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# EXHIBIT 1

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#### UNITED STATES DISTRICT COURT EASTERN DISTRICT OF NEW YORK

IN RE NORTHERN DYNASTY MINERALS LTD. SECURITIES LITIGATION

Case No. 1:20-cv-05917-ENV-TAM

#### DECLARATION OF MORGAN KIMBALL REGARDING (I) NOTICE DISSEMINATION; (II) PUBLICATION OF SUMMARY NOTICE; (III) CALL CENTER SERVICES; (IV) THE SETTLEMENT WEBSITE; (V) REQUESTS FOR EXCLUSION AND OBJECTIONS RECEIVED TO DATE; (VI) CLAIM FORMS RECEIVED TO DATE; (VII) ESTIMATE OF ADMINISTRATION COSTS

I, Morgan Kimball, declare and state as follows:

1. I am a Project Manager employed by Epiq Class Action & Claims Solutions, Inc.

("Epiq"). Pursuant to the Court's Order Granting Plaintiffs' Motion for Preliminary Approval of Class Action Settlement (the "Preliminary Approval Order") dated August 24, 2023 (Dkt. No. 67-1), Epiq was authorized to act as the Claims Administrator for the Settlement in the above-captioned action (the "Action").<sup>1</sup> The following statements are based on my personal knowledge and information provided by Epiq employees working under my supervision, and if called on to do so, I could and would testify competently thereto.

2. I submit this Declaration in order to provide the Court and the Parties to the Settlement with information regarding: (I) the mailing of the Court-approved Notice of Pendency and Proposed Settlement of Class Action (the "Notice"), the Proof of Claim and Release Form (the "Claim Form") (together, the "Notice Packet"), and the Postcard Notice; (II) publication and

<sup>&</sup>lt;sup>1</sup> Unless otherwise defined herein, all capitalized terms shall have the same meaning as set forth in the Stipulation and Agreement of Settlement.

transmission of the Summary Notice of Pendency and Proposed Class Action Settlement (the "Summary Notice"); (III) establishment of the toll-free number and website dedicated to this Settlement; (IV) the number of requests for exclusion from the Settlement Class or objections received by Epiq to date; (V) the number of Claim Forms received to date; and, (VI) Epiq's estimated administration costs.

#### **DISSEMINATION OF THE POSTCARD NOTICE AND NOTICE PACKET**

3. Pursuant to the Preliminary Approval Order, Epiq emailed the Summary Notice to potential Settlement Class Members for whom Epiq was able to obtain email addresses, and Epiq mailed the Postcard Notice to potential Settlement Class Members via United States Postal Service ("USPS") if no email address could be obtained. A copy of the Summary Notice is attached as Exhibit A, and a copy of the Postcard Notice is attached as Exhibit B.

4. As in most class actions of this nature, the large majority of potential class members are beneficial purchasers whose securities are held in "street name" – *i.e.*, the securities are purchased by brokerage firms, banks, institutions, and other third-party nominees in the name of the nominee, on behalf of the beneficial purchasers. Epiq maintains and updates an internal list of the largest and most common banks, brokers, and other nominees. At the time of the initial mailing, Epiq's internal broker list contained 1,022 mailing records. On September 14, 2023, Epiq caused the Notice Packet to be mailed to the 1,022 mailing records contained in its internal broker list by USPS First-Class Mail. A copy of the Notice Packet is attached as Exhibit C.

5. The Notice Packet sent to the broker list directed those who purchased, or otherwise acquired, publicly traded Northern Dynasty Securities during the Class Period for the beneficial interest of a person or organization other than themselves to either: (I) provide Epiq with the names, addresses, and email addresses (if available) of such beneficial owners no later than ten

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(10) calendar days after such nominees' receipt of the Notice Packet; (II) send a copy of the Summary Notice to such beneficial owners by email no later than ten (10) calendar days after such nominees' receipt of the Notice Packet; or, (III) request within ten (10) calendar days of receipt of the Notice Packet copies of the Postcard Notice from the Claims Administrator, and send a copy of the Postcard Notice to such beneficial owners, no later than ten (10) calendar days after receipt of the copies.

6. Through November 9, 2023, Epiq has emailed 87 Summary Notices and mailed 54,839 Postcard Notices to potential members of the Settlement Class whose names and contact information were provided to Epiq by individuals, entities, or nominees requesting that notice be sent to such persons. In addition, 244 Postcard Notices were mailed to records provided by the Defendants. Epiq has mailed another 22,966 Postcard Notices to nominees who requested Postcard Notices to forward to their customers. Each of the requests was responded to in a timely manner, and Epiq will continue to timely respond to any additional requests received.

7. As of November 9, 2023, an aggregate 78,049 Postcard Notices have been disseminated to potential Settlement Class Members and their nominees by USPS First-Class Mail. In addition, Epiq has re-mailed 206 Postcard Notices to persons whose original mailing was returned to Epiq as undeliverable by the USPS and for whom updated addresses were provided to Epiq by the USPS.

#### PUBLICATION OF THE SUMMARY NOTICE

8. In accordance with paragraph 17 of the Preliminary Approval Order, Epiq caused the Summary Notice to be transmitted over the *PR Newswire* and in the *Investor's Business Daily* on September 11, 2023. Attached as Exhibit D is a confirmation of publication in the *Investor's* 

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*Business Daily* and an image of the web page article attesting to the transmittal of the Summary Notice over the *PR Newswire*.

#### **CALL CENTER SERVICES**

9. Epiq reserved a toll-free phone number for the Settlement, (888) 270-9130, which was set forth in the Postcard Notice, the Notice, the Claim Form, the Summary Notice, and on the Settlement website.

10. The toll-free number connects callers with an Interactive Voice Recording ("IVR"). The IVR provides callers with pre-recorded information, including a brief summary about the Action and the option to request a mailed copy of the Notice Packet, and to speak with a live operator during business hours. As of November 9, 2023, 75 Notice Packets have been mailed via First Class U.S. Mail to persons who submitted a request for one. The toll-free telephone line with pre-recorded information is available 24 hours a day, seven days a week.

11. Epiq made the IVR available on September 8, 2023, right before Epiq began mailing the Postcard Notices. As of November 9, 2023, the toll-free number has received 589 calls representing 3,350 total minutes, and call center representatives have handled 276 inbound calls representing 2,718.53 minutes of use and 10 outbound calls representing 77.15 minutes of use. Epiq will continue operating, maintaining and, as appropriate, updating the toll-free telephone number until the conclusion of this administration.

#### SETTLEMENT WEBSITE

12. On September 8, 2023, Epiq established and is maintaining a website dedicated to this Settlement (<u>www.NorthernDynastySecuritiesSettlement.com</u>) to provide additional information to Settlement Class Members. Users of the website can download copies of the Notice, the Claim Form, the Stipulation and Agreement of Settlement, and the Preliminary Approval

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Order, among other relevant documents. The web address was set forth in the Notice, Postcard Notice, and on the Claim Form. The website also contains an online claim portal for Settlement Class Members to electronically file their claims. The website is accessible 24 hours a day, seven days a week.

13. As of November 9, 2023, the website has been visited by 6,080 unique visitors, and 22,510 website pages have been viewed. Epiq will continue operating, maintaining and, as appropriate, updating the website until the conclusion of this administration.

#### EXCLUSION REQUESTS

14. Pursuant to the Preliminary Approval Order, Settlement Class Members who wish to be excluded from the Settlement Class are required to mail their written request to Epiq so that the request is received by November 16, 2023.<sup>2</sup> This deadline has not yet passed. As of the date of this Declaration, Epiq has received two (2) exclusion requests. Redacted copies of the exclusion requests are attached as Exhibit E.

15. Of the two exclusion requests, one (1) is a valid request as it was both timely (*i.e.*, received via mail by November 16, 2023) and complete (*i.e.*, contains the necessary information described in the Notice). One (1) exclusion request is invalid because it was incomplete, although timely. Epiq has reached out to the individual who submitted the invalid exclusion request and requested the necessary information so it may become valid.

#### **CLAIM FORMS RECEIVED**

16. Pursuant to the Preliminary Approval Order, Settlement Class Members who wish to participate in the proposed Settlement are required to submit completed Claim Forms to the

<sup>&</sup>lt;sup>2</sup> Objections are to be filed with the Court and mailed to Counsel. As of the date of this Declaration, Epiq has not received any misdirected objections.

Claims Administrator by mail, email, or online so that they are postmarked or submitted no later than December 14, 2023. As of November 9, 2023, Epiq has received 1,095 Claim Forms.

#### ESTIMATE OF ADMINISTRATION COSTS

17. At this time, Epiq cannot predict the total Notice and Administration Costs that will be incurred in connection with providing notice to the Settlement Class and processing claims in this Action, as it will depend upon the total number of Postcard Notices and Notice Packets ultimately mailed and the total number of claims received, among other factors. At this time, based on the approximately 79,352 Postcard Notices and Notice Packets mailed to date, Epiq estimates that the total Notice and Administration Costs will not exceed \$500,000. However, this estimate is subject to change as the claim filing deadline has not yet passed.

I declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct to the best of my knowledge.

Executed on November 9, 2023 in Seattle, WA.

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## EXHIBIT A

#### UNITED STATES DISTRICT COURT

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IN RE NORTHERN DYNASTY MINERALS LTD. SECURITIES LITIGATION

Case No. 1:20-cv-05917-ENV-TAM

#### SUMMARY NOTICE OF PENDENCY AND PROPOSED CLASS ACTION SETTLEMENT

#### TO: ALL PERSONS AND ENTITIES WHO PURCHASED OR OTHERWISE ACQUIRED NORTHERN DYNASTY MINERALS LTD. SECURITIES FROM DECEMBER 21, 2017 THROUGH NOVEMBER 24, 2020, BOTH DATES INCLUSIVE, (I) ON ANY STOCK EXCHANGES LOCATED IN THE UNITED STATES, (II) ON ANY ALTERNATIVE TRADING SYSTEMS LOCATED IN THE UNITED STATES, OR (III) PURSUANT TO OTHER DOMESTIC TRANSACTIONS, AND WHO WERE ALLEGEDLY DAMAGED THEREBY.

YOU ARE HEREBY NOTIFIED, pursuant to an Order of the United States District Court for the Eastern District of New York, that a hearing will be held on December 7, 2023, at 10:30 a.m., before the Honorable Tarvn A. Merkl, at the United States District Court, Eastern District of New York, Courtroom 324 North, 225 Cadman Plaza East, Brooklyn, New York 11201, for the purpose of determining: (1) whether the proposed Settlement of the claims in the above-captioned Action for the sum of \$6,375,000 in cash should be approved by the Court as fair, reasonable, and adequate; (2) whether the proposed Plan of Allocation to distribute the Settlement proceeds is fair, reasonable, and adequate: (3) whether the application of Lead Counsel for an award of attorneys' fees of no more than one third plus interest of the Settlement Amount, reimbursement of litigation expenses of not more than \$80,000, and awards of no more than \$25,000, in aggregate, or \$20,000 for Lead Plaintiff Lawrence Kelemen and \$5,000 for Named Plaintiff Charles Hymowitz, should be approved; and (4) whether this Action should be dismissed with prejudice as set forth in the Stipulation of Settlement dated June 7, 2023 ("Stipulation"). Lead Counsel has also applied for up to \$500,000 to pay for Administrative Costs.

The Court reserves the right to hold the Settlement Hearing telephonically or by other virtual means. The Court appointed Pomerantz LLP as Lead Counsel to represent you and the other Settlement Class Members. However, you have the right to retain your own counsel and the right to appear at the Settlement Hearing through counsel of your choosing.

If you purchased or otherwise acquired Northern Dynasty Minerals Ltd. ("Northern Dynasty") securities during the period from December 21, 2017 through November 24, 2020, both dates inclusive ("Settlement Class Period"), (i) on any stock exchanges located in the United States, (ii) on any alternative trading systems located in the United States, or (iii) pursuant to other domestic transactions, and: (i) have not asserted claims against any or all of the Defendants in any cross-border litigation initiated outside of the United States, including in, but not limited to, the cases captioned Haddad v. Northern Dynasty Minerals Ltd. et al., Case No. VLC-S-S-2012849 and Woo v. Northern Dynasty Minerals Ltd. et al., Case No. VLC-S-S-211530 in Canada: (ii) have been deemed by a court to be a member of a class in such litigation, for settlement purposes or otherwise; and (iii) are entitled to a settlement or other distribution payment - regardless of whether such payment is cashed - in connection with the resolution of the cross-border litigation, your rights may be affected by this Settlement, including the release and extinguishment of claims you may possess relating to your ownership interest in Northern Dynasty securities. If you have not received a detailed Notice of Pendency and Proposed Settlement of Class Action ("Notice") and a copy of the Proof of Claim and Release Form, you may obtain copies by writing to, calling, or contacting the Claims Administrator: Northern Dynasty Securities Settlement, c/o Epiq Class Action & Claims Solutions, Inc., PO Box 4990, Portland, OR 97208-4990; 888-270-9130; Info@NorthernDvnastvSecuritiesSettlement.com. Copies of the Notice, Proof of Claim and Release Form can also be downloaded from the website maintained by the Claims Administrator, www.NorthernDynastySecuritiesSettlement.com. If you are a member

of the Settlement Class, in order to share in the distribution of the Net Settlement Fund, you must submit a Proof of Claim and Release Form electronically or postmarked no later than **December 14, 2023**, establishing that you are entitled to recovery. Unless you submit a written exclusion request, you will be bound by any judgment rendered in the Action whether or not you make a claim.

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If you desire to be excluded from the Settlement Class, you must submit to the Claims Administrator a request for exclusion so that it is received no later than **November 16**, **2023**, in the manner and form explained in the Notice. All members of the Settlement Class who have not requested exclusion from the Settlement Class will be bound by any judgment entered in the Action pursuant to the Settlement Stipulation.

Any objection to the Settlement, Plan of Allocation, or Lead Counsel's request for an award of attorneys' fees and reimbursement of expenses and awards to Plaintiffs must be in the manner and form explained in the detailed Notice and received no later than November 16, 2023, to each of the following:

CLERK OF THE COURT: United States District Court Eastern District of New York 225 Cadman Plaza East Brooklyn, New York 11201

LEAD COUNSEL: Jeremy A. Lieberman, Esq. POMERANTZ LLP 600 Third Avenue, 20<sup>th</sup> Floor New York, New York 10016

DEFENDANTS' COUNSEL: Ashwin J. Ram, Esq. STEPTOE & JOHNSON LLP 633 W. 5<sup>th</sup> Street, Ste. 1900 Los Angeles, CA 90071

If you have any questions about the Settlement, you may call or write to Lead Counsel for Plaintiffs:

Emma Gilmore Dolgora Dorzhieva Villi Shteyn POMERANTZ LLP 600 Third Avenue, 20<sup>th</sup> Floor, New York, NY 10606 (212) 661-1100 egilmore@pomlaw.com ddorzhieva@pomlaw.com

PLEASE DO NOT CONTACT THE COURT OR THE CLERK'S OFFICE REGARDING THIS NOTICE.

Dated: August 24, 2023

BY ORDER OF THE UNITED STATES DISTRICT COURT FOR THE EASTERN DISTRICT OF NEW YORK

## EXHIBIT B

O-cyoD59177TAMSecDocument 72-1 Filed 11/09/23 Page 11 of 48 PageID PO Box 4990

Portland, OR 97208-4990

Case No. 1:20-cv-05917-ENV-TAM (E.D.N.Y.)

Case Pending in the United States District Court for the Eastern District of New York

#### Court-Ordered Legal Notice Forwarding Service Requested

Important Notice about a Securities Class Action Settlement

You may be entitled to a payment. This Notice may affect your legal rights.

Please read it carefully.

In re Northern Dynasty Minerals Ltd. Securities Litigation, Case No. 1:20-cv-05917-ENV-TAM (E.D.N.Y.)

THIS CARD PROVIDES ONLY LIMITED INFORMATION ABOUT THE SETTLEMENT.

### 20-cv-05917-TAM Doccument 27/29180 For the International Contract of the Page D

The U.S. District Court for the Eastern District of New York (the "Court") has preliminarily approved a proposed Settlement of claims against Northern Dynasty Minerals Ltd. ("Northern Dynasty"), Ronald W. Thiessen, and Thomas C. Collier, Jr. (collectively, "Defendants"). The proposed Settlement would resolve a putative class action lawsuit alleging that Defendants made false and/or misleading misstatements and/or omissions concerning the size, scope, and duration of the Pebble Project. Defendants deny the allegations in their entirety.

You received this notice because you may have purchased or otherwise acquired publicly traded Northern Dynasty securities between December 21, 2017 and November 24, 2020, inclusive, (i) on any stock exchanges located in the United States, (ii) on any alternative trading systems located in the United States, or (iii) pursuant to other domestic transactions, and you may be a Settlement Class Member. The Settlement provides that, in exchange for the dismissal and release of all claims against Defendants, a fund consisting of \$6,375,000, less attorneys' fees and expenses, will be divided among Settlement Class Members who timely submit valid Proof of Claim and Release Forms ("Claim Forms"). For a full description of the Settlement and your rights, and to make a claim, please view the Stipulation and Agreement of Settlement and obtain a copy of the Notice of Pendency and Proposed Settlement of Class Action ("Notice") and Claim Form by visiting the website: www.NorthernDynastySecuritiesSettlement.com.You may request copies of the Notice and Claim Formby: (1) mail: *Northern Dynasty Securities Settlement*, c/o Epiq Class Action & Claims Solutions, Inc., PO Box 4990, Portland, OR 97208-4990; (2) call toll-free: 888-270-9130; or (3) email: Info@NorthernDynastySecuritiesSettlement.com.

To qualify for payment, you must submit a Proof of Claim, which can be found on the website www.NorthernDynastySecuritiesSettlement.com. CLAIM FORMS ARE DUE BY <u>DECEMBER 14, 2023</u> TO NORTHERN DYNASTY SECURITIES SETTLEMENT, c/o Epiq Class Action & Claims Solutions, Inc., PO Box 4990, Portland, OR 97208-4990, or submitted electronically at www.NorthernDynastySecuritiesSettlement.com. If you do not want to be legally bound by the Settlement, you must exclude yourself by <u>November 16, 2023</u>. If you exclude yourself, you cannot get money from this Settlement. If you stay in the Settlement, you may object to it by <u>November 16, 2023</u>. The Notice explains how to exclude yourself or to object.

The Court will hold a hearing in this case on <u>December 7, 2023</u> at 10:30 a.m. at 225 Cadman Plaza East, Courtroom 324 North, Brooklyn, New York 11201, to consider whether to approve the Settlement, the Plan of Allocation, and a request by Lead Counsel for no more than one-third of the Settlement Fund for attorneys' fees, plus up to \$80,000 in litigation expenses, and awards to Plaintiffs of no more than \$25,000 in total, for litigating the case and negotiating the Settlement. Lead Counsel has also applied for up to \$500,000 to pay for Administrative Costs. You may, but do not have to, attend the hearing and ask to be heard by the Court. You have the right to retain your own counsel and the right to appear at the hearing through counsel of your choosing. The Court reserves the right to hold the Settlement Hearing telephonically or by other virtual means.

## EXHIBIT C

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#### UNITED STATES DISTRICT COURT EASTERN DISTRICT OF NEW YORK

IN RE NORTHERN DYNASTY MINERALS LTD. SECURITIES LITIGATION

Case No. 1:20-cv-05917-ENV-TAM

#### NOTICE OF PENDENCY AND PROPOSED SETTLEMENT OF CLASS ACTION

If you purchased or otherwise acquired securities of Northern Dynasty Minerals Ltd. ("Northern Dynasty" or the "Company") during the period from December 21, 2017 through November 24, 2020, both dates inclusive ("Settlement Class Period"), (i) on any stock exchanges located in the United States, (ii) on any alternative trading systems located in the United States, or (iii) pursuant to other domestic transactions, you could get a payment from a proposed class action settlement ("Settlement").

Under law, a federal court has authorized this Notice. This is not attorney advertising.

- If approved by the Court, the Settlement will provide six million and three hundred and seventy-five thousand dollars (\$6,375,000) ("Settlement Amount") gross, plus interest as it accrues, minus attorneys' fees, costs, administrative expenses, and net of any taxes on interest, to pay claims of investors who purchased or otherwise acquired Northern Dynasty securities during the Settlement Class Period.
- Based on Plaintiffs' expert's estimates of the number of Northern Dynasty securities purchased or otherwise acquired during the Settlement Class Period that may have been affected by the alleged conduct at issue in the Action and assuming that all Settlement Class Members elect to participate in the Settlement, the estimated average recovery (before the deduction of any Court-approved fees, expenses and costs as described herein) per allegedly damaged security is \$0.02. Settlement Class Members should note, however, that the foregoing average recovery per security is only an estimate. Some Settlement Class Members may recover more or less than this estimated amount depending on, among other factors, when and at what prices they purchased/acquired or sold their Northern Dynasty securities, and the total number and recognized loss amount of valid Claim Forms submitted. Distributions to Settlement Class Members will be made based on the Plan of Allocation set forth herein (*see* paragraph 7 below) or such other plan of allocation as may be ordered by the Court.
- Plaintiffs' Counsel, who have been prosecuting the Action on a wholly contingent basis since its inception, have not received any payment of attorneys' fees for their representation of the Settlement Class and have advanced the funds to pay expenses necessarily incurred to prosecute this Action. Court-appointed Lead Counsel Pomerantz LLP will apply to the Court for an award of attorneys' fees in an amount not to exceed one third of the Settlement Fund for Plaintiffs' Counsel. In addition, Lead Counsel will apply for reimbursement of Litigation Expenses paid or incurred in connection with the institution, prosecution and resolution of the claims against the Defendants, in an amount not to exceed \$80,000. Lead Counsel has also applied for up to \$500,000 to pay for Administrative Costs, including all costs and expenses associated with providing notice of the Settlement to the Settlement Class and otherwise administering or carrying out the terms of the Settlement. Any fees and expenses awarded by the Court will be paid from the Settlement Fund. Settlement Class Members are not personally liable for any such fees or expenses. An estimate of the average cost per allegedly damaged Northern Dynasty security, if the Court approves Lead Counsel's fee and expense application, is \$0.009 per allegedly damaged security. In addition, Lead Counsel may apply for awards to Plaintiffs in connection with their representation of the Settlement Class in an amount not to exceed \$25,000, combined.
- The Settlement resolves the Action concerning whether Northern Dynasty and certain of its officers, Ronald W. Thiessen, and Thomas C. Collier, Jr. (collectively, "Defendants") violated federal securities laws, specifically Sections 10(b) and 20(a) of the Securities Exchange Act of 1934, and Rule 10b-5 promulgated thereunder, by allegedly making misrepresentations and/or omissions of material fact in various filings with the U.S. Securities and Exchange Commission and in other public statements to the investing public concerning the size, scope, and duration of the Pebble Project, Northern Dynasty's plan to develop what Defendants deemed "one of the world's most important mineral resources." The Settlement also bars any and all claims for contribution or indemnity against any of the Released Parties arising out of, relating to

or concerning any acts, facts, statements, or omissions that were or could have been alleged in the Action. Defendants have denied and continue to deny each, any, and all allegations of wrongdoing, fault, liability, or damage whatsoever asserted by Plaintiffs. Defendants have also denied, *inter alia*, the allegations that Plaintiffs or the Settlement Class have suffered damages or that Plaintiffs or the Settlement Class were harmed by the conduct alleged in the Action. Defendants continue to believe the claims asserted against them in the Action are without merit.

• Your legal rights will be affected whether you act or do not act. If you do not act, you may permanently forfeit your right to recover on this claim. Therefore, you should read this Notice carefully.

#### YOUR LEGAL RIGHTS AND OPTIONS IN THE SETTLEMENT

SUBMIT A CLAIM FORM POSTMARKED NO LATER THAN DECEMBER 14, 2023.	This is the only way to be potentially eligible to receive a payment from the Settlement Fund. If you are a Settlement Class Member and you remain in the Settlement Class, you will be bound by the Settlement as approved by the Court and by the release of claims against Defendants and other Released Defendant Parties (as described in paragraph 9 below), so it is in your interest to submit a Claim Form.
EXCLUDE YOURSELF FROM THE SETTLEMENT CLASS BY SUBMITTING A WRITTEN REQUEST FOR EXCLUSION SO THAT IT IS RECEIVED NO LATER THAN NOVEMBER 16, 2023.	If you exclude yourself from the Settlement Class, you will not be eligible to receive any payment from the Settlement Fund. This is the only option that allows you to be part of any other lawsuit against any of the Defendants or the other Released Defendant Parties concerning the Released Claims.
OBJECT TO THE SETTLEMENT BY SUBMITTING A WRITTEN OBJECTION SO THAT IT IS <i>RECEIVED</i> NO LATER THAN NOVEMBER 16, 2023.	If you do not like the proposed Settlement, the proposed Plan of Allocation, or the request for attorneys' fees and reimbursement of Litigation Expenses, you may write to the Court and explain why you do not like them. You cannot object to the Settlement, the Plan of Allocation or the fee and expense request unless you are a Settlement Class Member and do not exclude yourself from the Settlement Class.
ATTEND A HEARING ON DECEMBER 7, 2023 AT 10:30 A.M., AND FILE A NOTICE OF INTENTION TO APPEAR SO THAT IT IS <i>RECEIVED</i> NO LATER THAN NOVEMBER 16, 2023.	Filing a written objection and notice of intention to appear by November 16, 2023, allows you to speak in Court, at the discretion of the Court, about the fairness of the proposed Settlement, the Plan of Allocation, and/or the request for attorneys' fees and reimbursement of Litigation Expenses. If you submit a written objection, you may (but you do not have to) attend the hearing and, at the discretion of the Court, speak to the Court about your objection.
DO NOTHING.	If you are a member of the Settlement Class and you do not submit a valid Claim Form, you will not be eligible to receive any payment from the Settlement Fund. You will, however, remain a member of the Settlement Class, which means that you give up your right to sue about the claims that are resolved by the Settlement and you will be bound by any judgments or orders entered by the Court in the Action.

