



# **ELECTRONIC FILING INSTRUCTIONS**

## ***LRR Energy Securities Litigation Settlement***

### **I. Important Notes – PLEASE READ**

- In addition to these instructions, please review the details set forth in the claim form and notice prior to submitting claims.
- Electronic claim submission is available to institutions filing on their own behalf or on behalf of others as well as to claim preparers filing on behalf of clients, or to individuals filing a large number of transactions who have requested or been requested to file claims electronically.
- Electronic claim submissions **MUST** be accompanied by all **required** documents as set forth in Section IV of these instructions.
- **ALL ELECTRONIC CLAIMS SUBMISSIONS MUST BE ENTERED ON THE TEMPLATE THAT FOLLOWS THESE INSTRUCTIONS.** Electronic claim submissions **MUST** be submitted in the **required** format, specified in this document.
- Provide all dates in **US** date format (**MM/DD/YYYY**).
- Electronic filers must provide for each claim submitted the holding positions in the eligible securities as set forth in Section II.
- **CLAIM FILING DEADLINE:** The claim filing deadline for this action is **November 26, 2018**. Any claim received after that date will be late.

## **II. Eligible Securities**

### **LRR ENERGY, L.P. (“LRE”) COMMON UNITS**

The number of LRE units held as of August 28, 2015 that were surrendered at the closing of the Acquisition on or about October 5, 2015, in which you received Vanguard common units in exchange for the LRE common units.

## **III. Methods of Submission**

Electronic files will not be deemed submitted unless the Claims Administrator sends you an email acknowledging receipt of your file. 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 [eClaim@choosegcg.com](mailto:eClaim@choosegcg.com) to inquire about your file and confirm it was received.

The following methods are available for submitting electronic claims:

### **1. INTERNET – GCG ICE<sup>®</sup> (www.gcgice.com)**

- GCG ICE<sup>®</sup> is GCG's secure and user-friendly website designed to meet the claim filing needs of institutional investors and claim preparers<sup>1</sup> in securities class actions and similar administrations. Using GCG ICE<sup>®</sup>, registered users have the ability to upload their electronic claim submissions directly and securely to GCG and the benefit of being able to view the history and status of these submissions 24 hours a day, 7 days a week. The history and status functionality features access to claim numbers and specific claim rejection reasons, with instructions on how to fix rejected claims for any claims uploaded via GCG ICE.
- Please visit [www.gcgice.com](http://www.gcgice.com) to register today so that you can benefit from this service in this settlement as well as other, future settlements.

### **2. EMAIL**

- You may email your electronic claim submission to [eClaim@choosegcg.com](mailto:eClaim@choosegcg.com).
- If you choose to email your file, you MUST also attach all required documentation to the email as .pdf documents or equivalent. DO NOT separately send hard copy documents through the mail.

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<sup>1</sup> Although GCG ICE<sup>®</sup> was not designed for individuals, if you are an individual with a large number of transactions who requests or is requested to file claims electronically you may use this feature to file claims. Please contact the Electronic Filing Department for further information related to using GCG ICE<sup>®</sup>.

### 3. MAIL

- You may send your electronic claim submission in the mail on a disk or CD along with all required documentation. Use the P.O. Box address on top of page 1 of the Proof of Claim and Release and add "Attn: Electronic Filing Department". If you need to send your submission via Federal Express or UPS, use the below street address:

LRR Energy Securities Litigation Settlement  
c/o GCG  
Attn: Electronic Filing Department  
5151 Blazer Parkway, Suite A  
Dublin, OH 43017

## IV. Documentation Requirements

The required documentation outlined below must be submitted with your electronic file. Your electronic claims will not be eligible for consideration until all required documents are received. Please note that one single document may meet more than one requirement.

### 1. ONE SIGNED PROOF OF CLAIM AND RELEASE

- You must complete the Claimant Information page (Part I, page 3) and Release and Certification pages, (Part III, pages 5-6) of a single Proof of Claim and Release form, which will serve as an "umbrella" or "master" claim form for all claims in your electronic file.
- The claim form must be signed by an authorized signatory who is also listed on your signature verification document and state the capacity (job title) of the signatory.
- You may reference the term "Various Beneficial Owners" for the beneficial owner name if you are filing on behalf of multiple beneficial owners. However, as noted above, the correct complete unabbreviated name of each beneficial owner (without honorifics) **MUST** be provided for each claim in your electronic claim submission.

