCKI	02/03/20 IN COFFEE I 02/03/20 IN COFFEE I	6 1 NC AMEI 6 1 NC AMEI	LK RICAN DEPO	BUY OSITARY SH	5,000 ARES 643 ARES 1.857	\$35.01	Margin	PRINCIPAL NET AMOUNT PRINCIPAL	\$63,829.35 \$175,050.00 \$175,050.00 \$22,742.85

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E*TRADE Securities

Investment Account

TRADE CONFIRMATION

TRADE DATE	SETL DATE	MKT / CPT	SYMBOL/ CUSIP	BUY/ SELL			ACCT TYPE	
DATE	DATE	CPT	CUSIP	SELL	QUANTITY	PRICE	TYPE	
-								
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01/30/20	02/03/20	3 1	LK	BUY	2,500	\$35.37	Margin PRINCIPAL	\$88 425 00

***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES			NET AMOUNT	\$88,425.00
_				
01/30/20 02/03/20 3 1 LK BUY 2,500	\$35.37	Margin	PRINCIPAL	\$88,425,00

FINANCIAL Trading • Investing • Banking

E***TRAD**E Securities

Investment Account

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Account Number:	Account Name:				
	WILLIAM ABBATE				
E*TRADE Securities LLC					
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	etrade.com/tax tod		oiui ups, too	ns, and key dates in th	e rax center. Visit
TRADE SETL MKT/ SYMBOL/ BUY/			ACCT		
DATE DATE CPT CUSIP SELL	QUANTITY	PRICE	TYPE		
01/31/20 02/04/20 3.1 LK BUY	2,500	\$27.07	Margin	PRINCIPAL	\$67,675.00
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SH	IARES			NET AMOUNT	\$67,675.00
01/31/20 02/04/20 3 1 LK BUY	500	\$33.67	Margin	PRINCIPAL	\$16,835.00
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SH	IARES			NET AMOUNT	\$16,835.00
01/31/20 02/04/20 3 1 LK BUY	1,000	\$31.26	Margin	PRINCIPAL	\$31,260.00
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SH	IARES			NET AMOUNT	\$31,260.00

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WILLIAM ABBATE	Use Ti	nis Deposit	Slin	Acct:	
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Make checks payable to E*TRADE Securities LLC.			<u> </u>		
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E*TRADE Securities LLC			_		

EXTRADE FINANCIAL

Trading • Investing • Banking

E***TRADE** Securities

Investment Account

TRADE CONFIRMATION

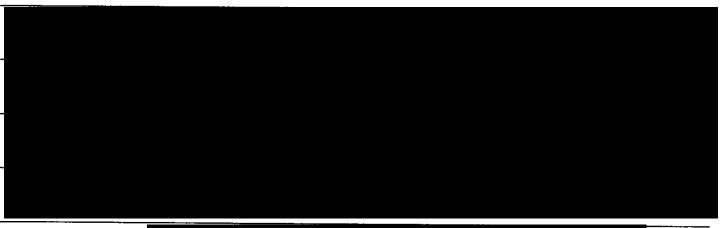
TRADE DATE	SETL DATE	MKT/ CPT	SYMBOL / CUSIP	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE	er manadasis dende (um 1500 s dimensio deficiencies)	<u> </u>
		,					7.5		
1/31/20	02/04/20	6 1	LK	BUY	1,000	\$30.17	Margin	PRINCIPAL	#20 130 00
				SITARY SHAF	RES	450.17	waigu	NET AMOUNT	\$30,170.00 \$30,170.00
								TILI MIIOVISI	430,170.00
01/31/20	02/04/20		12	DI N					
///31/20 *** ^!/ !!	₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩₩	6 I	LK DEBO	BUY SITARY SHAF	2,000	\$30.07	Margin	PRINCIPAL	\$60,140.00
FOAVII	4 COLLECT III	IV AITIEN	HUMIY DEFU	DIIANT SHAF	159			NET AMOUNT	\$60,140.00
	20.004.000								
01/31/20	02/04/20	61	LK	BUY SITARY SHAF	2,500	\$34.97	Margin	PRINCIPAL NET AMOUNT	\$87,425.00 \$87,425.00