#### **INQUIRIES**

Please do not contact the Court regarding this Notice. All inquiries concerning this Notice, the Proof of Claim and Release Form, or any other questions by Settlement Class Members should be directed to:

Northern Dynasty Securities Settlement c/o Epiq Class Action & Claims Solutions, Inc. PO Box 4990 Portland, OR 97208-4990 888-270-9130 Info@NorthernDynastySecuritiesSettlement.com

**Claims Administrator** 

OR

Emma Gilmore Dolgora Dorzhieva Villi Shteyn POMERANTZ LLP 600 Third Avenue, 20th Floor, New York, NY, 10606 (212) 661-1100 egilmore@pomlaw.com ddorzhieva@pomlaw.com vshteyn@pomlaw.com

Lead Counsel

#### DEFINITIONS

All capitalized terms not otherwise defined herein shall have the same meanings as set forth in the Stipulation of Settlement, dated June 7, 2023 ("Stipulation").

#### COMMON QUESTIONS AND ANSWERS CONCERNING THE SETTLEMENT

#### 1. Why did I get this Notice?

You or someone in your family may have acquired Northern Dynasty Securities between December 21, 2017 through November 24, 2020, both dates inclusive.

#### 2. What is this lawsuit about?

The case is known as *In re Northern Dynasty Minerals Ltd. Securities Litigation*, Case No. 1:20-cv-05917-ENV-TAM (E.D.N.Y.) ("Action"). The Court in charge of the case is the United States District Court for the Eastern District of New York.

The Action involves allegations that Defendants violated certain federal securities laws by making misrepresentations or omissions of material fact concerning the size, scope, and duration of the Pebble Project, Northern Dynasty's plan to develop what Defendants deemed "one of the world's most important mineral resources." The Consolidated Amended Complaint ("Complaint") alleges that once true facts were disclosed, Northern Dynasty's share price plummeted. Defendants have denied and continue to deny each, any, and all allegations of wrongdoing, fault, liability, or damage whatsoever asserted in the Action. The Settlement shall in no event be construed as, or deemed to be evidence of, liability, fault, wrongdoing, injury, or damages, or of any wrongful conduct, acts, or omissions on the part of any of the Released Parties, or of any infirmity of any defense, or of any damages to the Plaintiffs or any other Settlement Class Member. The Settlement resolves all of the claims in the Action, as well as certain other claims or potential claims, whether known or unknown.

#### 3. Why is this a class action?

In a class action, one or more persons and/or entities, called plaintiffs, sue on behalf of all persons and/or entities who have similar claims. All of these persons and/or entities are referred to collectively as a class, and these individual persons and/or entities are known as class members. One court resolves all of the issues for all class members, except for those class members who exclude themselves from the class.

#### 4. Why is there a Settlement?

Plaintiffs and Defendants do not agree regarding the merits of Plaintiffs' allegations and Defendants' defenses with respect to liability or the average amount of damages per share, if any, that would be recoverable if Plaintiffs were to prevail at trial on each claim. The issues on which Plaintiffs and Defendants disagree include, but are not limited to: (1) whether the challenged statements were materially false or misleading or otherwise actionable under federal securities law; (2) whether the challenged statements were made with scienter; (3) whether the alleged disclosures were corrective disclosures; (4) the causes of the loss(es) in the value of Northern Dynasty securities; and (5) the amount of alleged damages, if any, that could be recovered at trial.

This matter has not gone to trial and the Court has not decided in favor of either Plaintiffs or Defendants. Instead, Plaintiffs and Defendants have agreed to settle the case. Plaintiffs and Lead Counsel believe the Settlement is best for all Settlement Class Members because of the risks associated with continued litigation and the nature of the defenses raised by Defendants. Among the reasons that Plaintiffs and Lead Counsel believe the Settlement is fair is the fact that there is uncertainty about whether they will be able to prove that any challenged statement was false or misleading, that the alleged misstatements and omissions actually caused the Settlement Class any damages, and the amount of damages, if any.

Even if Plaintiffs were to win at trial, and also prevail on any on appeal, Plaintiffs might not be able to collect some, or all, of any judgment they are awarded. Moreover, while litigation of this type is usually expensive, there is also a significant risk that, even if Plaintiffs' allegations were found to be true, the total amount of damages to which Settlement Class Members would be entitled could be substantially reduced.

#### 5. How do I know if I am part of the Settlement?

The Settlement Class consists of all Persons who purchased or otherwise acquired Northern Dynasty securities during the Settlement Class Period (i) on any stock exchanges located in the United States, (ii) on any alternative trading systems located in the United States, or (iii) pursuant to other domestic transactions, and who were allegedly damaged thereby. Excluded from the Settlement Class are (i) Individual Defendants; (ii) the officers and directors of Northern Dynasty; (iii) members of the Individual Defendants' immediate families and their legal representatives, heirs, successors or assigns; and (iv) any entity in which Individual Defendants have or had a controlling interest. Also excluded from the Settlement Class is any individual or entity, who or which has: (i) asserted claims against any or all of the Defendants in any cross-border litigation initiated outside of the United States, including in, but not limited to, the cases captioned Haddad v. Northern Dynasty Minerals Ltd. et al., Case No. VLC-S-S-2012849 and Woo v. Northern Dynasty Minerals Ltd. et al., Case No. VLC-S-S-211530 in Canada; (ii) been deemed by a court to be a member of a class in such litigation, for settlement purposes or otherwise; and (iii) is entitled to a settlement or other distribution payment – regardless of whether such payment is cashed – in connection with the resolution of the cross-border litigation. Additionally excluded from the Settlement Class are any persons and entities who or which exclude themselves by timely and validly submitting a request for exclusion from the Settlement Class that is accepted by the Court.

#### 6. I am still not sure whether I am included.

If you are still not sure whether you are included, you can ask for free help. For more information, you can contact the Claims Administrator by telephone at 888-270-9130, by email at Info@NorthernDynastySecuritiesSettlement.com, or visit the website at www.NorthernDynastySecuritiesSettlement.com or fill out and return the Proof of Claim and Release Form described in Paragraph 8, to see if you qualify.

#### 7. What does the Settlement provide?

#### a. What is the Settlement Fund?

The proposed Settlement provides for Defendants and/or Defendants' insurers to pay six million and three hundred and seventy-five thousand dollars (\$6,375,000) into a settlement fund. The Settlement is subject to Court approval. Also, subject to the Court's approval, a portion of the Settlement Fund will be used to pay attorneys' fees with interest and reasonable litigation expenses to Plaintiffs' Counsel, and any awards to Plaintiffs. A portion of the Settlement Fund also will be used to pay taxes due on interest earned by the Settlement Fund, if necessary, and the costs of the claims administration, including the costs of printing and mailing this Notice and the costs of publishing notice. After the foregoing deductions from the Settlement Fund have been made, the amount remaining ("Net Settlement Fund") will be distributed to Settlement Class Members who submit timely, valid claims, according to the Plan of Allocation to be approved by the Court.

#### b. What can you expect to receive under the proposed Settlement?

Your share of the Net Settlement Fund will or may depend on: (i) the number of claims filed; (ii) the dates you purchased/acquired and sold Northern Dynasty securities; (iii) the prices of your purchases and sales; (iv) the amount of administrative costs, including the costs of notice; and (v) the amount awarded by the Court to Plaintiffs' Counsel for attorneys' fees, costs, and expenses and to Plaintiffs.

The Claims Administrator will determine each Settlement Class Member's *pro rata* share of the Net Settlement Fund based upon each Settlement Class Member's valid "Recognized Loss." The Recognized Loss formula is not intended to be an estimate of the amount that a Settlement Class Member might have been able to recover after a trial; it also is not an estimate of the amount that will be paid to Settlement Class Members pursuant to the Settlement. The Recognized Loss formula is the basis upon which the Net Settlement Fund will be proportionately allocated to the Settlement Class Members with valid claims.

The Net Settlement Fund will be distributed to Settlement Class Members who submit a Proof of Claim and Release Form and whose claims for recovery are allowed by the Claims Administrator pursuant to the terms of the Settlement Stipulation or by order of the Court under the below Plan of Allocation, which reflects Plaintiffs' contention that the price of Northern Dynasty securities declined following disclosure of allegedly misrepresented or omitted material information. Defendants have denied and continue to deny these allegations and any and all allegations of wrongdoing, fault, liability, or damage whatsoever asserted in the Action.

#### PROPOSED PLAN OF ALLOCATION OF THE NET SETTLEMENT FUND AMONG SETTLEMENT CLASS MEMBERS

A. The objective of the Plan of Allocation is to equitably distribute the Net Settlement Fund among Authorized Claimants based on their respective alleged economic losses as a result of the alleged misstatements and omissions, as opposed to losses caused by market- or industry-wide factors, or company-specific factors unrelated to the alleged fraud. The Claims Administrator shall determine each Authorized Claimant's share of the Net Settlement Fund based upon the recognized loss formula ("Recognized Loss") described below.

B. A Recognized Loss will be calculated for each share of Northern Dynasty common stock purchased or otherwise acquired during the Settlement Class Period on a U.S. stock exchange or in a transaction in the U.S.<sup>1</sup> The calculation of Recognized Loss will depend upon several factors, including when the Northern Dynasty common stock was purchased or otherwise acquired during the Settlement Class Period, and in what amounts, and whether such stock was sold, and if sold, when it was sold, and for what amounts. The Recognized Loss is not intended to estimate the amount a Settlement Class Member might have been able to recover after a trial, nor to estimate the amount that will be paid to Authorized Claimants pursuant to the Settlement. The Recognized Loss is the basis upon which the Net Settlement Fund will be proportionately allocated to the Authorized Claimants. The Claims Administrator will use its best efforts to administer and distribute the Net Settlement Fund to the extent that it is equitably and economically feasible.

C. The Plan of Allocation was created with the assistance of a consulting damages expert and reflects the assumption that the price of Northern Dynasty common stock was artificially inflated throughout the Settlement Class Period. The estimated alleged artificial inflation in the price of Northern Dynasty common stock during the Settlement Class Period is reflected in Table 1 below. The computation of the estimated alleged artificial inflation stock during the Settlement Class Period is reflected by Plaintiffs and the price change in the stock, net of market- and industry-wide factors, in reaction to the public announcements that allegedly corrected the misrepresentations alleged by Plaintiffs.

D. The U.S. federal securities laws allow investors to recover for losses caused by allegedly misleading statements or omissions. Thus, in order to have recoverable damages, the corrective disclosure of the allegedly misrepresented information must be the cause of the decline in the price or value of Northern Dynasty common stock. In this Action, Plaintiffs allege that Defendants made false or misleading statements and/or omitted material facts during the Settlement Class Period, which had the purported effect of artificially inflating the price of Northern Dynasty common stock. Plaintiffs further allege that corrective disclosures removed artificial inflation from the price of Northern Dynasty common stock on the following dates: August 24, 2020; August 25, 2020; September 23, 2020; October 28, 2020; October 30, 2020; November 18, 2020; and November 25, 2020 (the "Corrective Disclosure Dates"). Thus, in order for a Settlement Class Member to have a Recognized Loss under the Plan of Allocation, Northern Dynasty common stock must have been purchased or acquired during the Settlement Class Period and held through at least one of the Corrective Disclosure Dates.

<sup>&</sup>lt;sup>1</sup> This includes purchases of Northern Dynasty common stock executed on a U.S. stock exchange or U.S. alternative trading system. During the Settlement Class Period, Northern Dynasty common stock was dual-listed on the NYSE American Exchange and the Toronto Stock Exchange ("TSX") under the ticker symbol "NAK" and "NDM," respectively. Purchases of Northern Dynasty common stock on a non-U.S. stock exchange, including the TSX, are not included in the Settlement.

Table 1           Artificial Inflation in Northern Dynasty Common Stock*								
From	То	Per-Share Price Inflation						
December 21, 2017	August 23, 2020	\$1.46						
August 24, 2020	August 24, 2020	\$0.90						
August 25, 2020	September 22, 2020	\$0.61						
September 23, 2020	October 27, 2020	\$0.54						
October 28, 2020	October 29, 2020	\$0.50						
October 30, 2020	November 17, 2020	\$0.45						
November 18, 2020	November 24, 2020	\$0.40						
November 25, 2020	Thereafter	\$0.00						

\* For each day during the Settlement Class Period, per-share price inflation shall not exceed the closing price of Northern Dynasty common stock that day.

E. The "90-day look back" provision of the Private Securities Litigation Reform Act of 1995 ("PSLRA") is incorporated into the calculation of the Recognized Loss for Northern Dynasty common stock. The limitations on the calculation of the Recognized Loss imposed by the PSLRA are applied such that losses on Northern Dynasty common stock purchased during the Settlement Class Period and held as of the close of the 90-day period subsequent to the Settlement Class Period (the "90-Day Lookback Period") cannot exceed the difference between the purchase price paid for such stock and its average price during the Settlement Class Period and sold during the 90-Day Lookback Period cannot exceed the difference between the purchase price paid cannot exceed the difference between the purchase price paid for such stock and its average between the purchase price paid for such stock period cannot exceed the difference between the purchase price during the 90-Day Lookback Period and sold during the 90-Day Lookback Period cannot exceed the difference between the purchase price during the portion of the 90-Day Lookback Period elapsed as of the date of sale.

F. In the calculations below, all purchase and sale prices shall exclude any fees, taxes and commissions. If a Recognized Loss amount is calculated to be a negative number, that Recognized Loss shall be set to zero. Any transactions in Northern Dynasty common stock executed outside of regular trading hours for the U.S. financial markets shall be deemed to have occurred during the next regular trading session for the U.S. financial markets.

G. A Recognized Loss will be calculated as set forth below for each purchase or acquisition of Northern Dynasty common stock during the Settlement Class Period that is listed in the Claim Form and for which adequate documentation is provided.

#### **Per-Share Recognized Loss Calculation**

H. For each share of Northern Dynasty common stock purchased or otherwise acquired during the Settlement Class Period (*i.e.*, December 21, 2017 through November 24, 2020, inclusive), the Recognized Loss per share shall be calculated as follows:

- i. For each share of Northern Dynasty common stock sold prior to August 24, 2020, the Recognized Loss Per share is \$0.
- ii. For each share of Northern Dynasty common stock sold during the period August 24, 2020 through November 24, 2020, inclusive, the Recognized Loss per share is the price inflation on the date of purchase/acquisition as provided in Table 1 above, *minus* the price inflation on the date of sale as provided in Table 1 above.
- iii. For each share of Northern Dynasty common stock sold during the period November 25, 2020 through February 22, 2021, inclusive (*i.e.*, sold during the 90-Day Lookback Period), the Recognized Loss per share is *the lesser of*:
  - a) price inflation on the date of purchase/acquisition as provided in Table 1 above; or
  - b) the purchase/acquisition price *minus* the "90-Day Lookback Value" on the date of sale provided in Table 2 below.

- iv. For each share of Northern Dynasty common stock that was still held as of the close of trading on February 22, 2021, the Recognized Loss per share is *the lesser of*:
  - a) price inflation on the date of purchase/acquisition as provided in Table 1 above; or
  - b) the purchase/acquisition price *minus* the average closing price for Northern Dynasty common stock during the 90-Day Lookback Period, which is \$0.50.

			le 2 kback Value		
Sale/ Disposition Date	90-Day Lookback Value	Sale/ Disposition Date	90-Day Lookback Value	Sale/ Disposition Date	90-Day Lookback Value
11/25/2020	\$0.40	12/24/2020	\$0.35	1/26/2021	\$0.39
11/27/2020	\$0.39	12/28/2020	\$0.35	1/27/2021	\$0.40
11/30/2020	\$0.38	12/29/2020	\$0.34	1/28/2021	\$0.40
12/1/2020	\$0.38	12/30/2020	\$0.34	1/29/2021	\$0.40
12/2/2020	\$0.37	12/31/2020	\$0.34	2/1/2021	\$0.41
12/3/2020	\$0.37	1/4/2021	\$0.34	2/2/2021	\$0.42
12/4/2020	\$0.37	1/5/2021	\$0.35	2/3/2021	\$0.42
12/7/2020	\$0.37	1/6/2021	\$0.35	2/4/2021	\$0.42
12/8/2020	\$0.37	1/7/2021	\$0.35	2/5/2021	\$0.43
12/9/2020	\$0.36	1/8/2021	\$0.35	2/8/2021	\$0.43
12/10/2020	\$0.36	1/11/2021	\$0.35	2/9/2021	\$0.44
12/11/2020	\$0.36	1/12/2021	\$0.36	2/10/2021	\$0.45
12/14/2020	\$0.36	1/13/2021	\$0.36	2/11/2021	\$0.46
12/15/2020	\$0.35	1/14/2021	\$0.37	2/12/2021	\$0.47
12/16/2020	\$0.35	1/15/2021	\$0.37	2/16/2021	\$0.48
12/17/2020	\$0.35	1/19/2021	\$0.38	2/17/2021	\$0.48
12/18/2020	\$0.35	1/20/2021	\$0.38	2/18/2021	\$0.49
12/21/2020	\$0.35	1/21/2021	\$0.38	2/19/2021	\$0.49
12/22/2020	\$0.35	1/22/2021	\$0.39	2/22/2021	\$0.50
12/23/2020	\$0.35	1/25/2021	\$0.39	N/A	N/A

#### INSTRUCTIONS APPLICABLE TO ALL CLAIMANTS

I. The payment you receive will reflect your proportionate share of the Net Settlement Fund. Such payment will depend on the number of eligible shares that participate in the Settlement, and when those shares were purchased/acquired and sold. The number of claimants who send in claims varies widely from case to case.

J. A purchase or sale of Northern Dynasty common stock shall be deemed to have occurred on the "contract" or "trade" date as opposed to the "settlement" or "payment" date.

K. Acquisition by Gift, Inheritance, or Operation of Law: If a Settlement Class Member acquired Northern Dynasty common stock during the Settlement Class Period by way of gift, inheritance or operation of law, such a claim will be computed by using the date and price of the original purchase and not the date and price of transfer. To the extent that Northern Dynasty common stock was originally purchased prior to commencement of the Settlement Class Period, the Recognized Loss for that acquisition shall be deemed to be zero (\$0.00).

L. Notwithstanding any of the above, receipt of Northern Dynasty common stock during the Settlement Class Period in exchange for securities of any other corporation or entity shall not be deemed a purchase or sale of Northern Dynasty common stock.

M. The first-in-first-out ("FIFO") basis will be applied to purchases and sales. Sales will be matched in chronological order, by trade date, first against Northern Dynasty common stock held as of the close of trading on December 20, 2017 (the last trading day before the Settlement Class Period begins) and then against the purchases of Northern Dynasty common stock during the Settlement Class Period.

N. The date of covering a "short sale" is deemed to be the date of purchase of shares. The date of a "short sale" is deemed to be the date of sale of shares. In accordance with the Plan of Allocation, however, the Recognized Loss on "short sales" is zero. In the event that a claimant has an opening short position in Northern Dynasty common stock, the earliest Settlement Class Period purchases shall be matched against such opening short position and not be entitled to a recovery until that short position is fully covered.

O. Option contracts are not securities eligible to participate in the Settlement. With respect to Northern Dynasty common stock purchased through the exercise of a call or put option,<sup>2</sup> the purchase date of Northern Dynasty common stock shall be the exercise date of the option and the purchase price shall be the strike price of the option. Any Recognized Loss arising from purchases of Northern Dynasty common stock acquired during the Settlement Class Period through the exercise of an option on Northern Dynasty common stock shall be computed as provided for other purchases of Northern Dynasty common stock in the Plan of Allocation.

P. Payment according to the Plan of Allocation will be deemed conclusive against all Authorized Claimants. A Recognized Loss will be calculated as defined herein and cannot be less than zero. The Claims Administrator shall allocate to each Authorized Claimant a *pro rata* share of the Net Settlement Fund based on his, her, or its Recognized Loss as compared to the total Recognized Losses of all Authorized Claimants. No distribution will be made to Authorized Claimants who would otherwise receive a distribution of less than \$10.00.

Q. Settlement Class Members who do not submit an acceptable Claim Form will not share in the Settlement proceeds. The Stipulation and the Final Judgment dismissing this Action will nevertheless bind Settlement Class Members who do not submit a valid and timely request for exclusion and/or do not submit an acceptable Proof of Claim.

R. Please contact the Claims Administrator or Lead Counsel if you disagree with any determinations made by the Claims Administrator regarding your Proof of Claim. If you are unsatisfied with the determinations, you may ask the Court, which retains jurisdiction over all Settlement Class Members and the claims-administration process, to decide the issue by submitting a written request.

S. Defendants, their Defense Counsel, the Insurers, and all other Released Defendant Parties will have no responsibility or liability whatsoever for the investment of the Settlement Fund, the distribution of the Net Settlement Fund, the Plan of Allocation, or the payment of any claim. Plaintiffs and Lead Counsel likewise will have no liability for their reasonable efforts to execute, administer, and distribute the Settlement.

T. Distributions will be made to Authorized Claimants after all claims have been processed and after the Court has finally approved the Settlement. If any funds remain in the Net Settlement Fund by reason of uncashed distribution checks or otherwise, then, after the Claims Administrator has made reasonable and diligent efforts to have Settlement Class Members who are entitled to participate in the distribution of the Net Settlement Fund cash their distributions, any balance remaining in the Net Settlement Fund after at least six (6) months after the initial distribution of such funds will be used in the following fashion: (i) first, to pay any amounts mistakenly omitted from the initial disbursement; (ii) second, to pay any additional settlement administration fees, costs, and expenses, including those of Lead Counsel as may be approved by the Court; and (iii) finally, to make a second distribution to claimants who cashed their checks from the initial distribution and who would receive at least \$10.00, after payment of the estimated costs, expenses, or fees to be incurred in administering the Net Settlement Fund and in making this second distribution, if such second distribution is economically feasible. These redistributions shall be repeated, if economically feasible, until the balance remaining in the Net Settlement Fund is *de minimis* and such remaining balance will then be distributed to a non-sectarian, not-for-profit organization identified by Lead Counsel.

#### 8. How can I get a payment?

To qualify for a payment, you must send in a form entitled "Proof of Claim and Release Form." This Proof of Claim and Release Form is attached to this Notice. You may also obtain a Proof of Claim and Release Form on the Internet at www.NorthernDynastySecuritiesSettlement.com. Read the instructions carefully, fill out

<sup>&</sup>lt;sup>2</sup> Including (1) purchases of Northern Dynasty common stock as the result of the exercise of a call option, and (2) purchases of Northern Dynasty common stock by the seller of a put option as a result of the buyer of such put option exercising that put option.

the form, and sign it in the location indicated. The Proof of Claim and Release Form may be completed in two ways: (1) by completing and submitting it electronically at www.NorthernDynastySecuritiesSettlement.com by 11:59 p.m. EST on December 14, 2023; or (2) by mailing the claim form together with all documentation requested in the form, postmarked no later than December 14, 2023, to:

Northern Dynasty Securities Settlement c/o Epiq Class Action & Claims Solutions, Inc. PO Box 4990 Portland, OR 97208-4990

The Claims Administrator will process your claim and determine whether you are an Authorized Claimant.

#### 9. What am I giving up to get a payment or stay in the Class?

Unless you exclude yourself from the Settlement Class by the November 16, 2023 deadline, you will remain a member of the Settlement Class and will be bound by the release of claims against Defendants and other Released Defendant Parties if the Settlement is approved. That means you and all other Settlement Class Members and each of their respective parent entities, associates, affiliates, subsidiaries, predecessors, successors, assigns, attorneys, immediate family members, heirs, representatives, administrators, executors, devisees, legatees, and estates will release (agreeing never to sue, continue to sue, or be part of any other lawsuit) as against Defendants and other Released Defendant Parties any and all claims which arise out of, are based upon, or relate in any way to the purchase or acquisition of Northern Dynasty securities during the Settlement Class Period. It means that all of the Court's orders will apply to you and legally bind you. That means you will accept a share of the Net Settlement Fund as sole compensation for any losses you suffered in the purchase, acquisitions, sale, or ownership of Northern Dynasty securities during the Settlement Class Period. The specific terms of the release are included in the Stipulation.

#### 10. How do I get out of the Settlement?

If you do not want to receive a payment from this Settlement, and you want to keep any right you may have to sue or continue to sue Defendants or other Released Defendant Parties on your own about the claims being released in this Settlement, then you must take steps to exclude yourself from the Settlement. To exclude yourself from the Settlement, you must mail a letter that (A) clearly indicates your name, address, phone number, and e-mail contact information (if any) and states that you "request to be excluded from the Settlement Class in *In re Northern Dynasty Minerals Ltd. Securities Litigation*, Case No. 1:20-cv-05917-ENV-TAM (E.D.N.Y.)", and (B) state the identity and number of Northern Dynasty securities that you purchase/acquisition and sale, and the number of securities held at the beginning of the Settlement Class Period. In order to be valid, such request for exclusion must be submitted with documentary proof (i) of each purchase/acquisition and, if applicable, sale transaction of Northern Dynasty securities during the Settlement Class Period and (ii) demonstrating your status as a beneficial owner of the Northern Dynasty securities. Any such request for exclusion must be signed and submitted by you, as the beneficial owner, under penalty of perjury. You must mail your exclusion request, to be received no later than November 16, 2023, to the Claims Administrator at the following address:

Northern Dynasty Securities Settlement c/o Epiq Class Action & Claims Solutions, Inc. PO Box 4990 Portland, OR 97208-4990

You cannot exclude yourself by telephone or by e-mail.