### 2. SIGNATURE VERIFICATION DOCUMENT

- If you are an institution filing on your own behalf or on behalf of other beneficial owners or a claim preparer filing on behalf of beneficial owners, you must provide a document verifying that the individual who signs the claim form and any supplemental documents is authorized to sign on your behalf. Some common types of documents that fulfill this requirement include the following (this list is not exclusive and non-US entities may have different documents that fulfill this requirement. If you are a non-US entity, you must submit an equivalent document):
  - Copy of filer's By-Laws, including signature page(s).
  - Copy of filer's Corporate Resolution, including signature page(s).
  - Notarized Affidavit signed by an officer of the filing institution or company clearly granting a specific individual(s) authorization or confirming his/her authority to sign on behalf of his/her institution or company.

### **3. DATA VERIFICATION DOCUMENT(S)**

- If you are an institution filing on your own behalf or on behalf of other beneficial owners or a claim preparer filing on behalf of beneficial owners, you must provide a notarized affidavit or signed letter on your firm's letterhead which meets the below criteria:
  - Confirms the number of distinct claims and transactions in your file.
  - Sets forth the source of the data for each claim included in your file.
  - Attests to the truth and accuracy of the data for each claim in your file.
  - Is executed by an authorized signatory who is listed on your firm's signature verification document, and specifies both the capacity and contact information of that signatory.

### **4. AUTHORIZATION DOCUMENT (IF FILING ON BEHALF OF CLIENTS OR CUSTOMERS)**

- If you are an institution or claim preparer filing on behalf of beneficial owners other than yourself, you must provide a current document verifying that you are authorized to file and sign claims on behalf of the beneficial owners of the securities. Some common types of documents that fulfill this requirement include the following (this list is not exclusive and non-US entities may have different documents that fulfill this requirement. If you are a non-US entity, you must submit an equivalent document):
  - Power of Attorney
  - Service Agreement
  - Signed/dated letter on client's company letterhead specifically granting your company authority to file/sign claims on their behalf
  - Notarized affidavit or signed letter on your company's letterhead confirming your authority to file and sign claims on behalf of each client for whom you filed a claim. It must be executed by an officer of the company who is also listed on your signature verification document and reference the capacity and contact information of the signatory.

### **ADDITIONAL DOCUMENTATION (IF REQUESTED) - DATA INTEGRITY AUDIT**

GCG may request filers, as deemed appropriate by GCG and/or Lead Counsel, who file claims electronically to provide additional documentation to support the claims submitted. This data integrity audit is designed to verify the overall integrity of a data file. Accordingly, you must provide all the requested documentation and the documentation provided must be independent in nature.

Even if you provided a letter/affidavit attesting to the truth and accuracy of the data you initially submitted with your electronic file, we will **require** specific documentary evidence, which may include stock certificate numbers, monthly statements, or equivalent, to independently verify the details of transactions and/or holding positions, if your file is selected for a data integrity audit. Furthermore, this documentation must show the quantity of LRE units surrendered and the Vanguard units received in exchange for those surrendered LRE units.

**\*FAILURE TO COMPLY WITH THIS AUDIT REQUEST WILL RESULT IN THE REJECTION OF  
ALL CLAIMS ON YOUR ELECTRONIC SUBMISSION\***

## V. Electronic Filing Notes

### ADDRESSES

- Claims and checks (if the claim is eligible) will be created based on the information provided on your electronic file.
- If you require checks to be made out directly to the beneficial owner but still sent to your company, please include a “c/o” before your company name in Column A of your file.
- If you require checks to be mailed to some other party (i.e. directly to the custodian bank for each beneficial owner or directly to the beneficial owner), please include *their* name in the ‘Company Name’ field (column A) of the file, but include your name in the ‘Submitting Filer’s Name’ field (Column R).
- If you require checks be made out directly to the beneficial owner, do not include **any** company name in the ‘Company Name’ field (Column A) of the file.
- For foreign addresses, the two character country code must be provided in Column H, all address information (including full country names and provinces) must be included in the two address fields (Columns B-C), and the city, state, zip fields (Columns D-G) should be left blank.
- If you are a third-party claim preparer filing on behalf of clients who represent the beneficial owner of the securities, you **must** provide the complete name of your client in column Q of your electronic claim submission.

### SECURITIES

- All transactions and holding positions **must** reference an appropriate security identifier (CUSIP, ISIN, or SEDOL) in Column L of your file.