Investment Account

TRADE CONFIRMATION

TRADE DATE	SETL DATE	MKT/ CPT	SYMBOL/ Cusip	BUY/ SELL	QUANTITY	PRICE	ACCT	-	* · •
01/31/20	02/04/20	61	LK	BUY	2,500	\$34.97	TYPE Margin	PRINCIPAL	•07 425 00
	. ,		RICAN DEPO		-	434.57	tviaigitt	NET AMOUNT	\$87,425.00 \$87,425.00
01/31/20	02/04/20	6 1	LK	BUY	2,000	\$34.01	Margin	PRINCIPAL	\$68,020.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES			NET AMOUNT	\$68,020.00
01/31/20	02/04/20	6 1	LK	BUY	1,500	\$34.07	Margin	PRINCIPAL	\$51,105.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES			NET AMOUNT	\$51,105.00
01/31/20	02/04/20	6 1	LK	BUY	1,500	\$33.77	Margin	PRINCIPAL	\$50,655.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES			NET AMOUNT	\$50,655.00
01/31/20	02/04/20	6 1	LK	BUY	1,000	\$33.80	Margin	PRINCIPAL	\$33,800.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES			NET AMOUNT	\$33,600.00
01/31/20	02/04/20	61	LK	BUY	2,000	\$33.47	Margin	PRINCIPAL	\$66,940.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	ARES			NET AMOUNT	\$66,940.00
01/31/20	02/04/20	6 1	LK	BUY	1,000	\$32.80	Margin	PRINCIPAL	\$32,800.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES			NET AMOUNT	\$32,800.00
01/31/20	02/04/20	6 1	LK	BUY	2,500	\$31.77	Margin	PRINCIPAL	\$79,425.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES			NET AMOUNT	\$79,425.00
01/31/20	02/04/20	6 1	LK	BUY	1,000	\$31.07	Margin	PRINCIPAL	\$31,070.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES			NET AMOUNT	\$31,070.00
01/31/20	02/04/20	6 1	LK	BUY	500	\$31.105	Margin	PRINCIPAL	\$15,552.50
LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES		-	NET AMOUNT	\$15,552.50
01/31/20	02/04/20	6 1	LK	BUY	1,000	\$30.51	Margin	PRINCIPAL	\$30,510.00
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES			NET AMOUNT	\$30,510.00





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***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES

E*TRADE Securities

Investment Account

NET AMOUNT

TRADE CONFIRMATION

\$16,125.00

Account Number:

TRADE DATE	SETL DATE	MKT/ CPT	SYMBOL/ CUSIP	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
01/31/20	02/04/20	31	LK	BUY	500	\$30.77	Margin	PRINCIPAL	\$15,385.00
***LUCK	IN COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES		·	NET AMOUNT	\$15,385.00
01/31/20	N2/N4/2N	21		RIN	500	\$20.27	Maraia	DDINCIDAL	¢15 105 00
01/31/20 ***LUCK	02/04/20 IN COFFEE	3 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	500 RES	\$30.37	Margin	PRINCIPAL NET AMOUNT	
,,						\$30.37	Margin		\$15,185.00 \$15,185.00

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Page 1 of 6



E*TRADE Securities

Investment Account

TRADE CONFIRMATION

Account Number:

Account Name:

E=TRADE Securities LLC

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					with your tax prep				73 GIRG 100/5 TO 1161
TRADE DATE 02/03/20	SETL DATE 02/05/20	MKT/ CPT 6 1	SYMBOL/ Cusip Lk	BUY/ Sell Buy	QUANTITY	PRICE	ACCT TYPE		4
			RICAN DEPO		1,500 RES	\$31.37	Margin	PRINCIPAL NET AMOUNT	\$47,055.0 \$4 7,0 55.0
02/03/20 ***LUCKI	02/05/20 N COFFEE	6 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	2,500 RES	\$33.01	Margin	PRINCIPAL NET AMOUNT	\$82,525.00 \$82,525.00
02/03/20 ***LUCKI	02/05/20 N COFFEE	6 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	2,500 RES	\$32.77	Margin	PRINCIPAL NET AMOUNT	\$81,925.0 \$81,925.0
02/03/20 ***LUCKII	02/05/20 N COFFEE	6 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	2,500 RES	\$32.51	Margin	PRINCIPAL NET AMOUNT	\$81,275.00 \$81,275.0
02/03/20 ***LUCKII	02/05/20 N COFFEE	6 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	2,500 RES	\$32.17	Margin	PRINCIPAL NET AMOUNT	\$80,425.00 \$80,425.00

FINANCIAL Trading • Investing • Banking

E*TRADE Securities

Investment Account

TRADE CONFIRMATION

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TRADE DATE	DATE	MKT / CPT	SYMBOL/ CUSIP	BUY/ Sell	QUANTITY	PRICE	ACCT TYPE	•	
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	02/03/20	02/05/20	31	LK	BUY	2,500	\$33.37	Margin	PRINCIPAL	\$83,425,00
	***IIICKIR	I COEEEE I	NIC ARREI	DICAN DED	OSITARY SHA	NDEC				
	LOURIN	A COLLER I	140 WINE	RICHIY DEP	AUC TURITION	anto			NET AMOUNT	\$83,425.00



Investment Account

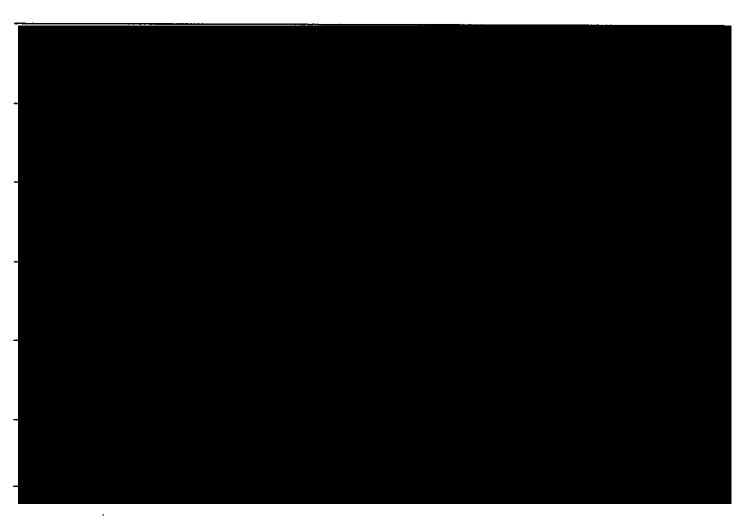
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Account Number:	Account Name:			·
ENTRADE Commission (1.0	WILLIAM ABBAT	E		
E≅TRADE Securities LLC				
	Customer Upda	ate		
	All your tax info in	one place. Forms 1099 for 2	2019, FAOs, key deadline	s, cost basis info,
TRADE SETL MKT/ SYMBOL/ BUY/	and more-ind the	em all in our Tax Center at et ACCT	- 10-00	
DATE DATE CPT CUSIP SELL	QUANTITY	PRICE TYPE		
03/20/20 03/24/20 3 1 LK BUY	1,098	\$24.99 Margin		\$27,439.02
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHA	ANES		NET AMOUNT	\$27,439.02
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WILLIAM ABBATE			· · ·	TACH HERE A
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E*TRADE Securities LLC				



Investment Account

TRADE CONFIRMATION

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	DATE	DATE	CPT	CUSIP	SELL	QUANTITY	PRICE	TYPE		ł
	03/20/20	03/24/20	6 1	LK	BUY	3,902	\$24.99	Margin	PRINCIPAL	\$97,510.98
	***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SI	HARES		_	NET AMOUNT	\$97,510.98