If you properly exclude yourself, you will not receive a payment from the Net Settlement Fund, you cannot object to the Settlement, and you will not be legally bound by the judgment in this case.

### 11. If I do not exclude myself, can I sue Defendants or the other Released Defendant Parties for the same thing later?

No. Unless you followed the procedure outlined in the Notice to exclude yourself, you give up any right to sue Defendants or other Released Defendant Parties for the claims being released in this Settlement. If you have a pending lawsuit related to any Released Claims, speak to your lawyer in that case immediately, because you must exclude yourself from this Settlement Class to continue your own lawsuit.

#### 12. Do I have a lawyer in this case?

The Court appointed Pomerantz LLP as Lead Counsel for the Class to represent you and the other Settlement Class Members. If you want to be represented by your own lawyer, you may hire one at your own expense. Contact information for Lead Counsel is provided below.

#### 13. How will the lawyers be paid?

Plaintiffs' Counsel have expended considerable time litigating this Action on a contingent fee basis, and have paid for the expenses of the case themselves. They have not been paid attorneys' fees or reimbursed for their expenses in advance of this Settlement. Plaintiffs' Counsel have done so with the expectation that, if they are successful in recovering money for the Settlement Class, they will receive attorneys' fees and be reimbursed for their litigation expenses from the Settlement Fund, as is customary in this type of litigation. Plaintiffs' Counsel will not receive attorneys' fees or be reimbursed for their litigation expenses except from the Settlement Fund. Therefore, Lead Counsel will file a motion asking the Court at the Settlement Hearing to make an award of attorneys' fees to Plaintiffs' Counsel in an amount not to exceed one third plus interest of the Settlement Amount (\$2,125,000, plus interest), reimbursement of litigation expenses of no more than \$80,000 and awards to Plaintiffs collectively not to exceed \$25,000 (up to \$20,000 for Lead Plaintiff Lawrence Kelemen and \$5,000 for Named Plaintiff Charles Hymowitz). The Court may award less than these amounts. Any amounts awarded by the Court will come out of the Settlement Fund. Lead Counsel may choose to share part of any attorneys' fees awarded by the Court with Bronstein, Gewirtz & Grossman, LLC, in accordance with the level of its respective work and responsibility in the prosecution of the Action. Berger Montague PC will receive a nominal amount of attorneys' fees in accordance with their contribution to the case and the remainder of any attorneys' fees awarded by the Court will be divided pursuant to fee sharing agreements as follows: Pomerantz (95%); Bronstein, Gewirtz & Grossman, LLC (5%), in accordance with Bronstein, Gewirtz & Grossman, LLC's level of contribution to the Action. The choice of Lead Counsel to share any of the attorneys' fees awarded by the Court is not subject to Court approval, and it will not influence the amount of attorneys' fees awarded by the Court.

#### 14. How do I tell the Court that I do not like the Settlement?

You can tell the Court you do not agree with the Settlement, any part of the Settlement, Lead Coursel's motion for attorneys' fees and expenses and application for awards to Plaintiffs, and that you think the Court should not approve the Settlement, by mailing a letter stating that you object to the Settlement in the matter of In re Northern Dynasty Minerals Ltd. Securities Litigation, Case No. 1:20-cv-05917-ENV-TAM (E.D.N.Y.). Be sure to include (1) your name, address, and telephone number, (2) a list of all purchases/acquisitions and sales of Northern Dynasty securities during the Settlement Class Period in order to show membership in the Settlement Class, (3) all grounds for the objection, including any legal support known to you or your counsel, (4) the name, address, and telephone number of all counsel, if any, who represent you, including your former or current counsel who may be entitled to compensation in connection with the objection, and (5) the number of times you and/or your counsel has filed an objection to a class action settlement in the last five years, the nature of each such objection in each case, the jurisdiction in each case, and the name of the issuer of the security or seller of the product or service at issue in each case. Attendance at the Settlement Hearing is not necessary. Objectors wishing to be heard orally at the Settlement Hearing are required to indicate in their written objection (or in a separate writing that is submitted in accordance with the deadline and after instruction pertinent to the submission of a written objection) that they intend to appear at the Settlement Hearing and identify any witnesses they may call to testify or exhibits they intend to introduce into evidence at the Settlement Hearing. Be sure to serve copies of any objections, papers, and briefs to each of the addresses listed below, to be received no later than November 16, 2023:

Clerk of the Court:	PLAINTIFFS' COUNSEL:	DEFENDANTS' COUNSEL:
United States District Court	Jeremy A. Lieberman, Esq.	Ashwin J. Ram, Esq.
Eastern District of New York	POMERANTZ LLP	STEPTOE & JOHNSON LLP
225 Cadman Plaza East	600 Third Avenue, 20 <sup>th</sup> Floor	633 W. 5th Street, Ste. 1900
Brooklyn, New York 11201	New York, New York 10016	Los Angeles, CA 90071

#### 15. What is the difference between objecting and requesting exclusion?

Objecting is simply telling the Court you do not like something about the Settlement or some portion thereof. You can object only if you stay in the Settlement Class. Requesting exclusion is telling the Court you do not want to be part of the Settlement Class and Settlement. If you exclude yourself, you cannot object to the Settlement because it no longer concerns you. If you stay in the Settlement Class and object, but your objection is overruled, you will not be allowed a second opportunity to exclude yourself.

#### 16. When and where will the Court decide whether to approve the Settlement?

The Court will hold a Settlement Hearing on December 7, 2023, at 10:30 a.m., at the United States District Court, Eastern District of New York, Courtroom 324 North, 225 Cadman Plaza East Brooklyn, New York 11201. The Court reserves the right to hold the Settlement Hearing telephonically or by other virtual means. In the event the Court decides to hold the Settlement Hearing telephonically or by other virtual means, Lead Counsel will cause the Claims Administrator to update its website, on the page dedicated to this Settlement, to note the telephonic or other virtual means for the Settlement Hearing. The Court appointed Pomerantz LLP as Lead Counsel to represent you and the other Settlement Class Members. However, you have the right to retain your own counsel and the right to appear at the Settlement Hearing through counsel of your choosing.

At this hearing, the Court will consider whether the Settlement is fair, reasonable, and adequate and whether to approve the Settlement. If there are objections, the Court will consider them, and the Court will listen to people who have asked to speak at the hearing. The Court may also decide how much to pay Plaintiffs' Counsel for attorneys' fees and expenses and how much to award Plaintiffs.

#### 17. Do I have to come to the hearing?

No. Lead Counsel will answer any questions the Court may have. However, you are welcome to attend at your own expense. If you send an objection, you do not have to come to Court to talk about it. As long as you mail your written objection on time, the Court will consider it.

#### 18. What happens if I do nothing at all?

If you do nothing, you will not receive a payment from the Settlement. However, unless you exclude yourself, you will not be able to start a lawsuit, continue with a lawsuit, or be part of any other lawsuit against Defendants or the Released Defendant Parties about the Released Claims (as defined in the Settlement Stipulation) ever again.

#### SPECIAL NOTICE TO SECURITIES BROKERS AND OTHER NOMINEES

If, between December 21, 2017 through November 24, 2020, both dates inclusive, you purchased, otherwise acquired, or sold Northern Dynasty securities for the beneficial interest of a person or entity other than yourself, the Court has directed that, WITHIN TEN (10) DAYS OF YOUR RECEIPT OF THIS NOTICE, you either (a) provide to the Claims Administrator the name, last known address, and email address, if an email address is available, of each person or entity for whom or which you purchased, otherwise acquired, or sold such Northern Dynasty securities during such time period; (b) request an electronic copy of the Summary Notice and email the Summary Notice in electronic format to each beneficial owner for whom you are nominee or custodian within ten (10) days after receipt thereof; or (c) request additional copies of the Postcard Notice, which will be provided to you free of charge, and within ten (10) days mail the Postcard Notice directly to the beneficial owners of the Northern Dynasty securities. If you choose to follow alternative procedures (b) or (c), the Court has directed that, upon such mailing or emailing, you send a statement to the Claims Administrator confirming that the mailing or emailing was made as directed. You are entitled to reimbursement from the Settlement Fund of your reasonable out-of-pocket expenses actually incurred in connection with the foregoing, up to a maximum of \$0.05 plus postage at the rate used by the Claims Administrator per Postcard Notice mailed, \$0.05 per Summary Notice emailed, or \$0.05 per name and address provided to the Claims Administrator. Those expenses will be paid upon request and submission of appropriate supporting documentation. All communications regarding the foregoing should be addressed to the Claims Administrator at the address listed on page 2 above.

DATED: August 24, 2023

BY ORDER OF THE UNITED STATES DISTRICT COURT FOR THE EASTERN DISTRICT OF NEW YORK

#### PROOF OF CLAIM AND RELEASE FORM

#### Deadline for Submission: December 14, 2023

If you purchased or otherwise acquired Northern Dynasty Minerals Ltd. ("Northern Dynasty") securities during the period from December 21, 2017 through November 24, 2020, both dates inclusive ("Settlement Class Period"), (i) on any stock exchanges located in the United States, (ii) on any alternative trading systems located in the United States, or (iii) pursuant to other domestic transactions, you are a "Settlement Class Member" and you may be entitled to share in the settlement proceeds.

Excluded from the Settlement Class are (i) the Individual Defendants; (ii) the officers and directors of Northern Dynasty; (iii) members of the Individual Defendants' immediate families and their legal representatives, heirs, successors or assigns; and (iv) any entity in which Individual Defendants have or had a controlling interest. Also excluded from the Settlement Class is any individual or entity, who or which has: (i) asserted claims against any or all of the Defendants in any cross-border litigation initiated outside of the United States, including in, but not limited to, the cases captioned *Haddad v. Northern Dynasty Minerals Ltd. et al.*, Case No. VLC-S-S-2012849 and *Woo v. Northern Dynasty Minerals Ltd. et al.*, Case No. VLC-S-S-2012849 and *Woo v. Northern Dynasty Minerals Ltd. et al.*, Case No. VLC-S-S-211530 in Canada; (ii) been deemed by a court to be a member of a class in such litigation, for settlement purposes or otherwise; and (iii) is entitled to a settlement or other distribution payment – regardless of whether such payment is cashed – in connection with the resolution of the cross-border litigation. Additionally excluded from the Settlement Class are any persons and entities who or which exclude themselves by timely and validly submitting a request for exclusion from the Settlement Class that is accepted by the Court.

If you are a Settlement Class Member, you must complete and submit this form in order to be eligible for any settlement benefits.

You must complete and sign this proof of claim and release form ("Proof of Claim And Release Form"). You can complete and submit the electronic version of this Proof of Claim And Release Form by 11:59 p.m. EST on December 14, 2023 at www.NorthernDynastySecuritiesSettlement.com or mail this Proof of Claim and Release Form by first class mail, postmarked no later than December 14, 2023 to Epiq Class Action & Claims Solutions, Inc., the Claims Administrator, at the following address:

Northern Dynasty Securities Settlement c/o Epiq Class Action & Claims Solutions, Inc. PO Box 4990 Portland, OR 97208-4990

YOUR FAILURE TO SUBMIT YOUR CLAIM BY DECEMBER 14, 2023 WILL SUBJECT YOUR CLAIM TO REJECTION AND PRECLUDE YOU FROM RECEIVING ANY MONEY IN CONNECTION WITH THE SETTLEMENT OF THIS ACTION. DO NOT MAIL OR DELIVER YOUR CLAIM TO THE COURT OR TO ANY OF THE PARTIES OR THEIR COUNSEL AS ANY SUCH CLAIM WILL BE DEEMED NOT TO HAVE BEEN SUBMITTED. SUBMIT YOUR CLAIM ONLY TO THE CLAIMS ADMINISTRATOR.

IF YOU ARE A SETTLEMENT CLASS MEMBER AND DO NOT SUBMIT A PROPER PROOF OF CLAIM AND RELEASE FORM, YOU WILL NOT SHARE IN THE SETTLEMENT BUT YOU NEVERTHELESS WILL BE BOUND BY THE ORDER AND FINAL JUDGMENT OF THE COURT UNLESS YOU EXCLUDE YOURSELF.

SUBMISSION OF A PROOF OF CLAIM DOES NOT ASSURE THAT YOU WILL SHARE IN THE PROCEEDS OF THE SETTLEMENT.

#### **CLAIMANT'S STATEMENT**

- 1. I (we) purchased or otherwise acquired Northern Dynasty Minerals Ltd. ("Northern Dynasty") securities during the Settlement Class Period. (Do not submit this Proof of Claim and Release Form if you did not purchase or otherwise acquire Northern Dynasty securities during the Settlement Class Period.)
- 2. By submitting this Proof of Claim and Release Form, I (we) state that I (we) believe in good faith that I am (we are) a Settlement Class Member(s) as defined above and in the Notice of Pendency and Proposed Settlement of Class Action ("Notice"), or am (are) acting for such Person(s); that I am (we are) not a Defendant in the Action or anyone excluded from the Settlement Class; that I (we) have read and understand the Notice; that I (we) believe that I am (we are) entitled to receive a share of the Net Settlement Fund, as defined in the Notice; that I (we) elect to participate in the proposed Settlement described in the Notice; and that I (we) have not filed a request for exclusion. (If you are acting in a representative capacity on behalf of a Settlement Class Member (*e.g.*, as an executor, administrator, trustee, or other representative), you must submit evidence of your current authority to act on behalf of that Settlement Class Member. Such evidence would include, for example, letters testamentary, letters of administration, or a copy of the trust documents.)
- 3. I (we) consent to the jurisdiction of the Court with respect to all questions concerning the validity of this Proof of Claim and Release Form. I (we) understand and agree that my (our) claim may be subject to investigation and discovery under the Federal Rules of Civil Procedure, provided that such investigation and discovery shall be limited to my (our) status as a Settlement Class Member(s) and the validity and amount of my (our) claim. No discovery shall be allowed on the merits of the Action or Settlement in connection with processing of the Proof of Claim and Release Form.
- 4. I (we) have set forth where requested below all relevant information with respect to each purchase or acquisition of Northern Dynasty securities during the Settlement Class Period, and each sale, if any, of such stock. I (we) agree to furnish additional information to the Claims Administrator to support this claim if requested to do so.
- 5. I (we) have enclosed photocopies of the stockbroker's confirmation slips, stockbroker's statements, or other documents evidencing each purchase/acquisition and sale of Northern Dynasty securities listed below in support of my (our) claim. (IF ANY SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN A COPY OR EQUIVALENT DOCUMENTS FROM YOUR BROKER OR TAX ADVISOR BECAUSE THESE DOCUMENTS ARE NECESSARY TO PROVE AND PROCESS YOUR CLAIM.)
- 6. I (we) understand that the information contained in this Proof of Claim and Release Form is subject to such verification as the Claims Administrator may request or as the Court may direct, and I (we) agree to cooperate in any such verification. (The information requested herein is designed to provide the minimum amount of information necessary to process most simple claims. The Claims Administrator may request additional information as required to efficiently and reliably calculate your recognized claim. In some cases, the Claims Administrator may condition acceptance of the claim based upon the production of additional information, including, where applicable, information concerning transactions in any derivatives securities such as options.)
- 7. Upon the occurrence of the Court's approval of the Settlement, as detailed in the Notice, I (we) agree and acknowledge that my (our) signature(s) hereto shall effect and constitute a full and complete release, remise, and discharge by me (us) and my (our) heirs, joint tenants, tenants in common, beneficiaries, executors, administrators, predecessors, successors, attorneys, insurers, and assigns (or, if I am (we are) submitting this Proof of Claim and Release Form on behalf of a corporation, a partnership, estate, or one or more other Persons, by it, him, her, or them, and by its, his, her, or their heirs, executors, administrators, predecessors, successors, and assigns) of each of the "Released Defendant Parties" of all "Released Plaintiffs' Claims," as those terms are defined in the Stipulation.
- 8. Upon the occurrence of the Court's approval of the Settlement, as detailed in the Notice, I (we) agree and acknowledge that my (our) signature(s) hereto shall effect and constitute a covenant by me (us) and my (our) heirs, joint tenants, tenants in common, beneficiaries, executors, administrators, predecessors, successors, attorneys, insurers, and assigns (or, if I am (we are) submitting this Proof of Claim and Release Form on behalf of a corporation, a partnership, estate, or one or more other Persons, by it, him, her, or them, and by its, his, her, or their heirs, executors, administrators, predecessors, successors, and assigns) to permanently refrain from prosecuting or attempting to prosecute any Released Plaintiffs' Claims against any of the Released Defendant Parties.
- 9. "Released Defendant Parties" has the meaning laid out in the Stipulation.

- 10. "Released Plaintiffs' Claims" has the meaning laid out in the Stipulation.
- 11. "Unknown Claims" has the meaning laid out in the Stipulation.
- 12. I (we) acknowledge that the inclusion of "Unknown Claims" in the definition of claims released pursuant to the Settlement Stipulation was separately bargained for and is a material element of the Settlement of which this release is a part.
- 13. NOTICE REGARDING INSTITUTIONAL FILERS: Representatives with authority to file on behalf of (a) accounts of multiple Settlement Class Members and/or (b) institutional accounts with large numbers of transactions ("Representative Filers") must submit information regarding their transactions in an electronic spreadsheet format. If you are a Representative Filer, you must contact the Claims Administrator at Info@NorthernDynastySecuritiesSettlement.com or visit their website at www.NorthernDynastySecuritiesSettlement.com to obtain the required file layout. Claims which are not submitted in electronic spreadsheet format and in accordance with the Claims Administrator's instructions may be subject to rejection. All Representative Filers MUST also submit a manually signed Proof of Claim and Release Form, as well as proof of authority to file (see Item 2 of the Claimant's Statement), along with the electronic spreadsheet format. No claims submitted in electronic spreadsheet format a written acknowledgment of receipt and acceptance of electronically submitted data.
- 14. NOTICE REGARDING ONLINE FILING: Claimants who are not Representative Filers may submit their claims online using the electronic version of the Proof of Claim and Release Form hosted at www.NorthernDynastySecuritiesSettlement.com. If you are not acting as a Representative Filer, you do not need to contact the Claims Administrator prior to filing; you will receive an automated e-mail confirming receipt once your Proof of Claim and Release Form has been submitted. If you are unsure if you should submit your claim as a Representative Filer, please contact the Claims Administrator at Info@NorthernDynastySecuritiesSettlement.com or 888-270-9130. If you are not a Representative Filer, but your claim contains a large number of transactions, the Claims Administrator may request that you also submit an electronic spreadsheet showing your transactions to accompany your Proof of Claim and Release Form.

#### I. CLAIMANT INFORMATION

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#### II. SCHEDULE OF TRANSACTIONS IN NORTHERN DYNASTY MINERALS LTD. SECURITIES

#### **Beginning Holdings:**

A. State the total number of shares of Northern Dynasty common stock held at the close of trading on December 20, 2017 (*must be documented*). If none, write "zero" or "0."

#### **Purchases/Acquisitions:**

B. Separately list each and every purchase or acquisition of Northern Dynasty common stock between December 21, 2017 through February 22, 2021, both dates inclusive, and provide the following information (*must be documented*):

Trade Date (List Chronologically) (Month/Day/Year)	Number of Shares Purchased/Acquired	Price per Share	Total Cost (Excluding Commissions, Taxes, and Fees)
			•
			•

#### Sales:

C. Separately list each and every sale of Northern Dynasty common stock between December 21, 2017 through February 22, 2021, both dates inclusive, and provide the following information (*must be documented*):

Trade Date (List Chronologically) (Month/Day/Year)	Number of Shares Sold	Price per Share	Amount Received (Excluding Commissions, Taxes, and Fees)
	•		
	•	•	•

#### **Ending Holdings:**

D. State the total number of shares of Northern Dynasty common stock held at the close of trading on February 22, 2021 (*must be documented*). If none, write "zero" or "0."

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If additional space is needed, attach separate, numbered sheets, giving all required information, substantially in the same format, and print your name and Social Security or Taxpayer Identification number at the top of each sheet.

#### **III. SUBSTITUTE FORM W-9**

Request for Taxpayer Identification Number:

Enter taxpayer identification number below for the Beneficial Owner(s). For most individuals, this is your Social Security Number. The Internal Revenue Service ("I.R.S.") requires such taxpayer identification number. If you fail to provide this information, your claim may be rejected.

Social Security Number (for individuals)		Taxpayer Identification Number (for estates, trusts, corporations, etc.)
	OR	

#### **IV. CERTIFICATION**

I (we) submit this Proof of Claim and Release Form under the terms of the Stipulation of Settlement described in the Notice. I (we) also submit to the jurisdiction of the United States District Court for the Eastern District of New York, with respect to my (our) claim as a Settlement Class Member and for purposes of enforcing the release and covenant not to sue set forth herein. I (we) further acknowledge that I am (we are) bound by and subject to the terms of any judgment that may be entered in this Action. I (we) have not submitted any other claim covering the same purchases/acquisitions or sales of Northern Dynasty securities during the Settlement Class Period and know of no other Person having done so on my (our) behalf.

I (we) certify that I am (we are) NOT subject to backup withholding under the provisions of Section 3406 (a)(1)(c) of the Internal Revenue Code because: (a) I am (we are) exempt from backup withholding; or (b) I (we) have not been notified by the I.R.S. that I am (we are) subject to backup withholding as a result of a failure to report all interest or dividends; or (c) the I.R.S. has notified me (us) that I am (we are) no longer subject to backup withholding.

NOTE: If you have been notified by the I.R.S. that you are subject to backup withholding, please strike out the language that you are not subject to backup withholding in the certification above.

UNDER THE PENALTIES OF PERJURY UNDER THE LAWS OF THE UNITED STATES, I (WE) CERTIFY THAT ALL OF THE INFORMATION I (WE) PROVIDED ON THIS PROOF OF CLAIM AND RELEASE FORM IS TRUE, CORRECT, AND COMPLETE.

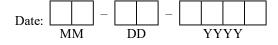
Signature of Claimant (If this claim is being made on behalf of Joint Claimants, then each must sign):

(Signature)

(Signature)

(Capacity of person(s) signing, e.g., beneficial purchaser(s), executor, administrator, trustee, etc.)

Check here if proof of authority to file is enclosed. (See Item 2 under Claimant's Statement)



## THIS PROOF OF CLAIM AND RELEASE FORM MUST BE SUBMITTED NO LATER THAN DECEMBER 14, 2023 AND MUST BE MAILED TO:

Northern Dynasty Securities Settlement c/o Epiq Class Action & Claims Solutions, Inc. PO Box 4990 Portland, OR 97208-4990

A Proof of Claim and Release Form received by the Claims Administrator shall be deemed to have been submitted when posted, if mailed by December 14, 2023 and if a postmark is indicated on the envelope and it is mailed first class and addressed in accordance with the above instructions. In all other cases, a Proof of Claim and Release Form shall be deemed to have been submitted when actually received by the Claims Administrator.

The Claims Administrator will acknowledge receipt of your Proof of Claim and Release Form by mail or e-mail within 45 days of receipt. Your claim is not deemed filed until you receive such an acknowledgement. If you do not receive an acknowledgement within 45 days, please contact the Claims Administrator by telephone toll free at 888-270-9130 or by e-mail at Info@NorthernDynastySecuritiesSettlement.com.

You should be aware that it will take a significant amount of time to process fully all of the Proof of Claim and Release Forms and to administer the Settlement. This work will be completed as promptly as time permits, given the need to investigate and tabulate each Proof of Claim and Release Form. Please notify the Claims Administrator of any change of address.

#### **REMINDER CHECKLIST**

- Please be sure to sign this Proof of Claim and Release Form on page 6. If this Proof of Claim and Release Form is submitted on behalf of joint claimants, then each claimant must sign.
- Please remember to attach supporting documents. Do NOT send any stock certificates. Keep copies of everything you submit.
- Do NOT use highlighter on the Proof of Claim and Release Form or any supporting documents.
- If you move or change your address, telephone number, or e-mail address, please submit the new information to the Claims Administrator, as well as any other information that will assist us in contacting you. NOTE: Failure to submit updated information to the Claims Administrator may result in the Claims Administrator's inability to contact you regarding issues with your claim or deliver payment to you.