### CERTIFICATION

- **You must certify for each beneficial owner that:** By indicating “Y” in Column T (Certification – Not an Excluded Party) on your electronic file I certify that I (we) am (are) or, if I am filing on behalf of another, that party, is not an excluded party under the terms of the Stipulation. Excluded parties include: defendants Eric Mullins, Charles W. Adcock, Jonathan C. Farber, Townes G. Pressler, Jr., John A. Bailey, Jonathan P. Carroll, Scott W. Smith, Richard A. Robert, W. Richard Anderson, Bruce W. McCullough, and Loren Singletary, members of the immediate family of each individual defendant; an officer or director of Vanguard or LRE, a firm, trust, corporation, officer, or other entity in which a Defendant has or had a controlling interest; persons participating in the alleged material omissions or misrepresentations, and the legal representatives, agents, affiliates, heirs, beneficiaries, successors-in-interest, or assigns of an excluded person or entity; persons participating in the alleged material omissions or misrepresentations, and the legal representatives, agents, affiliates, heirs, beneficiaries, successors-in-interest, or assigns of an excluded person or entity; and also excluding those Persons listed in Exhibit A-4 to the Stipulation of Settlement who, pursuant the Court’s January 17, 2018 Order [D.I. 126], timely and validly requested to be excluded from the Class.

## VI. Required Filing Format

### GENERAL INSTRUCTIONS

- Files should be submitted as an Excel spreadsheet.
- All fields in the below format must be included on your file.
- Any fields that do not apply to the claims you submitted must be left blank (do not delete any fields).
- Your file must include one header row with each of the column headings specified below.
- Your file must be sorted in the following order:
  - complete correct name of the beneficial owner of the securities supporting the claim
  - security identifier
  - transaction type
- If a maximum character length for any field is specified, do not exceed the limit.
- Do not leave any blank rows on your file.
- Any files not in accordance with the below layout are subject to rejection.
- For Excel spreadsheets:
  - Whenever possible, your file should be limited to one tab that contains all the fields listed below.
  - The “Length” column in the below format specifies the maximum number of characters for each Excel field as to which a maximum character number applies.

*Please continue to next page for Required File Layout.*

**REQUIRED FILE LAYOUT**

COL	FIELD	START POSITION	LENGTH	NOTES
A	Company Name	1	40	Name of Company for Mailing of Checks (see Address Notes above) <ul style="list-style-type: none"> <li>• Include a “c/o” before your company name if you require checks made out to the beneficial owner c/o your company.</li> <li>• Include an “FBO” (or similar ownership acronym) after your company name if you require checks to be made out to your company for the benefit of the beneficial owner</li> </ul>
B	Address 1	41	40	Address 1 Information for Mailing of Checks (see Address Notes above)
C	Address 2	81	40	Address 2 Information for Mailing of Checks (see Address Notes above)
D	City	121	30	City for Mailing of Checks (see Address Notes above)
E	State	151	2	2 Character State Abbreviation for Mailing of Checks (see Address Notes above)
F	Zip5	153	5	5 Digit Zip for Mailing of Checks (see Address Notes above)
G	Zip4	158	4	4 Digit Zip for Mailing of Checks (see Address Notes above)
H	Country Code	162	2	2 character Country abbreviation ( <b>only</b> for foreign addresses)
I	Account Name	164	40	Account/beneficial owner name, for printing/ mailing purposes
J	Account Number	204	70	The unique account number for the account in question
K	SSN or Tax ID Number	274	9	The complete Social Security Number or Tax ID Number of account referenced in Column I
L	Security Identifier Number	283	14	CUSIP, ISIN, or SEDOL Number of the Security
M	Transaction Type	297	2	B = LRE holdings on August 28, 2015 that were surrendered on or about October 5, 2015* U = Vanguard holdings on October 5, 2015  Note: When inputting holdings, the trade date column must indicate the holding date. <b>*Note: A unique line of data must be created for each claimed LRE stock certificate (see Column P)</b>
N	Trade Date	299	10	Trade date in <b>MM/DD/YYYY</b> format (including foreign entities)
O	Quantity	309	20	Number of units associated with this transaction (this value can <u>ONLY</u> be negative for short beginning or ending holdings positions)
P	Stock Certificate Number	329	20	Please provide the stock certificate number for the specific transaction. Each stock certificate should be captured as a separate row of data.
Q	Submitting Filer’s Client Name(s)	349	20	<b>If you are a third-party claim preparer filing on behalf of clients either, you must provide your client’s name in this field</b>
R	Submitting Filer’s Name	369	20	Name of filer/entity submitting electronic claim
S	Certification - Not an Excluded Party	389	1	<b>You must certify for each beneficial owner that</b> I (we) am (are) or, if I am filing on behalf of another, that party, is not an excluded party under the terms of the Stipulation by indicating <b>Y</b> in this column (see Certification Note above)