Investment Account

TRADE CONFIRMATION

Account	Number:				Account Name: WILLIAM ABBAT	E			
E≃TRADE S	ecurities III	C			Customer Upd All your tax info in	ate one place. Forms	1099 for 20	119, FAQs, key deadline	s, cost basis info,
TRADE DATE	SETL DATE	MKT/	SYMBOL/	BUY/	and more-find the		ACCT	de.com/tax.	·······
DATE	DATE	CPT	CUSIP	SELL	QUANTITY	PRICE	TYPE		
03/23/20	03/25/20	31	LK	BUY	1,000	\$22.77	Margin	PRINCIPAL	\$22,770.00
***LUCKI	N COFFEE		RICAN DEPO		ARES	V 22.77	, riving, ri	NET AMOUNT	\$22,770.00
03/23/20 ***LUCKI	03/25/20 N COFFEE	3 1 INC AME	LK RICAN DEPO	BUY SITARY SH	1,000 ARES	\$22.53	Margin	PRINCIPAL NET AMOUNT	\$22,530.00 \$22,530.00
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Case 1:20-cy-01293-JPC Document 347-4 Filed 03/06/23 Page 344 of 355

FINANCIAL Trading • Investing • Banking

E*TRADE Securities

Investment Account

TRADE CONFIRMATION

Account Number:

TRADE DATE

SETL DATE MKT/ CPT

SYMBOL/ **CUSIP**

BUY/ SELL

QUANTITY

PRICE

ACCT TYPE

-					
-					
_					
03/23/20 03/25/20 6 1 LK BUY	2,500	\$24.01	Margin	PRINCIPAL	\$60,025.00
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES			g	NET AMOUNT	\$60,025.00
00/00/00					
03/23/20 03/25/20 6 1 LK BUY ***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES	250	\$24.1825	Margin	PRINCIPAL NET AMOUNT	\$6,045.63
				METABLOWI	\$6,045.63
03/23/20 03/25/20 6 1 LK BUY	54	\$24.02	Margin	PRINCIPAL	\$1,297.08
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES		72.1102	1 eren Mut	NET AMOUNT	\$1,297.08
03/23/20 03/25/20 6 1 LK BUY ***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES	946	\$24.10	Margin	PRINCIPAL	\$22,798.60
SALINE SALIES HAS MINISTER DEL COMMINI SHARES				NET AMOUNT	\$22,798.60
03/23/20 03/25/20 6 1 LK BUY	500	\$22.4327	04	POHIOLOGI	
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES	300	₽ ££.45£/	Margin	PRINCIPAL NET AMOUNT	\$11,216.35 \$11,216.35
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Investment Account

TRADE CONFIRMATION

Account	Number:	

Account Name: WILLIAM ABBATE

E=TRADE Securities LLC

TRADE

DATE

Customer Update
Tax Questions? No problem. Get helpful tips, tools, and key dates in the Tax Center. Visit etrade.com/tax today.

SETL MKT / SYMBOL / BUY / ACCT
DATE CPT CUSIP SELL QUANTITY PRICE TYPE
04/06/20 6 1 LK BUY 1,000 \$22.6998 Margin PRINCIPAL \$22,699.80
KIN COFFEE INC AMERICAN DEPOSITARY SHARES NET AMOUNT \$22,699.80

DATE	UAIL	UFI	CUSIF	2ECT	UOMITIT	FNICE	1175		
04/02/20	04/06/20	61	LK	BUY	1,000	\$22.6998	Margin	PRINCIPAL	\$22,699.80
***LUCK(I	N COFFEE	INC AME	RICAN DEP	SITARY SHA	RES		-	NET AMOUNT	\$22,699.80
			<u></u>						
04/02/20	04/06/20	61	LK	BUY	1,000	\$21.8199	Margin	PRINCIPAL	\$21,819.90
•••LUCK(I	N COFFEE	INC AME	RICAN DEP	DSITARY SHA	RES			NET AMOUNT	\$21,819.90
04/02/20	04/06/20	6 1	LK	BUY	200	\$18.95	Margin	PRINCIPAL	\$3,790.00
				DSITARY SHA		\$10.93	เพลาผูกเ	NET AMOUNT	\$3,790.00
LOOKII	1 COITEE	ING AIME	MICAN DEF	JOHANT SHA	ines			NET AMOUNT	\$3,780.00
04/02/20	04/06/20	6 1	LK	BUY	800	\$19.00	Margin	PRINCIPAL	\$15,200.00
***LUCKI	N COFFEE	INC AME	RICAN DEP	DSITARY SHA	RES			NET AMOUNT	\$15,200.00
									