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## EXHIBIT D

### **CONFIRMATION OF PUBLICATION**

#### IN THE MATTER OF: Northern Dynasty Securities Settlement

I, Kathleen Komraus, hereby certify that

(a) I am the Media & Design Manager at Epiq Class Action & Claims Solutions, a noticing administrator, and;

(b) The Notice of which the annexed is a copy was published in the following publications on the following dates:

> 9.11.2023 – Investor's Business Daily 9.11.2023 – PR Newswire

X<u>Kathleen Komraus</u> (Signature)

Media & Design Manager

(Title)

#### A12 WEEK OF SEPTEMBER 11 C 823 1:20-CV-0591 MUTUAL FUND PERFORMANCE 18 DagolD #. 2206

### Growth Funds Leading The Market

These are among 40 funds selected for their ownership of market lead-

ers, nign avera	ige Comp	osite R	atıng ar		periorii	nance	of the S	S&P500.
JPMorgan MdCp	Grol(HLGE		/01/2022 T/O I		36 Month	Perfori		ting: C+ Avg. P/E: 38
Median Mkt Cap: \$22.17 b PH: 800-480-4111	il Avg. El	PS Rating: 78			Rating: 79		Assets 09/2	023: \$2.4 bil of Stocks: 109
Mgr: Timothy Parton since Min. Investment: \$100000	0		6/2023: 1.65%		5 yr	after tax re	eturn of \$10,0	00 = \$15847
10 Largest U Shares % (As of 07/			Top Shares	New Bu	JYS Comp Rtg	To Shares	p New Se	lls <sub>Comp</sub> Rtg
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1.6M 2.09 Dexcom 1.3M 2.08 Cheniere	DXCM 98 LNG 81	33 77 67 64	857K Ros 703K ON		ROST 92 DN 85	-838K	National Clear	EYE 11 YOU 47
478K 2.07 MongoDB 1.6M 1.9 Ross 1M 1.68 CrowdStrik	MDB 82 ROST 78 CRWD 99	96 98 86 92 89 99	650K Con 642K Boo 632K IQV	z I	CFLT 92 BAH 93 OV 73	-553K	Cadence Amedisys	CDNS 96 AMED 59
1M 1.68 CrowdStrik 816K 1.68 Quanta 162.9M1.66 JPMorgan	PWR 88	93 98	632K IUV	A I	QV 73	-508K	Wolfspeed	WOLF 3
281K 1.66 HubSpot	HUBS 99	96 99						
	+48.3%							
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+28.9%			-	·26.9%				
	+	16.3%	+10.8%				+14%	+15.9%
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					-18.5%	-19.4%	6	
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16 Mo YTD 12Wk Verformance % % Rating   Fund   Chg   Chg   T For Thursday, September — А – NB Funds	5 Yr Net After Asset NAV ax Rtn  Value  Chg 7, 2023	36 Mo Performanc Rating   Fu A N-US I A Sustai American	YTD 12v           e         % %           nd           Chg   Ch           V         +16 -1           n E         +16 +4	Vk 5Yr   After A g TaxRtn V 9.	<b>20</b> Net sset NAV alue  Chg 83 -0.10 07 -0.11 B B-	<b>22</b> Mo erformance ating   Fund HilncMu IncFndAi • Intl G&I	<b>YTD 12Wk</b> % % I   <b>Chg  Chg </b> Ini +3 +0 mer +1 +0	Syr         Net           After         Asset         NAI           Tax Rtn          Value          Chy           +2         14.42         -0.04           +3         22.48         -0.01           +2         33.83         -0.16
16 Mo YTD 12Wk Hating   Fund   Chg  Chg  T For Thursday, September — — — — — — — — — — — — — — — — — — —	5 Yr Net After Asset NAV ax Rtn  Value  Chg 7, 2023	36 Mo Performanc Rating   Fu A N-US I A Sustai American \$ 22.9 bil 1 B+ Eq Inc	YTD 12V           e         % %           nd           Chg  Ch           V         +16         -1           n E         +16         +4           Century I         800-345-3533         +1	Vk 5 Yr A After A gjTax Rtnj V 9. 45. +5 8.	20 Net sset NAV alue  Chg 83 -0.10 07 -0.11 B B- E 75 0.01 A	22 Find Formance Atting   Fund HilncMu IncFndAi IntrBdF IntrBdF IntrBdF	2 YTD 12Wk % % % 1 Chg Chg  ni +3 +0 mer +1 +0 +8 -1 FndAm+1 -1 Amer+17 +4	Syr         Net           After         Asset         NAI           Tax Rtnj         Valuej         Ch           +2         14.42         -0.04           +3         22.48         -0.01           +2         33.83         -0.16           0         12.23         0.04           +7         47.89         -0.08
64 Mo         YTD 12Wk           Verformance         % %           Variantian         Long Long 1           For Thursday, September	5 Yr Net After Asset NAV ax Rtn  Value  Chg 7, 2023 -6 28.41 -0.17	36 Mo Performanc Rating   Fu A N-US I A Sustai American \$ 22.9 bil B+ Eq Inc D Int TF	YTD         12V           e         %         %           md           Chg  Ch           V         +16         -1           n E         +16         +4           Century I         800-345-3533         +1           H         +0         Bd         +1	Vk 5 Yr A After A gjTax Rtnj V 9. 45. +5 8.	20 Net 33 Sset NAV P Ralue Chg 83 -0.10 D 07 -0.11 B B- E 75 0.01 A 53 -0.02 D	22 in Mo erformance ating   Fund HilncMu IncFndAi Intr BdF Intr BdF IntrstCo/ LtdTrmT:	2 700 12Wk % % 1 I Chy Chy ni +3 +0 mer +1 +0 +8 -1 FindAm+1 -1 Amer+17 +4 xEXB +1 +0	S Yr         Net After         Asset MAI           Tax Rtnj         Valuej Chy           +2         14.42 -0.04           +3         22.48 -0.01           +2         33.83 -0.16           0         12.23           +7         47.89 -0.08           +1         14.96 -0.01
Kilo         YTD 12Wk           Verformance         % %           Variang Fund         Long Long T           For Thursday, September	5 Yr Net After Asset NAV ax Rtn  Value  Chg 7, 2023 -6 28.41 -0.17 -3 10.67 -0.03	36 Mo Performanc Rating   Fu A N-US I A Sustai American \$ 22.9 bil B+ Eq Inc D Int TF American	YTD 12V           e         % %           nd           Chg  Ch           V         +16         -1           n E         +16         +4           Century I         800-345-3533         +1	Vk 5 Yr A After A gjTax Rtnj V 9. 45. +5 8.	20 Net sset NAV aluel Chg 07 - 0.11 B 	22 Mo erformance ating   Fund HilncMu IncFndA Intl G&I IntvstCo/ LtdTrmT: ► New Eco	2 YTD 12Wk % % % 1 Chg  Chg  ni +3 +0 mer +1 +0 +8 -1 FndAm+1 -1 Amer+17 +4	S Yr         Net After         Asset NAN           Tax Rtnj         Valuej Chy           +2         14.42 -0.04           +3         22.48 -0.01           +2         33.83 -0.16           0         12.23         0.04           +7         47.89 -0.08           +1         14.96 -0.01           +5         51.67 -0.14
36 Mo         YTD 12Wk           Verformance         % %           Rating   Fund         Chg  Chg T           For Thursday, September         — A—           AB Funds         \$ 13.8 bil 800-221-5672           A Equity Inc         +13 +3           A) Equity Inc         +13 +3           A) Hunicipalin         +2           A+ RelativeVal         +5 +4           A-         AIIMktReal1         +1 +2	5 Yr Net After Asset NAV arkin (2000) 7, 2023 -6 28.41 -0.17 -3 10.67 -0.03 -5 6.13 -0.01	36 Mo Performanc Rating   Fu A N-US I A Sustai American \$ 22.9 bil B+ Eq Inc D Int TF American	YTD 12k           e         %           md           Chg  Ch           k         %           md           Chg  Ch           V         +16           m E         +16           Century I         800-345-3533           %         +1           Bd         +1           Bd         +1           S3-928-2684         V           V         +8	Vk 5 Yr After A g Tax Rtn  V 9. 45. +5 8. +2 10. 11.	20 Net ssset NAV P R alue   Chg B 33 -0.10 D 07 -0.11 B B- E 75 0.01 A 53 -0.02 C C 27 -0.06 B	22 Mo rformance ating   Fund HilncMu IncFndAi IntnBdF InvstCoA LtdTrmT: New Eco New Wo NewPers	VTD 12Wk % % 1   Chg Chg  ni +3 +0 mer +1 +0 +8 -1 rindAm+1 -1 Amer+17 +4 XExB +1 +0 nn +19 +4 rld +10 +0 spctv+16+2	Syr         Net After         Asset Asset         Nathall           Tax Rtnj         Value   Chy         2         14.42 - 0.04           +2         14.42 - 0.04         -3         22.48 - 0.01           +2         3.83 - 0.16         0         12.23         0.04           +7         47.89 - 0.08         +1         14.96 - 0.01           +5         51.67 - 0.14         +4         72.80 - 0.35           +7         54.88 - 0.24         -0.24
36 Mo         YTD 12Wk           Verformance         %           Rating   Fund         Chg  Chg  T           For Thursday, September         — A           AB Funds         \$ 13.8 bil 800-221-5672           A Equity Inc         +13 +3 -           +> Municipalin +2 - 2 -           +A RelativeVal         +5 +4           +A RelativeVal         +5 +4           +A RelativeVal         +5 +4           +A Bundk Real1         +1 +2           +A Bunds ADV         +2	5 Yr Net After Asset NAV arkin (2000) 7, 2023 -6 28.41 -0.17 -3 10.67 -0.03 -5 6.13 -0.01	36 Mo Performanc Rating   Fu A N-US I A Sustai American \$ 22.9 bil I B+ Eq Inc D Int TF American \$ 2.7 bil 8: A- Intl SC A US Eqt	YTD 12/c           e         %           md           Chg  Ch           v         +16           n E         +16           extreme         *16           S00-345-3533         +1           900-345-3533         +1           900-345-3533         +1           900-345-3533         +1           900+1         -1           Century Ins         33-928-2684           V         +8           V         +8           V         +8           V         +8           V         +2	Vk 5Yr   After A gjTaxRtnj V 9. 45. +5 8. +2 10. 11. 14.	20 Net sset NAV alue Chg 33-0.10 07-0.11 B B- E 75 0.01 A 53-0.02 C C C C 27-0.06 B 55-0.06 C	HincMu IncFndAi IntmBdF InvstCoA LtdTrmT: New Eco New Wo NewPers SmCpWr	2 VTD 12WK % % 1 Chg1Chg1 ni +3 +0 mer +1 +0 +8 -1 indAm+1 -1 Amer+17 +4 XEXB +1 +0 n +19 +4 vrd +10 +0 spctv+16+2 rld +9 +0	Syr         Net After           Asset NAI Tax Rtnj Valuej Chu           +2         14.42 -0.04           +3         22.48 -0.01           +2         33.83 -0.16           0         12.23           +7         47.89 -0.06           +1         14.96 -0.01           +5         51.67 -0.14           +4         72.80 -0.35           +7         54.88 -0.24           +4         61.36 -0.48
36 Mo         YTD 12Wk           36 Mo         %           36 Mo         %           36 Mo         Chgl Chgl T           36 Mo         Chgl Chgl T           Gor Thursday, September         —           AB Funds         %           \$13.8 bil 800-221-5672         A           A Equity Inc         +13 +3 -3           >> HunicipalIn         +2 -2           >4         RelativeVal         +5 4           -A         AllMktReal1         +1 +2           AB Funds         ADV           \$39.2 bil 800-221-5672         \$	5 Yr Net After Asset NAV ax Rtn  Value  Chg 7, 2023 	36 Mo           Performance           Rating   Fu           A N-US I           A Sustai           American           \$ 22.9 bil I           B+ Eq Inc           D Int TF           American           \$ 2.7 bil 8           A- Intl SC           A US Eqt           A+ US SC	YTD 12/c           e         % %           md           Chajt Ch           V         +16           n E         +16           Century I         800-345-3533           980-345-3533         +1           Bd         +1           Bd         +1           Bd         +1           S3-928-2684         V           V         +8           V         +8           V         +8	Vk 5Yr   After A gjTaxRtnj V 9. 45. +5 8. +2 10. 11. 14.	20 Net sset NAV Palue   Chg 83 -0.10 D 07 -0.11 B B- E 75 0.01 A 53 -0.02 D C- C27 -0.06 B 55 -0.06 C 57 -0.12 D	22 Mo Frommance ating   Fund HilncMu IncFndAi IntrBdF InvstCo/ LtdTrmT: New Eco New Wo NewPers SmCpWr ST BndFr	2 770 12%% % % 1 Chgi Chgi ni +3 +0 mer +1 +0 ind Am+1 -1 Amer+17 +4 XEXB +10 +0 nn +19 +4 rid +10 +0 spctv+16+2 rid +9 +0 ndAm+1 +0	Syr         Net After         Net After           476r         Asset NAI Tax Rtnj Valuej Chu           +2         14.42 -0.04           +3         22.48 -0.01           +2         33.83 -0.16           0         12.23           0.04         +7           47.89 -0.08           +1         14.96 -0.01           +5         51.67 -0.14           +4         72.80 -0.35           +7         54.88 -0.24           0         9.39         0.01
Kino         YTD 12Wk           Kerformance         %         %           Kating I Fund         I Chgl Chgl T           For Thursday, September         — A—           KB Funds         %         %           S13.8 bil 800-221-5672         A         Equity Inc         +13         +3           A Equity Inc         +13         +3         -         ->         +         HenleitveVal         +5         +           I- AllMickTeal1         +1         -         -         AB Funds         ADV           S39.2 bil 800-221-5672         A         Eglobal Bond         +1         -1	Syr         Net           SYr         Net           After         Asset           After         Asset           Age         Asset           After         Asset           Age         Asset           Nutrition         Asset           Age         Asset	36 Mo Performance Rating   Fu A N-US   A Sustai American \$ 22.9 bil   B+ Eq Inc D Int TF American \$ 2.7 bil 8: A- Intl SC A US Eqt A+ US SC\ American	YTD 12/c           e         %           md           Chg  Ch           v         +16           n E         +16           extreme         *16           S00-345-3533         +1           900-345-3533         +1           900-345-3533         +1           900-345-3533         +1           900+1         -1           Century Ins         33-928-2684           V         +8           V         +8           V         +8           V         +8           V         +2	Vk 5Yr   After A gjTaxRtnj V 9. 45. +5 8. +2 10. 11. 14.	20 Net sset NAV Palue   Chg 83 -0.10 D 07 -0.11 B B- E 75 0.01 A 53 -0.02 D C- C- 27 -0.06 B 55 -0.06 C 57 -0.12 D D-	22 Mo Frommance ating   Fund HilncMu IncFndAi IntrBdF InvstCo/ LtdTrmT: New Eco New Wo NewPers SmCpWr ST BndFr Tax-Ex B	2 VTD 12WK % % 1 Chg1Chg1 ni +3 +0 mer +1 +0 +8 -1 indAm+1 -1 Amer+17 +4 XEXB +1 +0 n +19 +4 vrd +10 +0 spctv+16+2 rld +9 +0	Syr         Net Affer         Net Affer           476r         Asset NAI Tax Rtnj Valuej Chu           +2         14.42 -0.04           +3         22.48 -0.01           +2         3.83 -0.16           0         12.23 0.04           +7         47.89 -0.08           +1         14.96 -0.01           +5         51.67 -0.14           +4         72.80 -0.35           +7         54.88 -0.24           0         9.39 0.01           +1         11.99 -0.03
Kino         YTD 12Wk           Kerformance         %         %           Kating I Fund         I Chgl Chgl T           For Thursday, September         — A—           KB Funds         %         %           Si 3.8 bil 800-221-5672         A         Equity Inc. +13 +3           A Equity Inc. +13 +3         -)         MunicipalIn +2 -2           H- RelativeVal +5 +4         -         -           A IMMkReal1 + 1 +2         -         -           A BFunds         ADV         -           S 39.2 bil 800-221-5672         -         -           Global Bond +1 -1         -         -           High Income +7 +3         -         -	Syr         Net           SYr         Net           After         Asset NAV           ax Rtnl Value! Chg         7, 2023           -6         28.41 -0.17           -3         10.67 -0.03           -5         6.13 -0.01           -3         8.59 -0.02           -4         21.32 -0.23           0         6.65         0.01           0         6.65         0.01	36 Mo           Performance           Rating   Fu           A           N-US I           A           Sustai           American           \$ 22.9 bil :           B+ Eq Inc           D Int TF           American           \$ 2.7 bil 8           A- Intl SC           A US Eqt           A+ US SC           American           \$ 67.4 bil           A Foc LCC	VTD         122           e         % %           md           Chaj  Ch           N         +16           n E         +16           800-345-3533         +1           +1         +0           Bd         +1           Bd         +1           Bd         +1           Protection         *208-2684           V         +8           V         +8           V         +12           // +8         +4           /         +18           9         +12           // +8         +4           /         +8           9         +12           // +8         +4           /         +8           9         +12           // +8         +4           // +8         +4      00-345-2021           Val         +1	VK 5 Yr 1 After A g]Tax Rtn  V 9. 45. +5 8. +2 10. 11. 14. 14. 14. 14.	20           Net         3           sset NAV         R           aluel Chg         R           83 -0.10         D           07 -0.11         B           53 -0.02         D           53 -0.02         D           27 -0.06         B           55 -0.06         C           57 -0.12         D           D         D           1n 0.01         A	22 Mo rformance HilncMu IncFndA Intl G&I Intr G&	2 700 120% % % 1   Chg  Chg  ni +3 +0 mer +1 +0 +8 -1 indAm+1 -1 Amer+17 +4 XEXB +1 +0 on +19 +4 rld +10 +0 nd +1 +0 20 ct +9 +0 ndAm+1 +0 20 ct +1 -1 20 ct +	Syr         Net Affer         Net Affer           476r         Asset NAI Tax Rtnj Valuej Chu           +2         14.42 -0.04           +3         22.48 -0.01           +2         3.83 -0.16           0         12.23 0.04           +7         47.89 -0.08           +1         14.96 -0.01           +5         51.67 -0.14           +4         72.80 -0.35           +7         54.88 -0.24           +4         61.36 -0.46           0         9.39 0.01           +1         11.99 -0.03           0         11.83 0.05
Kino         YTD 12Wk           Kating   Fund         Chg  Chg T           Cor Thursday, September         -           Cor Thursday, September         -           So Thursday, September         -           AB Funds         \$13.8 bil 800-221-5672           A Equity Inc +13 +3         +           >+ MunicipalIn +2 -2 -         +           +- AlliMkReal1 +1 -2 -         +           +- AlliMkReal1 +1 -2 -         +           +- AlliMkReal1 +1 -2 -         +           B Funds         ADV           \$39.2 bil 800-221-5672         +           +- BiscoveryVa +5 +1 -         -           Global Bond +1 -1         -           High Income +7 +3         C           C IntiStr Eq +6 -1 -	Syr         Net           SYr         Net           After         Asset NAV           ax Rtnl Value  Chg         7, 2023           7, 2023	36 Mo Performance Rating   Fu A N-US I A Sustai American \$ 22.9 bil : B+ Eq Inc D Int TF American \$ 2.7 bil 8: A- Intl SC A US Eqt A+ US CV American \$ 67.4 bil : A Foc LC B+ Growttl	VTD         122           e         % %           md           Chaj Ch           n E         +16           mail	Vk         5 Yr	Net         32           Sset         NA         R           alue         Chg         R           33         -0.10         D           07         -0.11         B           75         0.01         A           53         -0.02         D           27         -0.06         B           55         -0.06         C           57         -0.12         D           1         0.01         A           9n<-0.18	22 Mo efformance lining J Fund lining J Fund l	YTD 12Wk % % 1   Chg Chg] ni +3 +0 mer +1 +0 +8 -1 FndAm+1 -1 Amer+17 +4 XEXB +1 +0 on +19 +4 rld +10 +0 spctv+16+2 rld +9 +0 ndAm+1 +0 Soct -1 -3 ut +8 +3	Syr         Net Affer         Net Affer           476r         Asset NAI Tax Rtnj Valuej Chu           +2         14.42 -0.04           +3         22.48 -0.01           +2         3.83 -0.16           0         12.23 0.04           +7         47.89 -0.08           +1         14.96 -0.01           +5         51.67 -0.14           +4         72.80 -0.35           +7         54.88 -0.24           +4         61.36 -0.46           0         9.39 0.01           +1         11.99 -0.03           0         11.83 0.05
Mo         YTD 12Wk           Kerformance         %           kating   Fund           Chg  Chg] T           or Thursday, September	Syr         Net           5Yr         Net           After         Asset NAV           ax Rtnl Value  Chg         7, 2023           7, 2023	36 Mo Reformance Rating   Fu A N-US I A Sustai American \$ 22.9 bil : B+ Eq Inc D Int TF American \$ 2.7 bil 8: A- Intl SC A US Eqt A+ US SCV American \$ 67.4 bil A Foc LC B+ Growtl B- Hertge	VTD         122           e         % %           md           Chaj  Ch           n E         +16           n E         +16           800-345-3533         +1           9800-345-3533         +1           9800-345-3533         +1           9800-345-3533         +1           9800-345-3533         +1           9800-345-2864         V           V         +8           V         +	Jk         5 Yr	Net         33           Ssset NAV         R           83 - 0.10         D           07 - 0.11         B           53 - 0.02         D           75 0.01         A           53 - 0.02         D           C-         C-           27 - 0.06         B           55 - 0.06         C           57 - 0.12         D           In 0.01         A           9n - 0.18         AI           8h - 0.12         \$	22 Mo efformance linit Gal IntreMu IntreMu IntreMu IntreMu IntreMu IntreMu IntreMu IntreMu IntreMu IntreMu IntreMu St BudFinds Sm CPW St BudFinds Sm CPW Wo New Pers Sm CPW Wo New Pers Sm CPW Wo New Pers Sm CPW Mo Mo Mo Mo Mo Mo Mo Mo Mo Mo	YTD 12Wk %% 1   Chg Chg] ni +3 +0 mer +1 +0 +8 -1 fndAm+1 +1 Amer+17 +4 xExB +1 +0 on +19 +4 rld +10 +0 spctv+16+2 rld +9 +0 ndAm+1 +0 30nd +1 -1 Sec -1 -3 ut +8 +3 +835-3879	Str.         Net Affer         Asset Asset         Nather           Tax Rtnl         Valuel         Chu         Chu           +2         14.42 - 0.04         -0.01         -0.01           +3         22.48 - 0.01         -0.02         -0.02           +2         33.83 - 0.16         0         12.23         0.04           +7         47.89 - 0.08         +1         14.96 - 0.01           +5         51.67 - 0.14         +4         72.80 - 0.35           +7         54.88 - 0.24         0         9.39 0.01           +4         61.36 - 0.48         0         9.39 0.01           +1         11.99 - 0.03         0         11.83 0.05           +7         54.43 - 0.03         0         11.83
Kino         YTD 12Wk           Kating I Fund         % %           Kating I Fund         Chgl Chgl T           Ch Thursday, September         — A —           Jas Bil 800-221-5672         Kating I Fund           A Equity Inc +13 +3 -         -           A Equity Inc +13 +3 -         -           A Equity Inc +13 +3 -         -           - AllMktReal1 +1 +2 -         -           - AllMktReal1 +1 +2 -         -           - AllMktReal1 +1 +2 -         -           - B Funds         332. bil 800-221-5672           + DiscoveryVa +5 +1 -         -           Global Bond +1 -1 -         -           Global Bond +1 -1 -         -           Jing Income +7 +3         -           Jing Cap Gr +24 +5 +         -           Sm Cp Core +9 +0 -         +           + Value +12 +4 -         -	Syr         Net           SYr         Net           After         Asset NAV ax Rtnl Valuel Chg           7, 2023	36 Mo Performance Rating   Fu A N-US I A Sustai American \$ 22.9 bil : B+ Eq Inc D Int TF American \$ 2.7 bil 8: A- Intl SC A US Eqt A+ US CV American \$ 67.4 bil : A Foc LC B+ Growttl	VTD 12/2           e         % %           md           Chaj Ch           n E         +16         +1           n E         +16         +4           Century I         800-345-3533         +1           Bd         +1         +1           Bd         +1         +1           Bd         +1         +1           Century Ins         33-928-2684         V           V         +8         +2           y         +12         +4           Century Inv         800-345-2021           Val         +1         +0           n         +30<+55	Vk         5 Yr	Bet         33           ssset NAV         R           83 - 0.10         D           07 - 0.11         B           53 - 0.02         D           75 0.01         A           55 - 0.06         C           57 - 0.12         D           0.7         -1.12           11 0.01         A           9n -0.18         AI           8h -0.12         \$           5n -0.38         A	22 Mo formance tring I Fund Intr. BdA Intr. BdA Intr. BdF Intr. BdF I	YTD 12Wk %% 1   Chg Chg] ni +3 +0 mer +1 +0 +8 -1 fndAm+1 +1 Amer+17 +4 xExB +1 +0 on +19 +4 rld +10 +0 spctv+16+2 rld +9 +0 ndAm+1 +0 30nd +1 -1 Sec -1 -3 ut +8 +3 +835-3879	Syr         Net Affer         Asset Asset         Nath           Tax Rtnl         Valuel         Chu         Chu
Kino         YTD 12Wk           Kerformance         %         %           Kating I Fund         Chgl Chgl T           Cor Thursday, September         — A —           Lass bil 800-221-5672         A Equity Inc +13 +3 -           A Equity Inc +13 +3 -         -           + RelativeVal +5 +4         -           -A Municipalin +2 - 2 -         -           -A RelativeVal +5 +4         -           -A RIMkReal1 +1 +2 -         -           -B Funds         332. bil 800-221-5672           + B Buds ADV         -           339. 2 bil 800-221-5672         -           - Global Bond +1 - 1         -           - High Income +7 +3         -           - Juncome +7 +3         -           - Juncome +7 +4         -           - Sin Cp Core +9 +0 -         -           + Value +12 +4 -         -	Syr         Net           SYr         Net           After         Asset NAV ax Rtnl Valuel Chg           7, 2023	36 Mo Performance Rating   Fu A N-US I A Sustai American \$22,9 bil : B+ Eq Inc D Int TF American \$2.7 bil & A- Intl SC A US Eqt A+ US SC American \$67.4 bil : B+ Growtt B- Hertge B+ Select B+ UItra A+ Value	YDD 12/2           e         % %           nd           Chg  Ch           V         +16           n E         +16           800-345-3533         +1           920-345-3533         -1           Century I         800-345-3533           33-928-2684         +1           Century Ins         33-928-2684           V         +8           V         +8           V         +8           V         +8           V         +8           V         +8           Val         +1           Val         +1           +30         +5           +314         +30           +314         +30           +31 +44         +2	yk         5 yr           g After         A           g JTax Rtul W         9.           45.         45.           +5         8.           +2         10.           11.         14.           14.         14.           +6         9.7.7           +7         20.7.           +11         98.1.           +12         72.4.	Babel Chg         R           33-0.10         D           07-0.11         B           53-0.02         D           75         0.01           75         C.C.           27-0.06         B           55-0.06         C           57-0.12         D           9n-0.18         AI           8n-0.12         \$           55-0.03         A           9n-0.18         AI           9n-0.2         A	22 Mo formance titing I Fund Intri G&I Intri G&I	YTD 12Wk           % %           1         Chg1 Chg1           ni         +3 +0           mer +1 +0           +8 -1           indAm+1 -1           Amer+17 +4           +K2KB +1 +0           on +19 +4           virld +10 +0           spctv+16+2           rld +9 +0           ndAm+1 +0           Sond +1 -1           Sec -1 -3           ut +8 +3           +835-3879           mall/M+5+2           CCV -3 +1           upVal +6 +1	Syr         Net After         Asset Asset         NAI Tax Rtnj         Valuej         Chu Chu           +2         14.42 - 0.04         -3         22.48 - 0.01           +2         33.83 - 0.16         0         12.23         0.04           +7         47.89 - 0.03         -1.67 - 0.14         -5         51.67 - 0.14           +7         54.88 - 0.24         -0.36         -0.48         0         9.39         0.01           +1         11.99 - 0.03         0         11.83         0.05         +7         54.43 - 0.03           +7         15.89 - 0.17         +4         9.19         0.00         +7         14.74 - 0.16
Kino         YTD 12Wk           Kerformance         %         %           Kating I Fund         Chgl Chgl T           Gor Thursday, September	Syr         Net           SYr         Net           After         Asset NAV ax Rtnl Value  Chg           7, 2023         -           -6         28.41 -0.17           -3         10.67 -0.03           -5         6.13 -0.01           -3         8.59 -0.02           -4         21.32 -0.23           0         6.65 0.01           0         6.65 0.01           1         11.15 -0.05           11         8.50 -0.34           -4         12.48 0.09           -6         16.33 0.00	36 Mo Performance Rating   Fu A N-US I A Sustai American \$22.9 bil : B+ Eq Inc D Int TF American \$2.7 bil 8 A- Intl SC A US Eqt A+ US SC American \$67.4 bil : B+ Growti B- Hertge B+ Select B+ Sulta A+ Value American	YDD 12/2           e         % %           md           Chajl Ch           V         +16         -1           Century I         800-345-3533         +1           900-345-3533         +1         -1           Century Ins         33-928-2684         V         +8           V         +8         +2         y         +12         +4           /         +8         +4         Century Ins         800-345-2021         Val         +1         +0           No         -345-5021         Val         +1         +1         +1         +30         +5         +31         +4         +30         +5         +31         +4         +2         +1         Century Ins         +2         +1         Century Ins         +30         +5         +31         +4         +2         +1         Century Ins         +30         +5         +31         +4         +2	yk         5 yr           g After         A           g JTax Rtul W         9.           45.         45.           +5         8.           +2         10.           11.         14.           14.         14.           +6         9.7.7           +7         20.7.           +11         98.1.           +12         72.4.	Piet         37           ssset NAV         P           aluel Chg         B           33 -0.10         D           07 -0.11         B           53 -0.02         D           75 0.01         A           55 -0.06         C           27 -0.06         B           55 -0.06         C           57 -0.12         D           9n -0.18         AI           8n -0.12         \$           5n -0.38         A           0n -0.48         A           9n -0.02         A	22 Mo formance titing 1 Fund IncFndA Intr 1684 Intr 1684 Intr Wew Eco New Yoo New Pers SmCPWI ST BndFi Tax-Ex B US Govt Wash M <b>46 Funds</b> 3.1 bil 8000 GW&AST, RR Div A • RRSmCa • RR SMid	YTD 12WK % % 1   Chgi Chgi ni +3 +0 mer +1 +0 +8 -1 indAm+1 -1 Amer+17 +4 XEXB +1 +0 +0 spctv+16+2 rld +9 +0 ndAm+1 +0 Sond +1 -1 Sec -1 -3 ut +8 +3 -835-3879 mall/M+5+2 (CV -3 +1 i)pVal +6 +1   Val +6 +3	Syr         Net After         Asset Asset         NAI Tax Rtnj         Valuej         Chu Chu           +2         14.42 - 0.04         -3         22.48 - 0.01           +2         33.83 - 0.16         0         12.23         0.04           +7         47.89 - 0.03         -1.67 - 0.14         -5         51.67 - 0.14           +7         54.88 - 0.24         -0.36         -0.48         0         9.39         0.01           +1         11.99 - 0.03         0         11.83         0.05         +7         54.43 - 0.03           +7         15.89 - 0.17         +4         9.19         0.00         +7         14.74 - 0.16
Mo         YTD 12Wk           Keromance         %           Lating I Fund         Chgl ChgJ T           or Thursday, September         — A —           IB Funds         Lating I (hgl ChgJ T)           La Equity Inc + 13 + 3 -         -           +> MunicipalIn +2 - 2 -         +           +> RelativeVal +5 +4 -         +           +> RelativeVal +5 +4 -         +           +> RelativeVal +5 +4 -         +           +> Brunds ADV         :39.2 bil 800-221-5672           +> BiccoveryVa +5 +1 -         -           Global Bond +1 -1         +           LintIStr Eq +6 -1 -         +           LintIStr Eq +6 -1 +         +           + Di Cap Gr +24 +5 +         +           + Value +12 +4 -         -           value +12 +4 -         -           totisers Inv Trst         +           10.1 bil 800-447-0740         +	Syr         Net           SYr         Net           After         Asset NAV ax Rtn  Value  Chg           7, 2023         -           -6         28.41 -0.17           -3         10.67 -0.03           -5         6.13 -0.01           -3         8.59 -0.02           -4         21.32 -0.23           0         6.65 0.01           0         6.65 0.01           11         11.5 -0.05           11         8.50 - 0.34           -4         12.48 -0.09           -6         16.33 0.00           -7         85.02n -0.12	36 Mo Performance Rating   Fu A N-US I A Sustai American \$22.9 bil : B+ Eq Inc D Int TF American \$2.7 bil 8 A- Intl SC A US Eqt A+ US SC American \$67.4 bil : B+ Growti B- Hertge B+ Select B+ Sulta A+ Value American	YTD         12%           e         % %           md           Chaji Chi           N         +16           n E         +16           800-345-3533         +1           900-345-3533         +1           900-345-3533         +1           900-345-3533         +1           900-345-3533         -928-264           V         +8           Y         +12           V         +8           Y         +14           +3         +2           Val         +1           +30         +5           +31         +4           +2         +1           Century Ró         6800-345-3533	yk         5 yr           g After         A           g JTax Rtul W         9.           45.         45.           +5         8.           +2         10.           11.         14.           14.         14.           +6         9.7.7           +7         20.7.           +11         98.1.           +12         72.4.	Pret         33           Saset NAV         P           Babel Chg         B           07 - 0.11         B           53 - 0.02         D           75 0.01         A           55 - 0.02         C           27 - 0.06         B           55 - 0.06         C           57 - 0.12         D           9n - 0.18         AI           8n - 0.12         \$           5n - 0.38         A           9n - 0.48         A           9n - 0.22         A           9n - 0.24         A	22 Mo eformance titing 1 Fund IncFndA Intr 1681 Intr 1684 Intr 864 Intr 864 New Eco New Wo New Pers SmCPWi ST BndFi Tax-Ex B US Govt Wash M G Funds S.1 bil 8000 GW&KS7 RR Div A e RRSmCa e RR SMid MG Fanag	YTD 12Wk           % %           1         Chg1 Chg1           ni         +3 +0           mer +1 +0           +8 -1           indAm+1 -1           Amer+17 +4           +K2KB +1 +0           on +19 +4           virld +10 +0           spctv+16+2           rld +9 +0           ndAm+1 +0           Sond +1 -1           Sec -1 -3           ut +8 +3           +835-3879           mall/M+5+2           CCV -3 +1           upVal +6 +1	Syr         Net After         Asset Asset         NAI Tax Rtnj         Valuej         Chu Chu           +2         14.42 - 0.04         -3         22.48 - 0.01           +2         33.83 - 0.16         0         12.23         0.04           +7         47.89 - 0.03         -1.67 - 0.14         -5         51.67 - 0.14           +7         54.88 - 0.24         -0.36         -0.48         0         9.39         0.01           +1         11.99 - 0.03         0         11.83         0.05         +7         54.43 - 0.03           +7         15.89 - 0.17         +4         9.19         0.00         +7         14.74 - 0.16
Mo         YTD 12Wk           Keromance         %           kating I Fund         Chgl Chgl T           or Thursday, September	Syr         Net           SYr         Net           After         Asset NAV ax Rtn  Value  Chg           7, 2023         -           -6         28.41 -0.17           -3         10.67 -0.03           -5         6.13 -0.01           -3         8.59 -0.02           -4         21.32 -0.23           0         6.65 0.01           0         6.65 0.01           11         11.5 -0.05           11         8.50 - 0.34           -4         12.48 -0.09           -6         16.33 0.00           -7         85.02n -0.12	36 Mo Performance Rating   Fu A N-US I A Sustai American \$ 22.9 bil : B+ Eq Inc D Int TF American \$ 2.7 bil : A - Intl SC A US Eqt A+ US SCV American \$ 67.4 bil : A Foc LC B+ Growtl B- Hertge B+ Select B+ UItra A+ Value American \$ 16.6 bil : A MC Va A+ SC Val	YUD 12/2           e         % %           nd           Chajl Ch           N         +16         -1           n E         +16         +4           Century I         800-345-3533         +1           Bd         +1         -1           Bd         +1         +1           H         +30         +5           +31         +4         +2           Century R6         800-345-35333           I         <	Jk         5 Yr	Net         33         -10         D           07         -0.11         B	22 Mo efformance linit Gal Intre Intre Intre Intre Inter- Intre Intre Intre Intre Intre Intre Intre Intre Intre Intre Intre Inter New Voor New Noor New Noor	YTD 12Wk %%1 i [Chg]Chg] mi +3 +0 mer +1 +0 +8 -1 FndAm+1 -1 Amer+17 +4 XEXB +1 +0 nn +19 +4 r1d +10 +0 spctv+16+2 r1d +9 +0 ndAm+1 +0 Spct -1 -3 ut +8 +3 -835-3879 mall/M+5+2 UCV -3 +1 spVal +6 +1 Val +6 +3 upVal +6 +1 Val +6 +3 upVal+11+6	5 Yr         Net Affer         Net Affer           4 Affer         Asset NAI Tax Rtnj Valuej Chu           +2         14.42 -0.04           +3         22.48 -0.01           +2         33.83 -0.16           0         12.23 0.04           +7         47.89 -0.08           +1         14.96 -0.01           +5         51.67 -0.14           +7         54.88 -0.24           +4         61.36 -0.48           0         9.39 0.01           +1         11.99 -0.03           0         11.83 0.05           +7         54.43 -0.03           +7         59.9 -0.17           +4         9.19 0.00           +5         14.74 -0.16           +6         9.28 -0.08           +4         18.42 -0.06
Mo         YTD 12Wk           Keromance         %         %           Lating I Fund         I Chgl Chgl T           or Thursday, September         —         —           Jor Thursday, September         —         —           B Funds         :         :         :           :13.8 bil 800-221-5672         :         Equity Inc         +13 +3           :H MunicipalIn         -2         -         +           :H RelativeVal         -5 +4         -         -           :H RelativeVal         -5 +4         -         -           :B Funds         B00-221-5672         -         B Funds ADV           :39.2 bil 800-221-5672         -         B Global Bond         +1           :Global Bond         +1         -1         -           :Global Bond         +1         -1         -           :High Income         +7         +3         -           :Globar Gr eff         +4         +5         +           :Globar Bond         +1         -1         -           :High Income         +7         +3         -           :High Core         +9         +0         -           :Value         +1	Syr         Net           Syr         Net           After         Asset NAV ax Rtnl Value  Chg           7, 2023         -           -6         28.41 -0.17           -3         10.67 -0.03           -5         6.13 -0.01           -3         8.59 -0.02           -4         21.32 -0.23           0         6.65 0.01           0         6.65 0.01           11.15 -0.05           11         86.50 -0.34           -4         12.48 -0.09           -6         16.33 0.00           -7         85.02n -0.12           -9         105.93n -0.49	36 Mo Performance Rating   Fu A N-US I A Sustai American \$ 22.9 bil 13 B+ Eq Inc D Int TF American \$ 2.7 bil 8 A- Intl SC A US Eqt A+ US SC( A Merican \$ 67.4 bil 13 A Foc LC B+ Growt1 B- Hertge B+ Select B+ Ultra A+ Value American \$ 16.6 bil 13 A MC Va A+ SC Val American	VD         12/2           e         % %           md           Chaji Ch           n E         +16           n E         +16           800-345-3533         +1           +1         +0           Bd         +1           Bd         +1           Bd         +1           S3-928-2684         V           V         +8           V         +8           V         +8           V         +8           Century Inv         900-345-2021           Val         +1           Val         +1           +30         +5           +31         +4           +2         +1           Century R6         900-345-3533           i         -1           -2         +4           T         -1           -4         -1           Funds A	Jk         5 Yr	Net         33         -0.0         D           83 - 0.10         0         0         0         0           07 - 0.11         B         -         -         -           75         0.01         A         -         -         -           75         0.02         D         - <t< td=""><td>22 Mo efformance linit Gal Intre Gal In</td><td>YTD 12Wk           YTD 12Wk           I         Chg]Chg]           ni         +3           ni         +3           rdAm+1         +1           FindAm+1         +1           Amer+17         +4           xEXB         +1           on         +19           +4         +10           opsptt+16+2         rld           rld         +9           ndAm+1         +0           spstt+16         2           reds-1         -3           le355-3879         mall/M+5+2           vCV         -3           ut         +8           0-992-8151           apVal+11+6           anFoc+8</td><td>Syr         Net Affer         Asset Asset         NAI           Tax Rtnj         Valuej         Chu         Chu</td></t<>	22 Mo efformance linit Gal Intre Gal In	YTD 12Wk           YTD 12Wk           I         Chg]Chg]           ni         +3           ni         +3           rdAm+1         +1           FindAm+1         +1           Amer+17         +4           xEXB         +1           on         +19           +4         +10           opsptt+16+2         rld           rld         +9           ndAm+1         +0           spstt+16         2           reds-1         -3           le355-3879         mall/M+5+2           vCV         -3           ut         +8           0-992-8151           apVal+11+6           anFoc+8	Syr         Net Affer         Asset Asset         NAI           Tax Rtnj         Valuej         Chu         Chu