04/02/20	04/06/20	61	LK	BUY	1,000	\$18.87	Margin	PRINCIPAL	\$18,870.00
•••LUCKII	N COFFEE	INC AME	RICAN DEP	DSITARY SHA	RES			NET AMOUNT	\$18,870.00
04/02/20	04/06/20	61	LK	BUY	1,000	\$18,9899	Margin	PRINCIPAL	\$18,989,90
•••LUCKII	N COFFEE	INC AME	RICAN DEP	SITARY SHA		•		NET AMOUNT	\$18,989.90
					<u> </u>				_
04/02/20	04/06/20	61	LK	BUY	1,000	\$15.6399	Margin	PRINCIPAL	\$15,639.90
***LUCK(I	N COFFEE	INC AME	RICAN DEP	DSITARY SHA	RES			NET AMOUNT	\$15,639.90
04/02/20	04/06/20	61	LK	BUY	1,000	\$15.08	Margin	PRINCIPAL	\$15,080.00
***! IICKII	N COEFEE	INC AME	DICKN DEDI	ALIO VONTION	DEC	•		AICT ALSOURIT	215,000.00

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	WILLIAM ABBATE

Use This Deposit Slip

Acct:

NET AMOUNT

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\$15,080.00

Make checks payable to E*TRADE Securities LLC. Mail deposits to:

***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES

TOTAL DEPOSIT

E*TRADE Securities LLC

Investment Account

TRADE CONFIRMATION

TRADE DATE	SETL DATE	MKT/ CPT	SYMBOL/ CUSIP	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
04/02/20 ***LUCK	04/06/20 IN COFFEE	6 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	1,000 RES	\$13.70	Margin	PRINCIPAL NET AMOUNT	\$13,700.00 \$13,700.00
04/02/20	04/06/20	6 1	LK	BUY	1,000	\$12.9899	Margin	PRINCIPAL	\$12,989.90
***LUCK	IN COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES			NET AMOUNT	\$12,989.90
04/02/20	04/06/20	6 1	LK	BUY	1,000	\$11.65	Margin	PRINCIPAL	\$11,650.00
***LUCK	IN COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES		-	NET AMOUNT	\$11,650.00
04/02/20	04/06/20	6.1	rk	BUY	2,500	\$5.56	Margin	PRINCIPAL	\$13,900.00
***LUCK	IN COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES			NET AMOUNT	\$13,900.00
04/02/20	04/06/20	6 1	LK	BUY	2,500	\$3.96	Margin	PRINCIPAL	\$9,900.00
***LUCK	IN COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES			NET AMOUNT	\$9,900.00
04/02/20	04/06/20	6 1	LK	BUY	2,690	\$4.53	Margin	PRINCIPAL	\$12,185.70
***LUCK	IN COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES			NET AMOUNT	\$12,185.70
04/02/20	04/06/20	6 1	LK	BUY	2,210	\$4.54	Margin	PRINCIPAL	\$10,033.40
***LUCK	IN COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES		•	NET AMOUNT	\$10,033.40
04/02/20	04/06/20	6 1	LK	BUY	100	\$4.55	Margin	PRINCIPAL	\$455.00
***LUCK	IN COFFEE	INC AME	RICAN DEPO	SITARY SHA	RES		J	NET AMOUNT	\$455.00