Mo         YTD 12Wk           éMo         YTD 12Wk           Kerformance         % %           tating I Fund         I Chgl Chgl T           or Thursday, September         — A—           B Funds         :           :13.8 bil 800-221-5672         .           :Equity Inc         +13           :H MunicipalIn         +2           :H RelativeVal         +5           :H RelativeVal         +5           :AlMMktRealI         +1           :Global Bond         +1           :Global Bond         +1           :Global Bond         +1           :High Income         +7           :IntIStr Eq         +6           :Global Bond         +1           :High Income         +7           :Churster         +2           :W Cop Core         +9           :Ho Blaoc-447-0740         +           :FarmBalance +8         +3           :Aram Growth+114         +4           :dvisorsinnerCir         +12           :12. bil 808-386-3578         +>4	Syr         Net           Syr         Net           After         Asset NAV ax Rtnl Value  Chg           7, 2023         -           -6         28.41 -0.17           -3         10.67 -0.03           -5         6.13 -0.01           -3         8.59 -0.02           -4         21.32 -0.23           0         6.65 0.01           0         6.65 0.01           11.15 -0.05           11         86.50 -0.34           -4         12.48 -0.09           -6         16.33 0.00           -7         85.02n -0.12           -9         105.93n -0.49	36 Mo Performance Rating I Fu A N-US I A Sustai American \$ 22.9 bil : B+ Eq Inc D Int TF American \$ 2.7 bil 8 A- Intl SC A US Eqt A+ US CV American \$ 67.4 bil : A Foc LC B+ Growtl B- Hertge B+ Select B+ Ultra A+ Value American \$ 16.6 bil : A MC Yalue State State	VD         12/2           e         % %           md           Chaj  Ch           n E         +16           mail         +16           % %         %           800-345-3533         +1           +1         +0           Bd         +1           Partial         *1           Montal         *1           S3-928-2684         V           V         +8           V         +8           V         +8           V         +8           900-345-2021         Val           Val         +1           Val         +1           +30         +5           +31         +2           +31         +4           +31         +4           +31         +4           +31         +4           +4         1           Century R6         800-345-3533           I         -1           +4         1           Funds A         000-421-4225	Jk         5 Yr	Net         33         -0.0         D           83 - 0.10         0         0         0         0           07 - 0.11         B         -         -         -           75         0.01         A         -         -         -           75         0.02         D         C         -         -         -         -           27         -0.06         B         55         -         0         -	22 Mo efformance linit Gal Intre Gal In	YTD 12Wk %%1 i [Chg]Chg] mi +3 +0 mer +1 +0 +8 -1 FndAm+1 -1 Amer+17 +4 XEXB +1 +0 nn +19 +4 r1d +10 +0 spctv+16+2 r1d +9 +0 ndAm+1 +0 Spct -1 -3 ut +8 +3 -835-3879 mall/M+5+2 UCV -3 +1 spVal +6 +1 Val +6 +3 upVal +6 +1 Val +6 +3 upVal+11+6	Str         Net After         Asset Asset         NAI           Tax Rtnj         Valuej         Chu         Chu
Kino         YTD 12Wk           Keromance         %         %           Kating I Fund         Chgl Chgl T         Chgl Chgl T           Sor Thursday, September         — A         —           Jas bil 800-221-5672         A         Equity Inc. +13 +3 -3           A         Equity Inc. +13 +3 -3         -           ->         HunicipalIn +2 -2         -           -         Alf Budo-221-5672         -           -         Alf MunicipalIn +2 -2         -           -         Alf Budo-221-5672         -           -         Alf Budo-221-5672         -           -         Alf Budo-221-5672         -           -         Alf Budo-221-5672         -           -         Alf Mickeal1 +1 +2         -           -         Alf Budo-470         -           -         High Income +7 +3         -           -         Higg Cap Gr +24 +5 +4         -           -         High Income +7 +33         -           -         High Income +7 +33         -           -         High Son-Garce         -           -         Hore Growth+11 +4         -           -         Kar Growth+11 +4	Syr         Net           SYr         Net           After         Asset NAV ax Rtnl Value  Chg           7, 2023	36 Mo Performance Rating   Fu A N-US I A Sustai American \$ 22.9 bil 13 B+ Eq Inc D Int TF American \$ 2.7 bil 8 A- Intl SC A US Eqt A+ US SC( A Merican \$ 67.4 bil 13 A Foc LC B+ Growt1 B- Hertge B+ Select B+ Ultra A+ Value American \$ 16.6 bil 13 A MC Va A+ SC Val American	VD         12/2           e         % %           md           Chaj  Ch           n E         +16           mail	Jk         5 Yr	Ret         33           Ssset NAV         R           83 - 0.10         D           07 - 0.11         B           53 - 0.02         D           75 0.01         A           53 - 0.02         D           75 0.01         A           55 - 0.06         C           57 - 0.12         D           9n - 0.18         AI           8h - 0.12         \$           5n - 0.38         A           9n - 0.18         AI           8h - 0.12         \$           5n - 0.38         A           9n - 0.2         A           A         A           A9 - 0.11         A           A9 - 0.12         \$	22 Mo formance lint (Bail Introduction lint (Bail Introduction lint (Bail Introduction SmCpWr New Yeo New Yeo New Yeo New Yeo New Yeo New Yeo SmCpWr Wash M MG Funds 3.1 bil 800 G Wash X R RDiv A R RSMica R RSMica R RRMidCa Yacktma Yacktma Yacktma SC	YTD 12Wk           YTD 12Wk           I         Chg] Chg]           ni         +3           ni         +3           rdAm+1         +           FindAm+1         +           Amer+17         +           xEXB         +           on         +19           +4         +10           on         +19           virld         +10           spctv+16         +2           ridd         +9           ondAm+1         +1           Sec         -1           ut         +8           +835-3879           mall/M+5+2           CV         -3           upVal +6         +3           gres Funds           on-992-8151           apVal+11+6           anFun+8<+3	Str         Net Affer         Asset Asset         NAI Tax Rtnl         Value         Char Char Char Char Char Char Char Char
Kino         YTD 12Wk           Keromanace         Wb 2000           Lating I Fund         Chgl Chgl T           Cor Thursday, September         — A —           Lating I Fund         Log Chgl T           S 13.8 bil 800-221-5672         A           La Equity Inc +13 +3 -         -           La Equity Inc +13 +3 -         -           La Equity Inc +13 +3 -         -           La HelativeVal +5 +4         -           La AllMkReal1 +1 +2         -           La AllMkReal1 +1 +2         -           B Funds ADV         33.2 bil 800-221-5672           La Blobal Bond +1 -1         -           Global Bond +1 -1         -           Ling Income +7 +3         -           Juncome +7 +3         -           Juncome +12 +4         -           Advisers Inv Tst         -           Jun Li Bilance +8 +3         -           A FarmBalance +8 +3         -           Ju Ju Bilans-386-3578         -           La Value(quity +4 +2         -           Kare Funds         -           S 12.0 bil 877-862-9556         -           B - Cous Fund +16 +6         -	Syr         Net           SYr         Net           After         Asset NAV ax Rtnl Value  Chg           7, 2023	36 Mo           Performance           Rating I Fu           A           N-US I           A           Sustai           American           \$22.9 bil :           B+ Eq Inc           D           D           American           \$2.7 bil :           A- Intl SC           A US Eqt           A+ US ISC           American           \$67.4 bil :           B+ Growti           B- Hertge           B- Select           B+ Ultra           A+ Value           American           \$16.6 bil :           A MC Va           A Soli &           C 2020 T	YD         12/2           e         %         %           md           Chg  Ch         Ch           N         +16         -1           Century I         800-345-3533         H           Bd         +1         -1           Century INS         33-928-2684           V         +8         +2           Y         +12         +4           /         +8         +4           Century INS         900-345-3533           928-2684         V         +8           V         +8         +4           Century INS         900-345-313           900-345-3233         +14         +30           +30         +31         +4           +2         +1         Century INS           800-345-35333         I         -1           +31         +4         +4           +31         +4         +4           Century INS         1         -1           900-345-35333         I         -1         -2           +4         -1         Century INS         00-421-4225           DR         +4         +4         -1           <	//k         §/r           //k         §/r           //k         §/r           //k         §/r           //k         §/r           //s         Åfer           //s         Åfer	Babel Cheg	22 Mo eformance taing 1 Fund IncFndA Intri G84 Intri G84 In	2 VTD 12Wk % % % 1 Chyper 12Wk % % % 1 Chyper 2 mi +3 +0 mer +1 +0 +8 -1 mer +17 +4 KEXB +1 +0 0 mer +17 +4 KEXB +1 +0 0 mer +17 +4 KEXB +1 +0 0 m +19 +4 rld +10 +0 spctv+16+2 rld +9 +0 ndAm+1 +0 80nd +1 -1 Sec -1 -3 ut +8 +3 H-835-3879 mall/M+5+2 CV -3 +1 upVal +6 +1 Val +6 +3 prose Funds noPoge-8151 apVal+11+6 anFoc+8 +2 anFun+8 +2 a	Syr         Net After         Asset Asset         NAI Tax Rtnj         Valuej         Chu Chu           +2         14.42 - 0.04         -3         22.48 - 0.01           +2         33.83 - 0.16         0         12.23         0.04           +7         47.89 - 0.03         -1         14.96 - 0.01           +7         47.89 - 0.03         -1.67 - 0.14         -1.47           +5         51.67 - 0.14         -4         61.36 - 0.48         0           0         9.39 0.01         +1         11.99 - 0.03         0         11.83 0.05           +7         54.88 - 0.24         -0.03         0         11.83 0.05         +7         54.43 - 0.03           +7         15.89 - 0.17         +4         9.19 0.00         +5         14.74 - 0.16         +6         9.28 - 0.08           +4         18.42 - 0.06         +8         19.53 - 0.04         +7         42.76 - 0.06         +8         29.54 - 0.22
Mo         YTD 12Wk           éMo         YTD 12Wk           Kating I Fund         Chgl Chgl T           or Thursday, September         — A —           Laing I Fund         L Chgl Chgl T           i 13.8 bil 800-221-5672         L Equity Inc +13 +3 -           La Equity Inc +13 +3 -         +           Le Ruity Inc +13 +3 -         +           Hunicipalin +2 - 2 -         +           HealaiveVal +5 +4         +           - AllMktReall +1 +2 -         B Funds ADV           39.2 bil 800-221-5672         +           B Funds ADV         -           39.2 bil 800-221-5672         +           I Ing Cap Gr +24 +5 +         -           Sm Cp Core +9 +0 -         +           +14 Dg Cap Gr +24 +5 +         -           Sm Cp Core +9 +0 -         +           +4 Use +12 +4         -           visors Inner Cir         -           1.1 bil 800-447-0740         +           + FarmBalance +8 +3 -         -           1.2 bil 888-386-3578         <	Syr         Net           SYr         Net           After         Asset NAV ax Rtnl Value  Chg           7, 2023	36 Mo           Performance           Rating I Fu           A           N-US I           A           Sustai           American           \$ 22.9 bil i           B+ Eq Inc           D           D Int TF           American           \$ 2.7 bil i           A- Intl SC           A US Eqt           A+ US SCV           American           \$ 67.4 bil i           B+ Growti           B- Hertge           B+ Select           B+ Ultra           A+ Value           American           \$ 16.6 bil i           A MC Va           A= Sci 2020 T           C 2020 T <tr td=""></tr>	YUD         122           e         % %           md           Chaji Ch           N         +16           n E         +16           900-345-3533         +1           900-345-3533         +1           900-345-3533         -1           900-345-3533         -28-2684           V         +8           2V         +12           V         +8           V         +8           V         +8           V         +8           V00-345-2021           Val         +1           Val         +1           Val         +1           +30         +5           +31         +4           +2         +1           Century INS         800-345-3533           i         -1           +31         +4           +2         +1           Century R6         800-345-3533           i         -1           +4         -1           Cundation-422-55         -1           -4         -1           Cundation-422-55         -1           -2         +4	Jk         Syr           glTax Rtnl V         9.           45.         9.           +5         8.           +2         10.           11.         14.           14.         14.           +4         7.07.           +5         15.           +6         9.7.           +5         15.           +6         9.           +3         12.           +3         14.           +4         15.           +4         16.	Babel Cheg	22 Mo formance ting J Fund Intri G&J Intri G&J In	VTD 12Wk           VTD 12Wk           1         (chg) (chg)           ni         +3         +0           mer         +1         +0           +8         -1         indam+11         +0           indam+11         +0         +9         +0           indam+1         +0         +9         +0           indam+1         +0         Sond         +1           Sec         -1         -3         ut         +8           +835-3879         mall/M+5+2         CCV         -3         +1           IVal +66         +3         yers Funds         10-992-8151         apVal+11-6           apVal+14-6         +3         yers Funds         10-992-8151         apVal+14-6         +3           aptFoc+8         +2         anFoc+8         +2         anFoc+8         +7         -2           sunds Trst         +7         -2         sunds Trst         +7         -2	Syr         Net After         Asset Asset         NAI Tax Rtnj         Valuej         Chu Chu           +2         14.42 - 0.04         -3         22.48 - 0.01           +2         33.83 - 0.16         0         12.23         0.04           +7         47.89 - 0.03         -1         14.96 - 0.01           +7         47.89 - 0.03         -1.67 - 0.14         -1.47           +5         51.67 - 0.14         -4         61.36 - 0.48         0           0         9.39 0.01         +1         11.99 - 0.03         0         11.83 0.05           +7         54.88 - 0.24         -0.03         0         11.83 0.05         +7         54.43 - 0.03           +7         15.89 - 0.17         +4         9.19 0.00         +5         14.74 - 0.16         +6         9.28 - 0.08           +4         18.42 - 0.06         +8         19.53 - 0.04         +7         42.76 - 0.06         +8         29.54 - 0.22
Mo         YTD 12Wk           Keromance         YTD 12Wk           Lating I Fund         Chgl Chgl T           or Thursday, September         — A —           I.3.8 bil 800-221-5672         Lating I Fund           Lating I Fund         Lating I Fund           Lating I Fund         September           Lating I Fund         Lating I Fund           Lating I Fund         Lating I Fund           Lating I Fund         September           September         September           Lating I Fund         September           Lating I Fund         September           Lind I Store F 7 + 3         September           Lind I Store F 7 + 40         September           Lating I September         September           Lind I Store F 9 + 40         September           Lating I September         September           Lating I September         September           Lating I September         September <td>Syr         Net           SYr         Net           After         Asset NAV ax Rtnl Value  Chg           7, 2023        </td> <td>36 Mo           Performance           Rating I Fu           A           N-US I           A           Sustai           American           \$22.9 bil :           B+ Eq Inc           D           D           American           \$2.7 bil :           A- Intl SC           A US Eqt           A+ US ISC           American           \$67.4 bil :           B+ Growti           B- Hertge           B- Select           B+ Ultra           A+ Value           American           \$16.6 bil :           A MC Va           A Merican           \$936 bil 8           C 2020 T           C 2025 T           C + 2030 T</td> <td>YD 12/2           e         % %           md           Chajl Ch           N         +16         -1           Data        </td> <td>Jk         Syr           glTax Rtnl         W           gJTax Rtnl         9.           45.         45.           +5         8.           +2         10.           11.         14.           14.         14.           +6         9.7.           +11         46.1.           +12         72.0.7.           +13         72.7.           +5         15.           +6         9.7.           +5         15.           +6         1.1.           +12         72.4.           +5         15.           +6         9.           +3         12.           +4         15.           +4         15.           +4         15.           +4         16.           +5         17.</td> <td>Pret         33           ssset NAV         P           Babel Chy         P           33 - 0.10         D           07 - 0.11         B           55 - 0.02         D           27 - 0.06         B           55 - 0.06         C           57 - 0.12         D           9n - 0.18         AI           8n - 0.12         \$           55 - 0.03         A           9n - 0.18         AI           8n - 0.12         \$           51 - 0.03         A           49 - 0.11         A           A1         A           10 - 0.48         A           9n - 0.02         A           A1         A           A2         A           A1         A           A2         A           A1         A           A2         A           A3         A           A4         A           A1         A           A3         A           A4         A           A51         0.00           57 - 0.03         A4</td> <td>22 Mo formance titing I Fund IncrfndA Intri G&amp;I Intri G&amp;I I</td> <td>2 VTD 12Wk % % % 1 Chyper 12Wk % % % 1 Chyper 2 mi +3 +0 mer +1 +0 +8 -1 mer +17 +4 KEXB +1 +0 0 mer +17 +4 KEXB +1 +0 0 mer +17 +4 KEXB +1 +0 0 m +19 +4 rld +10 +0 spctv+16+2 rld +9 +0 ndAm+1 +0 80nd +1 -1 Sec -1 -3 ut +8 +3 H-835-3879 mall/M+5+2 CV -3 +1 upVal +6 +1 Val +6 +3 prose Funds noPoge-8151 apVal+11+6 anFoc+8 +2 anFun+8 +2 a</td> <td>Syr         Net After         Asset Asset         NAI Tax Rtnj         Valuej         Chu Chu           +2         14.42 - 0.04         -3         22.48 - 0.01           +2         33.83 - 0.16         0         12.23         0.04           +7         47.89 - 0.03         -1         14.96 - 0.01           +7         47.89 - 0.03         -1.67 - 0.14         -1.47           +5         51.67 - 0.14         -4         61.36 - 0.48         0           0         9.39 0.01         +1         11.99 - 0.03         0         11.83 0.05           +7         54.88 - 0.24         -0.03         0         11.83 0.05         +7         54.43 - 0.03           +7         15.89 - 0.17         +4         9.19 0.00         +5         14.74 - 0.16         +6         9.28 - 0.08           +4         18.42 - 0.06         +8         19.53 - 0.04         +7         42.76 - 0.06         +8         29.54 - 0.22</td>	Syr         Net           SYr         Net           After         Asset NAV ax Rtnl Value  Chg           7, 2023	36 Mo           Performance           Rating I Fu           A           N-US I           A           Sustai           American           \$22.9 bil :           B+ Eq Inc           D           D           American           \$2.7 bil :           A- Intl SC           A US Eqt           A+ US ISC           American           \$67.4 bil :           B+ Growti           B- Hertge           B- Select           B+ Ultra           A+ Value           American           \$16.6 bil :           A MC Va           A Merican           \$936 bil 8           C 2020 T           C 2025 T           C + 2030 T	YD 12/2           e         % %           md           Chajl Ch           N         +16         -1           Data	Jk         Syr           glTax Rtnl         W           gJTax Rtnl         9.           45.         45.           +5         8.           +2         10.           11.         14.           14.         14.           +6         9.7.           +11         46.1.           +12         72.0.7.           +13         72.7.           +5         15.           +6         9.7.           +5         15.           +6         1.1.           +12         72.4.           +5         15.           +6         9.           +3         12.           +4         15.           +4         15.           +4         15.           +4         16.           +5         17.	Pret         33           ssset NAV         P           Babel Chy         P           33 - 0.10         D           07 - 0.11         B           55 - 0.02         D           27 - 0.06         B           55 - 0.06         C           57 - 0.12         D           9n - 0.18         AI           8n - 0.12         \$           55 - 0.03         A           9n - 0.18         AI           8n - 0.12         \$           51 - 0.03         A           49 - 0.11         A           A1         A           10 - 0.48         A           9n - 0.02         A           A1         A           A2         A           A1         A           A2         A           A1         A           A2         A           A3         A           A4         A           A1         A           A3         A           A4         A           A51         0.00           57 - 0.03         A4	22 Mo formance titing I Fund IncrfndA Intri G&I Intri G&I I	2 VTD 12Wk % % % 1 Chyper 12Wk % % % 1 Chyper 2 mi +3 +0 mer +1 +0 +8 -1 mer +17 +4 KEXB +1 +0 0 mer +17 +4 KEXB +1 +0 0 mer +17 +4 KEXB +1 +0 0 m +19 +4 rld +10 +0 spctv+16+2 rld +9 +0 ndAm+1 +0 80nd +1 -1 Sec -1 -3 ut +8 +3 H-835-3879 mall/M+5+2 CV -3 +1 upVal +6 +1 Val +6 +3 prose Funds noPoge-8151 apVal+11+6 anFoc+8 +2 anFun+8 +2 a	Syr         Net After         Asset Asset         NAI Tax Rtnj         Valuej         Chu Chu           +2         14.42 - 0.04         -3         22.48 - 0.01           +2         33.83 - 0.16         0         12.23         0.04           +7         47.89 - 0.03         -1         14.96 - 0.01           +7         47.89 - 0.03         -1.67 - 0.14         -1.47           +5         51.67 - 0.14         -4         61.36 - 0.48         0           0         9.39 0.01         +1         11.99 - 0.03         0         11.83 0.05           +7         54.88 - 0.24         -0.03         0         11.83 0.05         +7         54.43 - 0.03           +7         15.89 - 0.17         +4         9.19 0.00         +5         14.74 - 0.16         +6         9.28 - 0.08           +4         18.42 - 0.06         +8         19.53 - 0.04         +7         42.76 - 0.06         +8         29.54 - 0.22
King         YTD 12Wk           Kerformance         %           Lating I Fund         Chgl ChgJ T           for Thursday, September	Syr         Net           SYr         Net           After         Asset NAV ax Rtnl Value  Chg           7, 2023         -           -6         28.41 -0.17           -3         10.67 -0.03           -5         6.13 -0.01           -3         8.59 -0.02           -4         21.32 -0.23           0         6.65 0.01           0         6.65 0.01           1         11.5 -0.05           1         8.509 -0.02           -4         12.48 -0.09           -6         16.33 0.00           -7         85.02n -0.12           -9         105.93m -0.49           -5         24.93 -0.17           -9         55.92         0.16           -3         10.53 -0.04           -4         25.03 -0.22	36 Mo           Performance           Rating I Fu           A           N-US I           A           Sustai           American           \$ 22.9 bil i           B+ Eq Inc           D           D Int TF           American           \$ 2.7 bil 8           A- Intl SC           A US Eqt           A+ US SCV           American           \$ 67.4 bil i           B+ Growti           B- Hertge           B+ Select           B+ Ultra           A+ Value           American           \$ 16.6 bil i           A MC Va           A SC Val           American           \$ 936 bil 8           C 2020 T           B 2040 T	Y00         12/2           e         % %           md           Chg  Ch           N         +16           N         +16           N         +16           Md         200-345-3533           +1         +0           Bd         +1           Century I         300-345-3533           39-28-2684         V           V         +8           Century Iw         800-345-2021           Val         +1           Val         +1           +31         +44           +2         +1           %         +31           +30         +5           +31         +44           +2         +1           Century K6         600-345-35333           I         -1           +4         -1           Funds A         000-421-4225           DR         +4           DR         +5           DR         +9           DR         +0           PC         +1           PC         +1	Jk         Syr           glTax Rtnl         W           gJTax Rtnl         9.           45.         45.           +5         8.           +2         10.           11.         14.           14.         14.           +6         9.7.           +11         46.1.           +12         72.0.7.           +13         72.7.           +5         15.           +6         9.7.           +5         15.           +6         1.1.           +12         72.4.           +5         15.           +6         9.           +3         12.           +4         15.           +4         15.           +4         15.           +4         16.           +5         17.	Pret         33         -0.10         P         O         P         O         P         P         O         P         O         P         O         P         O         P         O         P         O         P         O         P         O         P         O         O         P         O         O         P         O         O         P         O	22 Mo formance tating 1 Fund IncrfndA Intr 1684 Intr 1684 I	2 YTD 12WK % % ( Chg) Chg) ni +3 +0 mer +1 +0 +8 -1 indAm+1 -1 Amer+17 +4 XEXB +1 +0 indAm+1 +1 +19 +4 +17d +10 +0 spctv+16+2 rld +9 +0 ndAm+1 +0 30nd +1 -1 Sec -1 -3 ut +8 +3 -835-3879 mall/M+5+2 (CV -3 +1 inpVal +6 +1 Val +6 +3 ipvSa +6 +1 Val +6 +3 ipvSa +6 +2 anFunks +3 +7 -2 Funds Trst i-751-4324 Inc +3 +2 - 6-290-2688	Syr         Net After         Asset Asset         NAI Tax Rtnj         Valuej         Chu Chu           +2         14.42 - 0.04         -3         22.48 - 0.01           +2         33.83 - 0.16         0         12.23         0.04           +7         47.89 - 0.03         -1         14.96 - 0.01           +7         47.89 - 0.03         -1.67 - 0.14         -1.47           +5         51.67 - 0.14         -4         61.36 - 0.48         0           0         9.39 0.01         +1         11.99 - 0.03         0         11.83 0.05           +7         54.88 - 0.24         -0.03         0         11.83 0.05         +7         54.43 - 0.03           +7         15.89 - 0.17         +4         9.19 0.00         +5         14.74 - 0.16         +6         9.28 - 0.08           +4         18.42 - 0.06         +8         19.53 - 0.04         +7         42.76 - 0.06         +8         29.54 - 0.22
KMo         YTD 12Wk           Kerformance         %           Lating I Fund         Chgl ChgJ T           for Thursday, September	Syr         Net           SYr         Net           After         Asset NAV ax Rtnl Value  Chg           7, 2023         -           -6         28.41 -0.17           -3         10.67 -0.03           -5         6.13 -0.01           -3         8.59 -0.02           -4         21.32 -0.23           0         6.65 0.01           0         6.65 0.01           1         11.5 -0.05           1         8.509 -0.02           -4         12.48 -0.09           -6         16.33 0.00           -7         85.02n -0.12           -9         105.93m -0.49           -5         24.93 -0.17           -9         55.92         0.16           -3         10.53 -0.04           -4         25.03 -0.22	36 Mo           Performance           Rating I Fu           A         N-US I           A         Sustai           American         22.9 bil I           B+ Eq Inc         D           D Int TF         American           2.7 bil 8.         A           A - Intl SC         A           A - US I I         A           A - Intl SC         A           B + Eq Inc         B           B - Not IC         B           B - Not IC         B           B - Not IC         B           B - Forowti         B           B - VItra         A - Value           American         \$ 16.6 bil I           A - MC Value         American           \$ 2020 T         C         2020 T           C 2020 T         C         2020 T           C 2020 T         C         2030 T           B 2040 T         B 2040 T         B         2040 T           B 2040 T         B         2040 T         B         2050 T           B 2050 T         B         AMCAI	YUD 122           e         % %           n         I Chaj Ch           n         E         +16           n         E         +16           M         V         +16         +1           Main         W         +1         +0           Bd         +1         +1         Bd           Bd         +1         +1         Bd           S3-928-2684         V         +8         +2           V         +8         +2         Y         +12         +4           V         +8         +2         S00-345-2021         Val         +1         +0           B00-345-2021         Val         +1         +1         +30         +5         +5         +14         +3         +30         +5         +5         +14         +3         +30         +5         +5         +4         -1         -2         +4         -1         -2         +4         -1         -2         +4         -1         -1         -2         +4         -1         -1         -2         +4         -1         -1         -2         +4         -1         -1         D         -1         -2	Jk         5 Yr           glTax Rtnl W         9.           9.         45.           +5         8.           +2         10.           11.         14.           14.         14.           +4         16.           +5         15.           +6         9.7           +7         20.7           +11         46.           +7         20.7           +11         98.1           +12         72.4           +6         9.7           +5         15.           +6         9.           +3         14.           +4         15.           +5         17.           +5         17.           +5         36.	Net         33         -10         D           07         -0.11         B	22 Mo efformance limirs of finite limirs of finite limirs of finite limirs of finite limirs of finite limite l	YTD 12Wk           I         I Chg] Chg]           ni         +3           ni         +3           rdAm+1         +           FindAm+1         +           Amer+17         +           xEXB         +           on         +19           +4         +10           on         +19           +4         +10           on         +19           ondAm+1         +0           ondAm+1         +0           andAm+1         +0           andAm+1         +0           andAm+1         +3           +835-3879           mall/M+5+2           CV         -3           ut         +8           0-992-8151           apVal+11+6           anFun+8           +7           -2           crunds Trst           :-751-4324           Inc           inc           :-751-4324           inc           :-75-1-4324           :-75-6290-2688           :-7           :-6290-2688           :-7           :-6290-2	5 Wr         Net After         Asset NAI Tax Rtnj Valuej Chu           +2         14.42 -0.04
Kino         YTD 12Wk           Keromanace         %         %           Kating I Fund         Chgl Chgl T           Charles         Chgl Chgl T           Gor Thursday, September         —           A Eguity Inc.         13.8 bil 800-221-5672           A Equity Inc.         +13.4 3-           + AllMktReall         +1.2 -2           + RelativeVal         +5.4 -4           + AllMktReall         +1.2 -2           + RelativeVal         +5.4 -4           - AllMktReall         +1.2 -2           - AllMktReall         +1.2 -2           - B Funds         ADV           39.2 bil 800-221-5672         Ke Elotabond           - B Ugab Gone         +5.4 -4           - Global Bond         +1           - Global Bond         +1           - B Lg Cap Gr         +24.4 -5           A Sm Cp Core         +9.4 -5           - Kard Growth-11.4 -4         -4           - MdvisorsInnerCir         -1.4 Farm Growth-11.4 -4           - ValueEquity         +4.2 -2           - Kre Funds         -1.2 bil 888-386-3578           - ValueEquity         +4.2 -2           - Kre Funds         -1.2 bil 880-243-1574           - Div	Syr         Net           SYr         Net           After         Asset NAV ax Rtnl Value  Chg           7, 2023         -           -6         28,41 - 0.17           -3         10.67 - 0.03           -5         6,13 - 0.01           -3         8.59 - 0.02           -4         21.32 - 0.23           0         6.65           0         6.65           0         6.65           11         16.50 - 0.34           -4         12.48 - 0.09           -6         16.33           -7         85.02n - 0.12           -9         105.93m - 0.49           -5         24.93 - 0.17           -9         55.92         0.16           -3         10.53 - 0.04           -4         25.03 - 0.22	36 Mo Performance           Rating I Fu           A           N-US I           A           Sustai           American           \$ 22.9 bil I;           B+ Eq Inc           D           D Int TF           American           \$ 2.7 bil 8;           A- Intl SC           A US Eqt           A+ US SCV           American           \$ 67.4 bil 1;           A Foc LC           B+ Growti           B- Hertge           B+ Select           B+ Ultra           A+ Value           American           \$ 16.6 bil:           A MC Va           A+ SC Val           American           \$ 936 bil 8           C 2020 T           B 2040 T           B 2050 T           B AmeriA	YUD 12/2           e         % %           md           Chaji Ch           n E         +16         +1           n E         +16         +4           Century I         800-345-3533         +1         +0           Bd         +1         -1         Century Ins         33-928-2684           V         +8         +2         +1         +1           Bd         +1         +1         K         +1           W         +8         +2         +2         +4           V         +8         +4         Century Inv         800-345-2021           Val         +1         +30         +5         +1           Stat         +1         +2         +1           Century Inv         800-345-35333         +1         +2           Century R 6         800-345-35333         +1         +2           Century R 6         800-345-35333         +1         +2           Century R 6         9         +1         0           DR         +10         +2         +1         +2           PR         +10         +2         +1         +2           DR         +	Jk         5 Yr           glTax Rtnl W         9.           9.         45.           +5         8.           +2         10.           11.         14.           +4         14.           +4         46.           +7         20.7           +11         46.2           +7         20.7           +11         98.1           +4         15.           +5         15.           +6         9.7           +3         14.           +4         15.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         3.6.           +6         49.2	Net         33         -0.0         D           07         -0.11         B	22 Mo formance linit Gal Intreduction InvstCo/ LtdTrmT: New Ecco New Wo New Pers SmCPW' ST BndFi Tax-Ex B US Govt Wash M MG Funds 3.1 bil 8000 G WashS R R Div A R RSmCla d Wash M G Managg Packtma SC Cay Bill 80 R R MidC 2.9 bil 855 Oak MS I Sp bil 86 Div Strate GlobalEc LgCapDe	YTD 12Wk           I         I chg1 Chg1           ni         +3         +0           mer         +1         +0           mer         +1         +0           fndAm+1         +1         +0           amer+17         +4         +10           amer+17         +4         +11           Sec         -1         -1           ut         +8         -3           op92         -1	Styr         Net After           4.3         22.48           1.2.23         0.04           +2         3.83           1.4.22         0.04           +2         3.83           0         12.23           0.4         12.23           1.4.26         0.01           +7         47.89           4.7         47.89           4.7         7.88           1.4.96         0.01           +5         51.67           4         72.80           0         9.39           1.1         1.99           0         11.83           0.03         11.83           +7         15.89           +7         15.89           +7         15.89           +7         15.89           +7         15.89           +7         12.80           +6         9.28           +7         12.90           +4         18.42           +7         22.76           1.0         8.41           1.0         8.41           1.0         8.41           1.0         8.4
36 Mo         YTD 12Wk           7607mance         %           Rating I Fund         1 Chgl Chgl T           For Thursday, September	Syr         Net           SYr         Net           After         Asset NAV ax Rtnl Value  Chg           7, 2023         -           -6         28,41 - 0.17           -3         10.67 - 0.03           -5         6,13 - 0.01           -3         8.59 - 0.02           -4         21.32 - 0.23           0         6.65           0         6.65           0         6.65           11         16.50 - 0.34           -4         12.48 - 0.09           -6         16.33           -7         85.02n - 0.12           -9         105.93m - 0.49           -5         24.93 - 0.17           -9         55.92         0.16           -3         10.53 - 0.04           -4         25.03 - 0.22	36 Mo Performance           Rating I Fu           A         N-US I           A         Sustai           American         \$22.9 bil :           B+ Eq Inc         D           D         Int TF           American         \$2.7 bil :           A         - Intl SC           A         US Eqt           A+ US SCV         American           \$67.4 bil :         - A Foct LC           B+ Growtit         B- Hortge           B+ Select         B+ Ultra           A+ Value         American           \$936 bil :         C           C 2020 T         C           C 2020 T         C           C 2020 T         C           B 2035 T         B           B 20405 T         B           B 2050 T         B           B 2050 T         B	YUD 12/2           e         % %           md           Chaji Ch           n E         +16         +1           n E         +16         +4           Century I         800-345-3533         +1         +0           Bd         +1         -1         Century Ins         33-928-2684           V         +8         +2         +1         +1           Bd         +1         +1         K         +1           W         +8         +2         +2         +4           V         +8         +4         Century Inv         800-345-2021           Val         +1         +30         +5         +1           Stat         +1         +2         +1           Century Inv         800-345-35333         +1         +2           Century R 6         800-345-35333         +1         +2           Century R 6         800-345-35333         +1         +2           Century R 6         9         +1         0           DR         +10         +2         +1         +2           PR         +10         +2         +1         +2           DR         +	//k         Syr           //k         Syr           glTax Rml V         9.           45.         45.           +5         8.           +2         10.           11.         14.           14.         14.           14.         14.           14.         14.           +5         15.           +5         15.           +5         15.           +6         9.           +3         12.           +3         14.           +4         15.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.           +5         17.	Ret         33         -10         D           07         -0.11         B	22 Mo formance lint (Bal Intredation) lint (Bal Intredation) lin	YTD 12Wk           I         I chg1 Chg1           ni         +3         +0           mer         +1         +0           mer         +1         +0           fndAm+1         +1         +0           amer+17         +4         +10           amer+17         +4         +11           Sec         -1         -1           ut         +8         -3           op92         -1	5 Wr         Net After         Asset NAI Tax Rtnj Valuej Chu           +2         14.42 -0.04

Apple Inc (AAPL)	PYG) VS SMALL CAP GROWTI 12.63% NeoGenomics Inc (NE	0) 1.35% Ar	ple Inc (AAPL)	(IUSG) VS VALUE ETF 11.88%	e (IUSV) Berkshire Hathaway (BRKB) 2.84
Microsoft Corp (MSFT) Amazon.com Inc (AMZN)	10.02%     Cleveland-Cliffs Inc (       8.27%     Yeti Holdings Inc (YET)	CLF) 1.31% M	icrosoft Corp (N nazon.com Inc	4SFT) 9.42% (AMZN) 7.78%	J P Morgan Chase (JPM) 2.43 Walt Disney Company (DIS) 2.06
Facebook Inc Cl A (FB) Tesla Inc (TSLA) : :	3.91% Omnicell Inc (OMCL) 3.19% Brooks Automation (I : :		icebook Inc Cl A Isla Inc (TSLA)		Johnson & Johnson (JNJ) 1.56 Verizon Communications (VZ) 1.53 : :
					4
•	month	······································	Чщ		-
M	and the second s		Vm		
: :	growth funds are outperforming smal		:	ding up, growth funds are ou	
: Oct : Jan 6Mo YTD 12Wk 5Yr Net			Oct	Jan	Apr 2023 Jul
Performance % % After Asset NAV Rating   Fund   Chg   Chg   Tax Rtn   Value   Chg	Top Growth			•	vth Funds
870 mil 888-661-6691	Last 3 months (all total r			Last 3 years (all tot	
- SmCp Eqty -2 -3 +3 13.44n -0.13 ristotle Value	Mutual Fund	Performance % Change Rating   Last 3 Mo   36 mos	\$ Net Assets	Mutual Fund	Performance % Change Rating \$ Net   YTD   3 years   Assets
712 mil 888-661-6691	Fairholme:Fairholme	+24 A+	1.516 bil	Kinetics:SC Oppty	-11 A+ 219.80 m
- Val Eqty +8 +3 +8 18.48n -0.07 rtisan Funds Inst	Kinetics:Paradigm		0 1017 0 11110	ProFunds:Semicond	
34.0 bil 800-344-1770	Kinetics:SC Oppty ProFunds:Semiconduct			Oberweis:Micro-Cap Third Avenue:Value	+13 A+ 240.60 r +10 A+ 754.30 r
+ Intl +8 +1 +3 25.97 0.02 + Value +13 +1 +6 43.66 -0.02	Rydex:NASDAQ 2x			Kinetics:Paradigm	-13 A+ 343.70 r
+ Cap +21 +7 +8 40.47 -0.22	ProFunds:UltraNASDAQ			Hotchkis:Sm Cap Val	
<b>rtisan Funds Inv</b> 34.0 bil 800-344-1770	Value Line Lg Co Fc Fidelity Focused Stk	+10 D+ +9 B+		Hennessy:Crnst MdC Oberweis:Sm-Cap Oj	
Value +16 +1 +5 19.70n -0.01	Federated Hrms Kau LC	+9 C		Avantis US SCV	+8 A+ 443.80 n
Cap Value +8 +1 +5 16.75n -0.10 ve Maria Funds	Parnassus Md Cp Gr			Undsc Mgr:Beh Val	+1 A+ 2.586 e +44 A+ 1.516
2.9 bil 888-726-9331	Hodges Victory Aggrssv Gr	+9 A+ +9 B-		Fairholme:Fairholm Hennessy:Crnst Gro	e +44 A+ 1.516 +11 A+ 152.80 r
MariaRising +7 +5 +7 20.41n 0.00	Hennessy:Crnst Gro		152.80 mil	Victory:Integrity SCV	
I+ Maria Value +4 +8 +6 24.93n -0.02 ■	Weitz:Lg Cap Eq			Fidelity Value Strat FMI:Common Stock	+10 A+ 577.80 n +12 A+ 517.10 n
<b>— B —</b> Haird Funds	Morg Stan I:Inc Fidelity BlueChp G;Series	+9 E +9 A-		Hodges Small Cap	+12 A+ 517.10 r +10 A+ 148.30 r
80.4 bil 866-442-2473	Invest:House Growth	+9 C+		Fidelity Value Fund	+8 A+ 7.542
AggregateBd +1 -1 0 9.49 0.03 CorePlusBd +1 -1 +1 9.78 0.02	Fidelity Sel Auto			Victory:RS Partners Fidelity Adv Val	+7 A+ 236.10 r +8 A+ 160.10 r
CorePlusBd +1 -1 +1 9.78 0.02 Intmdt Bond +2 +0 +1 10.04 0.02	PACE Lg Co Gr Bridges Investment Fd			Victory:Integ SMCV	+7 A+ 233.40 r
Short-TermB +2 +1 +1 9.25 0.01	Virtus:KAR Cap Growth			Royce Fd:SC Oppty	+9 A+ 966.10 r
aron Instl Shares 24.0 bil 800-992-2766	CIBC Atlas AllCp Gr Fidelity Blue Chip Gr	+8 B +8 B+		Columbia:SmCp Val   Third Avenue:SC Val	I +9 A+ 535.90 n +12 A+ 176.80 n
C Asset Fund +9 +4 +7 100.32 -0.43	T Rowe Price LC Gro	+8 B		Hodges	+18 A+ 172.60 r
Emerg Mkt +4 -1 +1 13.53 -0.15 Focused Gro+21 +1 +19 35.98 -0.21	Fidelity Sel Comm Serv	+8 B-	1.037 bil	Principal:SCV II	+8 A+ 185.60 r
<b>3+</b> Growth +12 +2 +9 99.78 -0.02	U.S. Stock Fund Cash Position High	i (11/00) 6.2% Lo	w (12/21) 1.5%	36 Mo YTD 12Wk 5 Yr	Net 36 Mo YTD 12Wk 5 Yr Net
A+ PartnersFun+36 +2 +23 157.81 -0.56 C+ SmallCapFun+17+6 +7 31.02 -0.15	22-Feb 1.90%   22-Aug	2.50%   23-Fel			sset NAV Performance % % After Asset
Bernstein Fds	22-Mar 2.00% 22-Sep	2.50% 23-Ma	r 2.17% /	<b>A-</b> EnhancedUSL+17+4 +7 11.5	87 -0.04 E Kauf +7 +2 +3 5.02 -
3 12.8 bil 800-221-5672 E IntermDurat +0 -2 0 11.02n 0.03	22-Apr 2.10% 22-Oct	2.50% 23-Api	2.22/0	C GIRESecPort -1 -2 +2 9. B GIbIAII60/4 +8 +2 +4 19.	62 0.04 <b>Federated Hermes Svc</b> 90 -0.05 \$ 668 mil 800-341-7400
) Div Muni +2 +0 +2 13.60n -0.01	22-May 2.20% 22-Nov	2.50% 23-Ma	y 2.05%		03 -0.15 <b>A</b> Mid Cap Id +7 +1 +5 16.06n -
<b>HackRock Funds</b> ; 32.0 bil 800-441-7762	22-Jun 2.40% 22-Dec	2.40% 23-Jur			76 0.03 <b>Fidelity Funds</b> 76 0.03 \$1023 bil 877-208-0098
Core Bond +1 -2 0 8.10 0.02	22-Jul 2.40% 23-Jan	2.30% 23-Jul	E	<b>B+</b> IntlCoreEqt +9 +0 +3 14.4	
HY Bd +7 +2 +2 6.78 0.00 Low Dur +2 +1 0 8.85 0.01	36 Mo YTD 12Wk 5 Yr Net Performance % % After Asset NAV		After Asset NAV		56 -0.01 <b>A</b> 500IndexFun+17 +4 +10 154.92n -
Low Dur +2 +1 0 8.85 0.01	Rating   Fund   Chg   Chg   Tax Rtn   Value   Chg			A IntISmCapVa +9 +2 +2 20.1 B IntI Sm Co +6 -1 +2 18.1	21 -0.11 D- EmergMktsId +3 -2 +1 9.76n - 24 -0.12 B ExtendedMkt+13+2 +5 70.98n -
44.8 bil 800-441-7762	<b>Boston Trust Walden</b> \$ 1.1 bil 888-248-1954	A Div Strat +7 +2 B- LargeCapGr +33 +6	+9 60.77-0.14	8- IntlSustain +8 -2 +3 11.	
Adv LCV +6 +3 +4 27.67 -0.07 + Cap App +35 +7 +7 29.61 -0.15	A TrustEquity +12 +4 +10 38.69 -0.10	A LargeCapVal +7 +5	+/ 30.00 0.13	<b>A+</b> IntlValuell   +11 +2  +3   16.5 <b>A+</b> Intl Value   +11 +2  +3   19.5	53 -0.08 A- FlexMidCapl +8 +2 +7 15.38 - 25 -0.09 C+ GlobalexUSI +7 -1 +3 13.46n -
+ Enrgy Opp +7+11 +2 13.45 -0.04	A TrustWalden+10 +4 +9 33.32 -0.14 Bridgeway Funds	D+ SmallCapGro +3 -1 A- Small Cap +10 -1	+0 00.00-0.04	A- IntiVectorE +8 +0 +2 12.	65 -0.08 D- InflProtBdI +1 -1 +1 9.08n
- GI Alloc +5 -1 +2 17.22 -0.02 - UnconstrdEq+23 +1 +8 11.90 -0.08	\$ 1.0 bil 800-661-3550	A TactIDivInc +10 +2	+5 20.14 0.00	0 1	81 -0.11 E IntTrsBdIdx +0 -3 0 9.43n 65 0.25 B Internation +9 -1 +3 44.99n -
lackRock Funds Inst	A+ Sm Cp Val +2 -1 +9 35.43n -0.42 Brookfield Investmen	Clipper \$ 1.0 bil 800-432-2504		A SelHdgdGlbE+12 +2 +6 19.	11 -0.11 E LgTrTrsBdld -3 -6 -1.0 9.63n
230 bil 800-441-7762 - Adv LC Cr +16 +4 +8 18.61 -0.06	\$ 635 mil 855-244-4859	A- Fund +19 +5	+0 121.20n -0.04		36 0.01 <b>A-</b> LrgCapGrold +30 +6 +12 27.10n - 62 -0.16 <b>A</b> LrgCapValld +5 +2 +6 15.43n -
- Auv Lu ci +10 +4 +6 10.01 -0.00 - Emg Mkt +4 -3 +3 23.04 -0.24	A+ CC Bf MSF +12 +4 0 4.59 0.02 Brown Advisory Funds	Cohen & Steers \$ 24.9 bil 800-437-9912			31 -0.17 A- MidCapIndex +8 +2 +7 27.85n -
Eqty Div +4 +1 +6 18.56 -0.05	\$ 5.3 bil 800-540-6807		+5 43.35 0.26	A US Large Co +17 +4 +9 30.4	44 -0.09 A MidCapValld +4 +2 23.46n -
+ Exchange +12 +2 +11 1863.20n -2.4 - Flt Rte I +9 +4 +2 9.66 0.01	<b>A-</b> Adv Flex Eq +24 +7 +10 32.84 -0.06		+1 11.30 0.00	<b>A+</b> USLgCapVal1 +4 +3 +5 27.' <b>A+</b> USLgCapVal +4 +3 +5 42.'	98 -0.09 B- <b>RealEstatel</b> +2 +0 +1 14.67n 73 -0.14 D- SAIEMIndex +3 -2 +1 12.60 -
Hi Eq Inc +3 +0 +5 26.72 -0.10	C- Adv Gro Eq +24 +7 +8 26.84 -0.13 A+ Adv SC FV +4 +2 +4 28.10 -0.20		+4 15.50 0.09 +5 59.55n 0.35	A US Lg Cp Gr +17 +6 +10 29.	56-0.06 B SAIEMLVIdx +8 +1 10.57
- HS Opp +1 +2 +7 69.21 0.25 + LCFocusVal +6 +0 +6 17.73 -0.10	Buffalo Funds	Columbia Acorn Funds	4	A+ USMicroCap +5 -1 +5 24. A+ US Sm Cp Gr +12 +1 +6 23.	00 -0.22 C+ SAIEMValldx +8 +0 11.77 - 60 -0.20 A+ SAIInfltnFo -3 +6 9.45 -
- MC Gro +17 +4 +7 35.11 -0.21	\$ 2.2 bil 800-492-8332 A+ Flex Inc +5 +4 +6 18.98n -0.01	\$ 57.1 bil 800-345-6611 D+ Acorn +16 +2	+3 10.38-0.07	A+ USSmallCapV +5 +2 +5 40.	92 -0.42 <b>A</b> SAIIntValld +11 +1 +2 9.24 -
+ Md Cp Val +4 +0 +7 21.48 -0.15 - Mlt-A Inc +4 +0 +2 9.58 0.01	-C-	Columbia Class A	4	A+ USSmallCap +6 +0 +5 40.1 A USSocCoreEq+15+3 +8 21.1	87 -0.42 B SAlIntlInde +9 -1 +3 12.84 - 91 -0.15 C SAlItILowVo +7 -1 +2 10.50
- Nat Muni +2 +0 +2 9.93 -0.01	Calamos Funds	\$ 50.0 bil 800-345-6611 B- Balanced +13 +2	+5 45.49 0.00	A USSustainCo+15 +4 +9 34.	58 -0.14 E SAILT TBI -4 -7 -1.0 7.17
St Muni 0 +0 -2 +1 10.13 -0.02 + Str Inc Opp +2 +0 +1 9.12 0.02	\$ 20.0 bil 800-582-6959	<b>A</b> Disc Core +17 +4	+7 12.75-0.06	A+ USTargetedV +6 +2 +6 28. A+ USVectorEqt +7 +2 +6 22.	
- Tech Oppt +35 +4 +12 50.58 -0.56	C+ MktNeutlnc +7 +2 14.65 0.01 Calvert Investments		+0 04.14-0.01	A WidexUSVal+10 +2 +2 12.	03 -0.06 E SAITotalBd +2 -1 8.75
Tot Rtn +1 -2 0 9.71 0.02	\$ 5.0 bil 800-368-2745	A LCV +3 +3	+5 15.19-0.01	A- WidexUSTgtV+9 +1 +2 13.	16 -0.07 <b>A</b> SAIUSLCIdx +17 +4 +9 19.71 - <b>B</b> + SAIUSLOWVOI +8 +3 +8 17.94
NY Mellon Funds 36.9 bil 800-373-9387	<b>A-</b> Eqty +10 +5 +10 72.80 -0.06 <b>A-</b> USLCCResIx +17 +4 +9 37.78 -0.16	<b>B+</b> LgCp Gro +31 +5 <b>A-</b> Over Val +8 +1	+9 04.29-0.24	<b>Dodge &amp; Cox</b> \$ 188 bil 800-621-3979	<b>A-</b> SAIUSQualId+20 +6 +10 18.34 -
ActiveMidCa +8 +2 +3 52.74-0.22	Cambiar Funds	A- Over var +8 +1 A+ Sel GI Tch +31 +5	+14 62.86 -0.96	A- Balance +7 +3 +5 97.8	2n -0.13 E SAIUSTrsBd +0 -2 0 8.55
- Appreciatio +15 +4 +10 40.53n -0.11 + DynamicValu +7 +5 +8 41.36 -0.08	\$ 572 mil 866-777-8227 <b>A</b> Opportunity +9 +3 +8 26.51 0.06	A+ Sel MC Val +2 +1	+0 12.03-0.00	A+ Glbl Stock +13 +4 +6 14.2 D Global Bd +5 +0 +2 10.4	
	- opportunity +/+0 +0 20.01 0.00	A+ Sel T&Info +30 +5	TI4 IU0.40 TI./		
GlobalFixed +2 -1 +1 19.11 0.02	Carillon Eagle Funds A	A+ Select SCV +7 +1	+4 10.03 -0.14	E Income +2 -1 +1 12.2	
InstIS&P500 +17 +4 +9 61.52 -0.19	\$ 1.2 bil 800-421-4184	Columbia Class I	+4 10.03-0.14	A Intnl Stck +10 +1 +3 47.4	9n -0.30 <b>A</b> SmCpValldx +2 +0 21.75n -
InstIS&P500 +17 +4 +9 61.52 -0.19 - InternatISt +9 -6 +5 22.31 -0.19		<b>Columbia Class I</b> \$ 57.1 bil 800-345-6611	+4 10.03-0.14		9n -0.30 A SmCpValldx +2 +0 21.75n - 6n -0.73 B+ SmallCapInd +7 -1 +4 23.05n -
GlobalFixed +2 -1 +1 19.11 0.02 i InstIS&P500 +17 +4 +9 61.52 -0.19 - InternatISt +9 -6 +5 22.31 -0.19 i LargeCpSecu+23 +7 +11 16.00n -0.04 i MidcapIndex +7 +1 +6 28.40n -0.26 i OpptrstcMCV +6 +4 +3 29.40 -0.11	\$ 1.2 bil 800-421-4184 <b>A</b> - Egl Gr&Inc +2 +0 +5 21.55 0.02	<b>Columbia Class I</b> \$ 57.1 bil 800-345-6611 <b>A</b> Cntr Core +22 +5 + <b>A</b> Div Income +4 +3	+4 10.03-0.14 +10 29.92-0.06 +8 29.90 0.00	A Intnl Stck +10 +1 +3 47.4 A+ Stck +9 +4 +7 230.7	9n -0.30         A         SmCpValldx         +2 +0         21.75n -           6n -0.73         B+ SmallCapInd         +7 -1         +4         23.05n -           E         SrsBondldx         +1 -2         8.74           E         SrsEmergMkt+4         -2         8.07 -