Investment Account

TRADE CONFIRMATION

Trading • Investing • Banking

TRADE DATE	SETL DATE	MKT/ CPT	SYMBOL/ Cusip	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
04/03/20	04/07/20	6 1	LK	BUY	1,000	\$5.5072	Margin	PRINCIPAL	\$5,507.20
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHARI	ES			NET AMOUNT	\$5,507.20
04/03/20	04/07/20	6 1	LK	BUY	1,100	\$5.505	Margin	PRINCIPAL	\$6,055.50
***LUCKI	N COFFEE	INC AME	RICAN DEPO	SITARY SHARI	ES	V	177218/11	NET AMOUNT	\$6,055.50
04/03/20	04/07/20	6 1	LK	BUY	300	\$5.5025	Margin	PRINCIPAL	\$1.0E0.7E
				SITARY SHARI	ES	45.5025	Haigii	NET AMOUNT	\$1,650.75 \$1,650.75
									41,000.73
04/03/20	04/07/20	6 1	LK	BUY	600	\$5.5078	Margin	PRINCIPAL	6 2 204 62
				SITARY SHARI	ES	49.5070	(MarAll)	NET AMOUNT	\$3,304.68 \$3,304.68
									99,304.08



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E*TRADE Securities

Investment Account

TRADE CONFIRMATION

TRADE DATE	SETL DATE	MKT / CPT	SYMBOL/ Cusip	SELL SELL	QUANTITY	PRICE	ACCT TYPE		
04/03/20 ***LUCKI	04/07/20 N COFFEE (6 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	1,000 RES	\$5.4537	Margin	PRINCIPAL NET AMOUNT	\$5,453.70 \$5,453.70
04/03/20 ***LUCKI	04/07/20 N COFFEE 1	6 1 INC AME	LK RICAN DEPO	BUY SITARY SHA	1,000 RES	\$5,4172	Margin	PRINCIPAL NET AMOUNT	\$5,417.20 \$5,417.20





Investment Account

TRADE CONFIRMATION

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E=TRADE Se	curities LLC				***************************************	_			
					Customer Upd	ate	Cat		
					online with paper				irms, and tax forms
TRADE	SETL	MKT/	SYMBOL/	BUY/			ACCT		
DATE	DATE	CPT	CUSIP	SELL	QUANTITY	PRICE	TYPE		
05/22/20	05/27/20	6 1	LK	BUY	1,000	\$1.3699	Margin	PRINCIPAL	\$1,369.90
***FUCKIN	V COFFEE I	NC AME	RICAN DEPO	SITARY SH	ARES			NET AMOUNT	\$1,369.90
05/22/20	05/27/20	61	LK	BUY	1,000	\$1.3699	Margin	PRINCIPAL	\$1,369.90
"""LUCKIN	V CUFFEE I	NC AME	RICAN DEPO	SHARY SH	AKES			NET AMOUNT	\$1,369.90
05/22/20	05/27/20 COFFEE I	61 NC AME	LK RICAN DEPO	BUY SITARV SH	1,000 ARES	\$1.765	Margin	PRINCIPAL NET AMOUNT	\$1,765.00
LOGICIA		IIO AIIIE	IIIOAII DEI O	JIIAMI SII	Anto			MET MINIOUNT	\$1,765.00
05/22/20	05/27/20	61	LK	BUY	500	41.63		Point of D. L.	***
			RICAN DEPO:		ARES	\$1.67	Margin	PRINCIPAL NET AMOUNT	\$835.00 \$835.00
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E*1	RADE Secur	ities LLC							



Trading • Investing • Banking

E*TRADE Securities

Investment Account

TRADE CONFIRMATION

Account Number:

TRADE DATE	SETL DATE	MKT / CPT	SYMBOL/ CUSIP	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
05/22/20	05/27/20	31	LK	BUY	1,000	\$1.51	Margin	PRINCIPAL	\$1,510.00
***LUCKI	N CUFFEE	INC AME	RICAN DEPOSI	TARY SHA	RES			NET AMOUNT	\$1,510.00
05/22/20	05/27/20	3 1	LK	BUY	500	\$1.55	Margin	PRINCIPAL	\$775.00
***LUCKI	N COFFEE	INC AME	RICAN DEPOSI	TARY SHA	RES		Ü	NET AMOUNT	\$775.00
05 22 20	AF PAC MA	2.1		DIR					
05/22/20 CALL LK	05/26/20 07/17/20	3 1 2 Luck	IN COFFEE INC	BUY CADS	250	\$.37	Margin	PRINCIPAL COMMISSION	\$9,250.00 \$125.00
OPEN CONT								OPT REG FEE	\$4.10
								NET AMOUNT	\$9,379.10