INVESTORS.COM

Rating   Fund   Chg  Chg Tax Rtn  Value  Chg	Rating   Fund   Chg   Chg   Tax Rt	n  Value  Chg	Rating   Fund   Chg   Chg   Tax Rtn   Value   C	g Rating   Fund   Chg  Chg Tax Rtn  Value  Chg	Rating   Fund   Chg   Chg   Tax Rtn   Value   Chg	A
36 Mo YTD 12Wk 5 Yr Net Performance % % After Asset NAV	36 Mo YTD 12Wk 5 Yr Performance % % After	Asset NAV	36 Mo YTD 12Wk 5 Yr Net Performance % % After Asset N		36 Mo YTD 12Wk 5 Yr Net Performance % % After Asset NAV	\$1
E GI Bond +2 -1 0 8.51 0.02	C+ Hi-Inc +5 +2 +1	9.13 0.00	Aristotle	D Nat Int +1 -1 +2 12.66 -0.02	A- Appreciatio +13 +4 +8 30.50 -0.01	Co
\$ 9.7 bil 800-345-3533	B GrFndAmer +25 +6 +7	61.82 -0.15	A Appreciatio +4 +0 +5 39.25n -0.3	1 A+ Inc Stock +5 +4 +7 7.76 -0.02	A+ AllCapValue +7 +4 +3 13.09 -0.03	D
American Century G	C Global Bal +5 -1 +2	33.91 -0.03	A Inv +6 -2 +5 66.14n -0.7	9 \$ 7.0 bil 866-804-5023	C AggressiveG+10 +0 +2 106.02 -0.54	A+
A+ SC Val +7 +1 +4 23.92 -0.22	A- FndInvst +15 +4 +6	68.26 -0.15	\$ 2.2 bil 800-292-7435	BNY Mellon Funds Tru	\$ 37.4 bil 877-721-1926	A
A+ LCV +5 +3 +6 25.17 -0.08	D+ EurPacGr +9 -2 +2	53.17 -0.26	Ariel Inv	A- WorldwideGr+15 +2 +9 64.71 -0.16	ClearBridge	A
<b>A-</b> Intl Eq +14 +0 +2 17.93 -0.08	B CapWrldG&I+11+2+4	56.89 -0.19	A+ StylePremia +11+11 +1 8.36 -0.0	3 A SmallCapIdx +4 -1 +4 25.47n -0.21	A- AtlasEqtyIn +8 +1 +9 49.52 0.18	
\$ 4.2 bil 800-658-5811	E CapWrldBnd -1 -2 -2.0	15.75 0.02	A+ Risk-BalCom +2 +4 +11 9.13 -0.0	4 A SelMgrSCVal +6 +1 +5 20.33 -0.21	\$ 2.1 bil 855-328-3863	A
Amer Beacon Insti	B- CapIncBIdr +2 -1 +3	63.16 -0.02	A MgdFuturesS +4 +4 +3 9.04 -0.0	5 A- S&P500Index+17+4 +9 50.99n -0.16	CIBC Atlas	A

#### UNITED STATES DISTRICT COURT EASTERN DISTRICT OF NEW YORK

IN RE NORTHERN DYNASTY MINERALS LTD. SECURITIES LITIGATION

Case No. 1:20-cv-05917-ENV-TAM

#### SUMMARY NOTICE OF PENDENCY AND PROPOSED CLASS ACTION SETTLEMENT

TO: ALL PERSONS AND ENTITIES WHO PURCHASED OR OTHERWISE ACOUIRED NORTHERN DYNASTY MINERALS LTD. SECURITIES FROM DECEMBER 21, 2017 THROUGH NOVEMBER 24, 2020, BOTH DATES INCLUSIVE, (I) ON ANY STOCK EXCHANGES LOCATED IN THE UNITED STATES. (II) ON ANY ALTERNATIVE TRADING SYSTEMS LOCATED IN THE UNITED STATES, OR (III) PURSUANT TO OTHER DOMESTIC TRANSACTIONS, AND WHO WERE ALLEGEDLY DAMAGED THEREBY.

YOU ARE HEREBY NOTIFIED, pursuant to an Order of the United States District Court for the Eastern District of New York, that a hearing will be held on December 7, 2023, at 10:30 a.m., before the Honorable Tarvn A. Merkl, at the United States District Court, Eastern District of New York, Courtroom 324 North, 225 Cadman Plaza East, Brooklyn, New York 11201, for the purpose of determining: (1) whether the proposed Settlement of the claims in the above-captioned Action for the sum of \$6,375,000 in cash should be approved by the Court as fair, reasonable, and adequate; (2) whether the proposed Plan of Allocation to distribute the Settlement proceeds is fair, reasonable, and adequate; (3) whether the application of Lead Counsel for an award of attorneys' fees of no more than one third plus interest of the Settlement Amount, reimbursement of litigation expenses of not more than \$80,000. and awards of no more than \$25,000, in aggregate, or \$20,000 for Lead Plaintiff Lawrence Kelemen and \$5,000 for Named Plaintiff Charles Hymowitz, should be approved; and (4) whether this Action should be dismissed with prejudice as set forth in the Stipulation of Settlement dated June 7, 2023 ("Stipulation"). Lead Counsel has also applied for up to \$500,000 to pay for Administrative Costs.

The Court reserves the right to hold the Settlement Hearing telephonically or by other virtual means. The Court appointed Pomerantz LLP as Lead Counsel to represent you and the other Settlement Class Members. However, you have the right to retain your own counsel and the right to appear at the Settlement Hearing through counsel of your choosing.

If you purchased or otherwise acquired Northern Dynasty Minerals Ltd. ("Northern Dynasty") securities during the period from December 21, 2017 through November 24, 2020, both dates inclusive ("Settlement Class Period"), (i) on any stock exchanges located in the United States, (ii) on any alternative trading systems located in the United States, or (iii) pursuant to other domestic transactions, and: (i) have not asserted claims against any or all of the Defendants in cross-border litigation initiated outside of the United States, including in, but not limited to, the cases captioned Haddad v. Northern Dynasty Minerals Ltd. et al., Case No. VLC-S-S-2012849 and Woo v. Northern Dynasty Minerals Ltd. et al., Case No. VLC-S-S-211530 in Canada (ii) have been deemed by a court to be a member of a class in such litigation, for settlement purposes or otherwise; and (iii) are entitled to a settlement or other distribution payment - regardless of whether such payment is cashed - in connection with the resolution of the cross-border litigation, your rights may be affected by this Settlement, including the release and extinguishment of claims you may possess relating to your ownership interest in Northern Dynasty securities. If you have not received a detailed Notice of Pendency and Proposed Settlement of Class Action ("Notice") and a copy of the Proof of Claim and Release Form, you may obtain copies by writing to, calling, or contacting the Claims Administrator: Northern Dynasty Securities Settlement, clo Epiq Class Action & Claims Solutions, Inc., PO Box 4990, Portland, OR 97208-4990; 888-270-9130; Info@NorthernDynastySecuritiesSettlement.com. Copies of the Notice, Proof of Claim and Release Form can also be downloaded from the website maintained by the Claims Administrator, www.NorthernDynastySecuritiesSettlement.com. If you are a member

of the Settlement Class, in order to share in the distribution of the Net Settlement Fund, you must submit a Proof of Claim and Release Form electronically or postmarked no later than December 14, 2023, establishing that you are entitled to recovery. Unless you submit a written exclusion request, you will be bound by any judgment rendered in the Action whether or not you make a claim.

A OpptnstcMCV+6+4+3 29.40-0.11 B+ Sct Mid Cap+6+2+6 20.47-0.08

If you desire to be excluded from the Settlement Class, you must submit to the Claims Administrator a request for exclusion so that it is received no later than November 16, 2023, in the manner and form explained in the Notice. All members of the Settlement Class who have not requested exclusion from the Settlement Class will be bound by any judgment entered in the Action pursuant to the Settlement Stipulation.

Any objection to the Settlement, Plan of Allocation, or Lead Counsel's request for an award of attorneys' fees and reimbursement of expenses and awards to Plaintiffs must be in the manner and form explained in the detailed Notice and received no later than **November 16, 2023**, to each of the following: form

November 10, 2025, to each of the following:				
<u>CLERK OF THE COURT:</u> United States District Court Eastern District of New York 225 Cadman Plaza East Brooklyn, New York 11201				
LEAD COUNSEL: Jeremy A. Lieberman, Esq. POMERANTZ LLP 600 Third Avenue, 20 <sup>th</sup> Floor New York, New York 10016				
DEFENDANTS' COUNSEL: Ashwin J. Ram, Esq. STEPTOE & JOHNSON LLP 633 W. 5 <sup>th</sup> Street, Ste. 1900 Los Angeles, CA 90071				
If you have any questions about the Settlement, you may call or write to Lead Counsel for Plaintiffs:				
Emma Gilmore Dolgora Dorzhieva Villi Shteyn POMERANTZ LLP 600 Third Avenue, 20 <sup>th</sup> Floor, New York, NY 10606 (212) 661-1100 egilmore@pomlaw.com ddorzhieva@pomlaw.com				
vshteyn@pomlaw.com				
PLEASE DO NOT CONTACT THE COURT OR THE CLERK'S OFFICE REGARDING THIS NOTICE.				

BY ORDER OF THE UNITED STATES

DISTRICT OF NEW YORK

DISTRICT COURT FOR THE EASTERN

Dated: August 24, 2023

A Div Income +4 +3 +8 29.90 0.00 \$52.0 bil 877-354-6311 +2 -1 0 9.05 0.02 E SrsLgTmTrs -3 -7 -1.0 5.56 0.01 A- GI Tech Gr +41 +5 +13 64.48 -0.67 E Cr Fxd In D+ Low Dur Bd +4 +1 +1 9.46 0.01 A- SrsTotMkIdx+17 +4 1/1 69 -0 05 A LgCp Index +17 +4 +9 50.67 -0.15 C+ TotalIntIId +7 -1 +3 12.56n -0.07 **B+** Sh En CAPE +16 +4 +7 13.29 0.02 A MdCp Index +7 +1 +6 13.73 -0.12 A- TotalMarket +17 +4 +9 123.35n -0.44 E Tot Rtn +1 -2 0 8.59 0.02 A Sel LgCp Eq +20 +4 +9 18.01 -0.07 E USBondIndex +1 -2 0 10.04n 0.03 DWS Funds A A Select LCV +0 +0 +7 31.09 -0.15 A USSustainId +20 +6 +10 19.99n -0.02 \$ 16.4 bil 800-728-3337 A SmCp Index +4 -1 +4 22.75 -0.19 A- CROCI EqDv +1 +2 +4 52.34-0.03 A ZEROExtMktI +8 +1 11.33n -0.10 A+ SmCp Val I +9 +3 +5 47.44 -0.51 C+ ZEROIntIInd +8 -1 10.58n -0.06 DWS Funds S D Strat Inc +4 +0 +1 20.59 0.04 A- ZEROLroCapI+18 +4 15.82n -0.04 \$16.4 bil 800-728-3337 Columbia Class I3 A- ZEROTotMktI+17 +4 15.58n -0.05 \$ 14.0 bil 800-345-6611 A Core Eqty +16 +4 +8 29.91n -0.06 **Fidelity Adv Focus Funds A** A Eq 500 lx +17 +4 +9 172.13n -0.54 A LaCp En Cre +18 +4 +8 24.17 -0.11 \$ 4.3 bil 877-208-0098 A Latin Am Eq +13 -2 +9 31.31n -0.33 A+ SmCp Val II +5 +0 +5 16.70 -0.14 +47 +6 +14 91.31 -1.1 **A** S&P 500 IX +17 +4 +9 40.37n -0.13 A Tech **Commerce Funds** Eaton Vance Funds A -5 -3 +5 35.55 0.44 A- Util \$ 2.6 bil 800-995-6365 \$17.0 bil 800-262-1122 Fidelity Adv Funds +25 +5 +10 41 14n -0 21 A- Growth \$ 908 bil 877-208-0098 A- Div Bldr +4 +2 +7 14.21 -0.05 A- Value -3 +1 +6 30.77n -0.01 +16 +3 +6 14 98 -0 04 A Srs Sm Cp +9 +3 +7 11.54 -0.14 A- TM GI DV **Congress Inst** D+ Str In +4 +0 +1 10.99n 0.02 A- TM Val +3 +2 +5 35.50 -0.07 \$787 mil 800-303-1928 Fidelity Adv Funds A +19 +5 +9 1969.68n -6.8 A+ SmCp Gro +19 +2 +11 38.42 -0.43 A TMG1.0 +19 +5 +8 88.72 -0.31 \$ 31.3 bil 877-208-0098 A- TMG1.1 Credit Suisse Common +14 +2 +6 24.96 0.00 B Bal +19 +5 +8 39.88 -0.13 A- TMG1.2 \$ 1.3 bil 877-870-2874 +9 +4 +5 17.58 -0.05 A Div Gro Eaton Vance Funds I A+ SuisCmdtyRt -4 +5 +3 23.69 -0.08 A Ea Inc +4 +2 +5 30.42 -0.06 **CRM** Funds \$ 19.2 bil 800-262-1122 +10 +2 +7 34 22 -0 15 A+ Gr&Inc +5 +4 +7 35 90 -0 21 \$ 339 mil 800-276-2883 +12 +7 +4 38.02 -0.10 A Inds A Mid Cap Val +0 +1 +5 22.72 -0.19 B- Flt Rt +9 +4 +2 8.41 0.00 +17 +6 +6 44.94 -0.10 C Inc Bstn +6 +2 +2 4.97 0.00 A Lev Co **Cullen Funds** +15 +3 +7 38.71 -0.17 +2 +2 +7 23.13 -0.08 A+ Lo Cap A LC Val \$ 1.6 bil 877-485-8586 +6 +1 +4 20.15 -0.09 D- Nat Mu I +2 -1 +2 9.01 -0.03 A Mid Cp2 A- EmMktsHiDiv+15+4 +4 11.14-0.07 **Edgewood Growth Institutional** A+ Semicnd +61 +4 +20 57.90 -1.2 A- HighDivEgty -1 +0 +4 14.40 -0.01 A Sm Cap +8 +2 +5 26.16 -0.31 \$ 17.5 bil 800-791-4226 –D–E– A SS MC +8 +1 +5 35.71 -0.23 C Growth +29 +7 +8 40.37 -0.26 A- Stk SI AC +17 +4 +7 64.78 -0.16 Davenport -F-\$ 2.4 bil 800-281-3217 Fidelity Adv Funds I \$ 63.1 bil 877-208-0098 Fairholme A- Equity Opps +13 +3 +9 20.39n -0.02 \$1.7 bil 866-202-2263 D+ CsvInMuniB +2 +1 +1 9.99 0.00 Davis Funds A A+ Fairholme +44+25 +13 35.65n -0.07 +10+15 +4 50.02 -0.11 \$ 5.5 bil 800-279-0279 A+ Energy A+ Financial +1 +1 +4 48.28-0.32 **FAM Dividend Focus** A- Eq Gro +25 +6 +12 18.34 -0.09 \$ 618 mil 800-932-3271 -5 +4 +7 18.32 -0.17 B+ NY Venture +18 +4 +4 25.47 -0.13 A+ GI C St A DividendFoc+11 +7 +9 49.70n -0.11 +33 +5 +13 129.66 -0.37 C+ Gr Opp A Opportunity +11 +3 +5 36.94 -0.08 FAM Value +0 -2 +6 64.42 0.12 C HIth Del Invest Insti \$1.5 bil 800-932-3271 +14 -2 +5 26.64 -0.08 C Intl CA \$ 5.2 bil 800-523-1918 +9 +7 +6 89.60n -0.47 +26 +6 +8 33.08 -0.03 A- Value -3 +1 +4 17.72 0.00 A- Value B+ New Ins +5 +0 +6 18.77 -0.74 Delaware Invest A Federated Hermes A+ SC Val \$ 8.3 bil 800-523-1918 \$ 3.3 bil 800-341-7400 A Stk SSC +9 +1 +7 30.86 -0.29 **A+** G&I +3 +5 +4 13.88 -0.02 A Hrms MDTLC+27 +6 +11 25.81 -0.08 F Tot Bd +2 -1 +1 9.23 0.02 A Gr Eq +19 +5 +8 9.70 -0.02 Federated Hermes A **Fidelity Freedom Funds** +1 +1 +3 29.65 -0.20 \$ 11 3 bil 800-341-7400 \$ 311 bil 877-208-0098 A+ Oppty A- Eq Inc +2 +1 +3 20.87 -0.06 D+ Freedom2010 +4 +0 +2 13.26n 0.01 A+ SmCp Val +1 +0 +3 64.67 -0.68 +5 +4 +5 27.25 0.05 C- Freedom2015+5+0+3 10.82n 0.00 **Diamond Hill Funds** A+ MDT L Federated He C Freedom2020+6+0+3 13.53n-0.01 \$ 12.8 bil 888-226-5595 ermes Int A+ Hill AC Sel +13 +0 +9 19.61 -0.15 \$18.2 bil 800-341-7400 C Freedom2025 +7 +0 +4 12.53n -0.01 A- Hill Lg Cap +5 +3 +7 30.57 -0.06 C- In HYB +7 +2 +1 8.51 0.01 C+ Freedom2030 +8 +0 +4 15.79n -0.03 A HillS/MdCp +2 -1 +5 23.82 -0.22 A+ MDT AC +13 +5 +9 35.30 -0.05 B- Freedom2035+10+0 +5 13.75n -0.04 A MDT Sm Cap +6 +1 +3 20.72 -0.19 B+ Freedom2040+11+1 +6 9.86n -0.04 A+ Hill Sm Cap +9 -1 +4 27.94-0.28 E TR Bd +0 -2 +1 9.26 0.03 **B+** Freedom2045+12+1 +6 11.34n -0.04 **Dimensional Fds B+** Freedom2050+12+1 +6 11.47n -0.05 \$ 421 bil 888-576-1167 Federated Hermes IS D+1-YearFixed +3 +1 +1 10.19 0.01 \$ 21.4 bil 800-341-7400 **Fidelity Freedom Funds A** D+2-YearGIFix +3 +1 0 9.81 0.00 D Kauf Sm Cap+10 +1 +6 45.61 -0.32 \$ 311 bil 877-208-0098 D- 5-YearGIFix +3 +1 0 10.15 0.01 A- MDT MG +16 +4 +8 43.79 -0.08 B+ Freedom2055+12+1 +6 13.28n -0.05

A- StratValDiv -8 -3 +4 5.20 0.00

9.08 0.01

YTD 12Wk 5 Yr Net % % After Asset NAV | Chg| Chg|Tax Rtn| Value| Chg

C- UltShrtBnd +4 +1 +1

Federated Hermes R

\$ 3.8 bil 800-341-7400

36 Mo

Performance Rating | Fund

**Fidelity Freedom Funds Pr** 

C Frdm I 2025 +7 +0 +4 16.98 -0.02

C Frdm I 2030 +8 +0 +4 18.08 -0.03

YTD 12Wk 5 Yr Net % % After Asset NAV | Chg| Chg|Tax Rtn| Value| Chg

\$ 311 bil 877-208-0098

36 Mo Performance Rating | Fund

B- EmgMktsCore+8 +0 +2 21.57 -0.17

B+ EmgMktsSmCa+10+2+3 22.15 -0.11

A- EmgMktsValu+9 +1 +2 28.62 -0.19

C Emg Mkts +6 -1 +2 26.54 -0.24

36 Mo YTD 12Wk 5 Yr Net Performance % % After Asset NAV Rating | Fund | Chg| Chg|Tax Rtn| Value| Chg

## Pomerantz LLP Announces Pendency and Proposed Class Action Settlement Involving Purchasers of Northern Dynasty Minerals Ltd. Securities

NEWS PROVIDED BY Pomerantz LLP → 11 Sep, 2023, 08:00 ET

NEW YORK, Sept. 11, 2023 /PRNewswire/ --

#### UNITED STATES DISTRICT COURT EASTERN DISTRICT OF NEW YORK

IN RE NORTHERN DYNASTY MINERALS LTD. SECURITIES LITIGATION

Case No. 1:20-cv-05917-ENV-TAM

#### SUMMARY NOTICE OF PENDENCY AND PROPOSED CLASS ACTION SETTLEMENT

TO: ALL PERSONS AND ENTITIES WHO PURCHASED OR OTHERWISE ACQUIRED NORTHERN DYNASTY MINERALS LTD. SECURITIES FROM DECEMBER 21, 2017 THROUGH NOVEMBER 24, 2020, BOTH DATES INCLUSIVE, (I) ON ANY STOCK EXCHANGES LOCATED IN THE UNITED STATES, (II) ON ANY ALTERNATIVE TRADING SYSTEMS LOCATED IN THE UNITED STATES, OR (III) PURSUANT TO OTHER DOMESTIC TRANSACTIONS, AND WHO WERE ALLEGEDLY DAMAGED THEREBY.

YOU ARE HEREBY NOTIFIED, pursuant to an Order of the United States District Court for the Eastern District of New York, that a hearing will be held on December 7, 2023, at 10:30 a.m., before the Honorable Taryn A. Merkl, at the United States District Court, Eastern District of New York, Courtroom 324 North, 225 Cadman Plaza East, Brooklyn, New York 11201, for the purpose of determining: (1) whether the proposed Settlement of the claims in the above-captioned Action for the sum of \$6,375,000 in cash should be approved by the Court as fair, reasonable, and adequate, (2) Whether the proposed Plan of Allocation to distribute the Settlement proceeds is fair, reasonable, and adequate; (3) whether the application of Lead Counsel for an award of attorneys' fees of no more than one third plus interest of the Settlement Amount, reimbursement of litigation expenses of not more than \$80,000, and awards of no more than \$25,000, in aggregate, or \$20,000 for Lead Plaintiff Lawrence Kelemen and \$5,000 for Named Plaintiff Charles Hymowitz, should be approved; and (4) whether this Action should be dismissed with prejudice as set forth in the Stipulation of Settlement dated June 7, 2023 ("Stipulation"). Lead Counsel has also applied for up to \$500,000 to pay for Administrative Costs.

The Court reserves the right to hold the Settlement Hearing telephonically or by other virtual means. The Court appointed Pomerantz LLP as Lead Counsel to represent you and the other Settlement Class Members. However, you have the right to retain your own counsel and the right to appear at the Settlement Hearing through counsel of your choosing.

If you purchased or otherwise acquired Northern Dynasty Minerals Ltd. ("Northern Dynasty") securities during the period from December 21, 2017 through November 24, 2020, both dates inclusive ("Settlement Class Period"), (i) on any stock exchanges located in the United States, (ii) on any alternative trading systems located in the United States, or (iii) pursuant to other domestic transactions, and: (i) have not asserted claims against any or all of the Defendants in any cross-border litigation initiated outside of the United States, including in, but not limited to, the cases captioned Haddad v. Northern Dynastv Minerals Ltd. et al., Case No. VLC-S-S-2012849 and Woo v. Northern Dynasty Minerals Ltd. et al., Case No. VLC-S-S-211530 in Canada; (ii) have been deemed by a court to be a member of a class in such litigation, for settlement purposes or otherwise; and (iii) are entitled to a settlement or other distribution payment regardless of whether such payment is cashed - in connection with the resolution of the cross-border litigation, your rights may be affected by this Settlement, including the release and extinguishment of claims you may possess relating to your ownership interest in Northern Dynasty securities. If you have not received a detailed Notice of Pendency and Proposed Settlement of Class Action ("Notice") and a copy of the Proof of Claim and Release Form, you may obtain copies by writing to, calling, or contacting the Claims Administrator: Northern Dynasty Securities Settlement, c/o Epig Class Action & Claims Solutions, Inc., PO Box 4990, Portland, OR 97208-4990; 888-270-9130;

Info@NorthernDynastySecuritiesSettlement.com. Copies of the Notice, Proof of Claim and Release Form can also be downloaded from the website maintained by the Claims Administrator,

www.NorthernDynastySecuritiesSettlement.com. If you are a member of the Settlement Class, in order to share in the distribution of the Net Settlement Fund, you must submit a Proof of Claim and Release Form electronically or postmarked no later than **December 14, 2023**, establishing that you are entitled to recovery. Unless you submit a written exclusion request, you will be bound by any judgment rendered in the Action whether or not you make a claim. If you desire to be excluded from the Settlement Class, you must submit to the Champalum instrator a request for exclusion so that it is received no later than **November 16**, **2023**, in the manner and form explained in the Notice. All members of the Settlement Class who have not requested exclusion from the Settlement Class will be bound by any judgment entered in the Action pursuant to the Settlement Stipulation.

Any objection to the Settlement, Plan of Allocation, or Lead Counsel's request for an award of attorneys' fees and reimbursement of expenses and awards to Plaintiffs must be in the manner and form explained in the detailed Notice and received no later than **November 16, 2023**, to each of the following:

#### **CLERK OF THE COURT:**

United States District Court Eastern District of New York 225 Cadman Plaza East Brooklyn, New York 11201

#### <u>LEAD COUNSEL:</u> Jeremy A. Lieberman, Esq. POMERANTZ LLP 600 Third Avenue, 20<sup>th</sup> Floor New York, New York 10016

#### **DEFENDANTS' COUNSEL:**

Ashwin J. Ram, Esq. STEPTOE & JOHNSON LLP 633 W. 5<sup>th</sup> Street, Ste. 1900 Los Angeles, CA 90071

If you have any questions about the Settlement, you may call or write to Lead Counsel for Plaintiffs:

Emma Gilmore Dolgora Dorzhieva Villi Shteyn POMERANTZ LLP 600 Third Avenue, 20th Floor New York, NY 10606 (212) 661-1100 ddorzhieva@pomlaw.com vshteyn@pomlaw.com

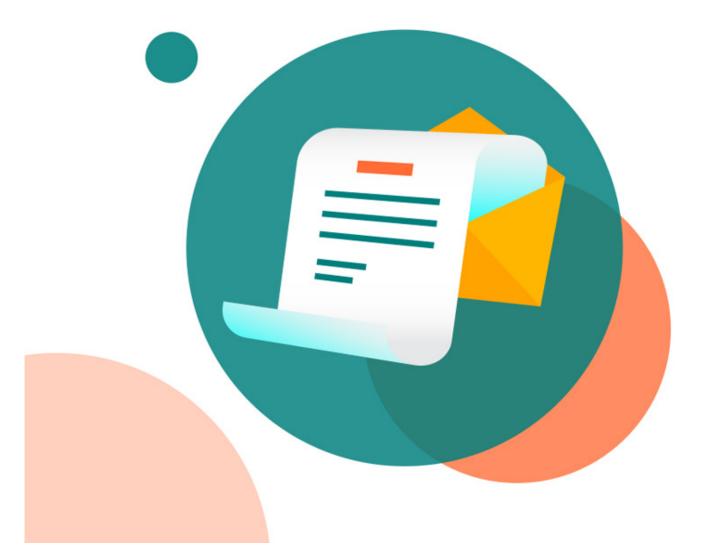
PLEASE DO NOT CONTACT THE COURT OR THE CLERK'S OFFICE REGARDING THIS NOTICE.

Dated: August 24, 2023

BY ORDER OF THE UNITED STATES DISTRICT COURT FOR THE EASTERN DISTRICT OF NEW YORK

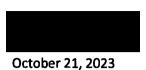
URL: www.NorthernDynastySecuritiesSettlement.com.

SOURCE Pomerantz LLP



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# EXHIBIT E



To Whom it May Concern:

I request to be excluded from the Settlement Class in In re Northern Dynasty Minerals Ltd. Securities Litigation, Case No. 1:20-cv-05917-ENV-TAM (E.D.N.Y.).

I am uncertain whether I qualify as a member of the Settlement Class or not. Regardless, even if I am in fact eligible as a member of that class, I do not wish to participate in any way in the proposed settlement.

Regards,

ゴ TA dama

Jason T. Adams

#### NORTHERN DYNASTY MINERALS LTD. Important Information

From: CHARLES SCHWAB & CO., INC. (id@proxyvote.com)

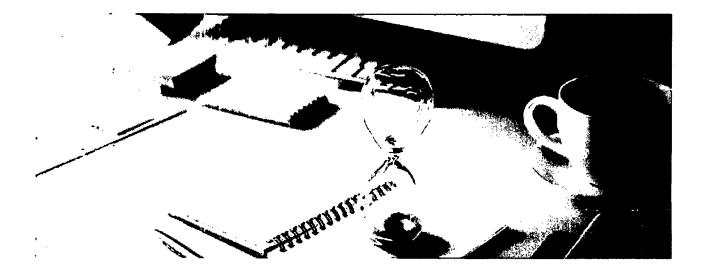
To:

Date: Saturday, October 21, 2023 at 01:25 AM CDT

# CHARLES SCHWAB & CO., INC.

# Stay Informed!

# With The Latest Investment Information



# NORTHERN DYNASTY MINERALS LTD.

You may have previously received a notification to educate you on important information related to one or more of your holdings.

You have been identified as a potentially impacted shareholder in a class action event pertaining to NORTHERN DYNASTY MINERALS LTD.. You may be impacted if you transacted on or held this security between 2017-12-21 and 2020-11-24.

Please carefully review the materials offered at the link(s) below to understand your rights and options with regard to this litigation.

If you have any questions, please contact EPIQ, via one of the contact methods below:

Email at: info@NorthernDynastySecuritiesSettlement.com

Call at: 1-888-270-9130 (Toll-Free) Call Center Hours: 6 a.m. - 6 p.m. PST Monday - Friday except Holidays

Write to: Northern Dynasty Securities Settlement c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 4990 Portland, OR 97208-4990

#### **Important Materials**

**Notice** 

Job#: N92733

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97208-499090

NORTHERN DYNASTY SEC. SETTLEMENT C/O EPIQ CLASS ACTION etc. PO BOX 4990 PORTLAND, OR 97208-4990

ومترجم والمرجب والترين والتكور والمتحد ليرز كالمرجب والتكر والمرجب والمتحر والمرجب

28 Oct 2023

Northern Dynasty Securities Settlement c/o Epiq Class Action & Claims Solutions, Inc PO Box 4990 Portland, OR 97208-4990

To whom it may concern,

I, Max Waddoups III, beneficial owner of NAK securities within your dates Dec 21, 2017 to Nov 24, 2020, request to be excluded from the Settlement Class in In re Northern Dynasty Minerals Ltd. Securities Litigation, Case No. 1:20-cv-05917-ENV-TAM (E.D.N.Y.).

I, Max Waddoups III, purchased security identifier NAK (Northern Dynasty Minerals Ltd.). NORTHERN DYNASTY MINS COM NPV ISIN #CA66510M2040 SEDOL #2637848, on 12/27/2018, unit cost \$0.59, 2000 units, totaled \$1188.95.

I, Max Waddoups III, have not sold any of the 2000 shares purchased on 12/27/2018.

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I, Max Waddoups III, prior to settlement period held 3000 shares/units, for a total of 5000 shares after the 12/27/2018 purchase.

Contact information:

Max Waddoups III

Signed, IV With Mana Mana Max E. WADDOURS IT

Date: 28 OCT 2023

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#### Statement for the Period January 1, 2018 to December 31, 2018

MAX E WADDOUPS III - Individual Account Number



#### HOLDINGS > EQUITIES continued

Description	Symbol/Cusip Account Type	Quantity	Price on 12/31/18	12/31/18 Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
	F	continued					
CRATHERN DYNASTY MINS COM NEV ISIN CA66510M2040 SEDOL #2637848 Dividend Option Reinvest apital Gain Option Reinvest verage Unit Cost \$1.19	NAK Cash	5,000	\$0.5692	\$2,846.00		\$5,956.85	(\$3,110.85)
fotal Equity					\$96.41		
Fotal Equities					\$86.41		
Total Securities					\$96.41		
FOTAL PORTFOLIO VALUE				•	\$95.41.		

## Activity

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

#### PURCHASES, SALES, AND REDEMPTIONS

		·····		 				
Settlement Date	Account Type	Transaction	Description		Quantity	Amount	Total Cost Basis	Realized Gain (Loss)

Securities Purchased

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#### Statement for the Period January 1, 2018 to December 31, 2018

MAX E WADDOUPS III - Individual Account Number



#### PURCHASES, SALES, AND REDEMPTIONS continued

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
03/01/18	CASH	REINVESTMENT					
03/01/18	CASH	REINVESTMENT					
03/06/18	CASH	REINVESTMENT					
06/01/18	CASH	REINVESTMENT					<u></u>
<b>06/04/18</b>	CASH	REINVESTMENT					
09/04/18	CASH	REINVESTMENT					
09/04/18	CASH	REINVESTMENT					. <u> </u>
12/03/18	CASH	REINVESTMENT					
12/05/18	CASH	REINVESTMENT					
12/31/18	CASH	YOU BOUGHT	NORTHERN DYNASTY MINS COM NPV ISIN #CA66510M2040 SEDOL #2637848 @ .58	2,000	(\$1,188.95)	\$1,188.95	
Total Sec	urities Pur	chased					

Account carried with National Financial Services LLC, Member NYSE, SIPC

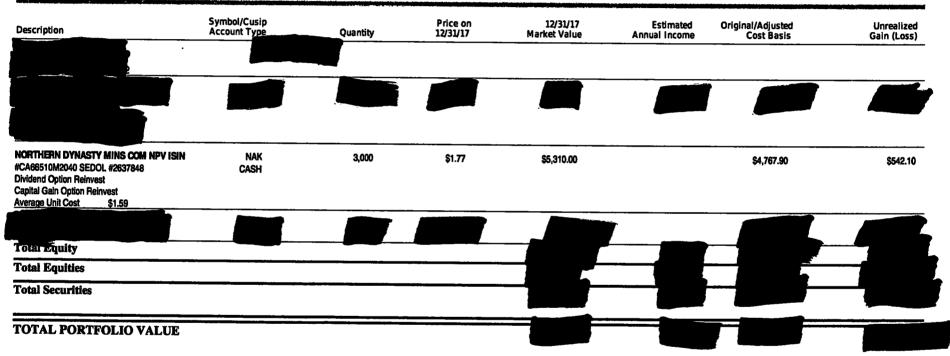
#### Case 1:20-cv-05917-TAM Document 72-1 Filed 11/09/23 Page 47 of 48 PageID #: 2319

Statement for the Period January 1, 2017 to December 31, 2017

MAX E WADDOUPS III - Individual Account Number:



#### HOLDINGS > EQUITIES continued



### Activity

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

#### PURCHASES, SALES, AND REDEMPTIONS

	-							
Settlement	Account						Total	Realized
Date	Туре	Transaction	Description	•	Quantity	Amount	Cost Basis	Gain (Loss)

Securities Purchased

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