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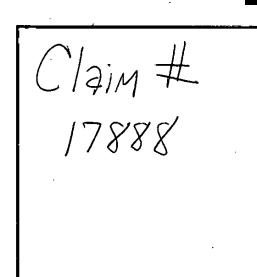
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Divider Page

June 20th, 2022

Mr. William Abbate, Esq.



Dear Mr. Abbate,

Kindly share this with the Claims Administrator handing the Luckin Coffee, Inc. Class Action lawsuit. Alpine Analytics Management Group, LLC was a "Hedge Fund" and not a Broker Dealer. The majority of Class Action firms are accustomed to receiving financial documentation from their Class Action Claimants evidencing their Claimant's buys and sells through their client's personal or corporate "Brokerage Firm" statements and trading confirmations. Alpine had fewer than 100 clients during the 17+ years that Alpine was operational prior to closing our funds and winding down internal operations on December 31st, 2021. As you are aware, Alpine managed money on behalf of some of the wealthiest and most accredited individuals in the world. Alpine was never required to be registered with the Securities and Exchange Commission as Alpine always kept the total number of investors within the 100 person guideline in each fund. In addition, Alpine never sent out monthly statements like brokerage firms are required to do for active accounts because Alpine's Hedge Funds only reported performance once a year; always at year-end. In addition, Alpine had limitations on withdrawals, and only accepted new investors/monies bi-yearly. Alpine does not speak, nor have we ever spoken to any third parties with respect to our client's personal financial information or any client personal taxation matters.

Mr. Abbate has shared with me that he recently provided the required documentation evidencing his purchases of 112,500 shares of Luckin Coffee Inc. from his ETrade Brokerage account. Mr. Abbate has also shared with me that he personally lost in excess of \$2.7MM on his Luckin Coffee Inc. investment. That's a far cry from the \$20-30K that Mr. Abbate claims he is slated to recover from his investment in this alleged fraud. So to be clear, it's already been documented by your firm through Mr. Abbate's submissions of his individual trading "buy" confirmations from his ETrade account that Mr. Abbate did indeed own 112,500 shares of Luckin Coffee, Inc. during the applicable case period. However, Mr. Abbate only delivered 110,250 shares of Luckin Coffee, Inc. to Alpine. So you will need to ask Mr. Abbate where the remaining 2,250 shares are.

In nearly 20 years of providing financial documentation to various clients of our different Hedge Funds for purposes of verifying liquidations in regard to trading in equities/options, etc for targeted companies of Class Action lawsuits, Alpine has never been asked to provide anything more than a sworn affidavit evidencing such information. I will have this new document notarized to authenticate that the information that I'm providing on Mr. Abbate's behalf is in fact "accurate and truthful."

Kindly allow this document to suffice with respect to the 110,250 shares of Luckin Coffee Inc. American Depository Shares (Formerly LK-symbol) that Mr. Abbate delivered to our Management Company: Alpine Analytics Management Group, LLC. As per Mr. Abbate's direct instructions at that time, all of the shares were liquidated on Mr. Abbate's behalf and all of the sales proceeds were applied to his Alpine account (ACCOUNT # WILLIAM ABBATE). I have requested that Mr. Abbate share this document with you, the Claims administrator responsible for handling this class action suit: (LUCKIN COFFEE INC. AMERICAN DEPOSITORY RECEIPTS).

Please allow this document to serve as a sworn affidavit that we liquidated 110,250 shares of LK (Luckin Coffee, Inc.) at an average selling price per share of \$1.07 on June 29th, 2020 resulting in total proceeds of \$117,967.50 that were credited to Mr. Abbate's account (ACCOUNT # 1000) upon the trade settling.

Sincerely yours,



