

# EXHIBIT 1

**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

**SUPPLEMENTAL DECLARATION OF MORGAN KIMBALL REGARDING NOTICE  
DISSEMINATION, REQUESTS FOR EXCLUSION, OBJECTIONS, AND CLAIM  
FORMS RECEIVED TO DATE**

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.<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 Supplemental Declaration in order to provide the Court and the Parties to the Settlement with additional information regarding notice dissemination, requests for exclusion from the Settlement Class, objections, and Claim Forms received by Epiq to date.

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<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.

### **NOTICE DISSEMINATION**

3. As described in the 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 (“Initial Notice Declaration”) (Dkt. No. 72-1), 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. Epiq also mailed a copy of the Notice Packet to nominees in Epiq’s internal broker list, as well as persons who requested one via the toll-free number.

4. As of the date of the Initial Notice Declaration, Epiq had sent an aggregate of 87 Summary Notices via email, 78,049 Postcard Notices via mail, and 206 Postcard Notices re-mailed to updated addresses. Epiq had also mailed 1,022 Notice Packets to nominees and 75 Notice Packets to persons who requested one via the toll-free number.

5. Since the Initial Notice Declaration, Epiq has sent 36 additional Notice Packets via mail to persons who requested one via the toll-free number, and Epiq has re-mailed 1,030 additional Postcard Notices to updated addresses. In total, as of November 30, 2023, Epiq has sent 111 Notice Packets via USPS First-Class Mail to persons who requested one via the toll-free number, and Epiq has re-mailed 1,236 Postcard Notices to updated addresses. The other counts of notices disseminated remain the same as provided in the Initial Notice Declaration.

### **EXCLUSION REQUESTS**

6. As described in the Initial Notice Declaration, pursuant to the Preliminary Approval Order, Settlement Class Members who wished to be excluded from the Settlement Class were required to mail their written request to Epiq so that the request was received by November 16, 2023. As of the date of the Initial Notice Declaration, Epiq had received two (2) exclusion requests.

7. Since the Initial Notice Declaration, Epiq received three (3) additional exclusion requests. In total, as of November 30, 2023, Epiq has received five (5) exclusion requests. Redacted copies of all five (5) exclusion requests are attached as Exhibit A.

8. Of the five (5) exclusion requests, three (3) are valid requests as they were both timely (*i.e.*, received via mail by November 16, 2023) and complete (*i.e.*, contain the necessary information described in the Notice). Two (2) exclusion requests are invalid because they were incomplete, although timely. Epiq has reached out to these two individuals who submitted the invalid exclusion requests and requested the necessary information so they may become valid and they have not cured the issue.

### **OBJECTIONS RECEIVED**

9. As described in the Initial Notice Declaration, pursuant to the Preliminary Approval Order, Settlement Class Members who wished to object to the proposed Settlement were required to submit written objections to the Clerk of the Court, Plaintiffs' Counsel, and Defendant's Counsel, such that they were received no later than November 16, 2023.

10. As of November 30, 2023, Epiq is not aware of and has still not received any misdirected objections to the proposed Settlement.

**CLAIM FORMS RECEIVED**

11. As described in the Initial Notice Declaration, 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 Claims Administrator by mail, email, or online so that they are postmarked or submitted no later than December 14, 2023. As of the date of the Initial Notice Declaration, Epiq had received 1,095 Claim Forms.

12. Since the Initial Notice Declaration, Epiq received 444 additional Claim Forms. In total, as of November 30, 2023, Epiq has received 1,539 Claim Forms.<sup>2</sup>

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 30, 2023, in Seattle, WA.

  
\_\_\_\_\_  
Morgan Kimball

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<sup>2</sup> It is Epiq's experience that a large number of claims (especially those from nominees and third-party filers) are submitted just prior to the claim filing deadline. Nominee submissions are often filed in bulk on behalf of multiple beneficial owners at once, so each submission may contain multiple individual claims. Accordingly, Epiq anticipates receiving a large number of additional claims for this matter in the coming days and right before the claim filing deadline.

# EXHIBIT A

  
October 21, 2023

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,

  
Jason T. Adams  


## NORTHERN DYNASTY MINERALS LTD. Important Information

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

To: [REDACTED]

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](mailto: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

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**Job#:** N92733

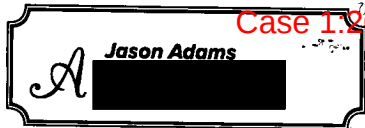
© 2023 Broadridge Financial Solutions Inc.

P.O. Box 1310, Brentwood, NY 11717

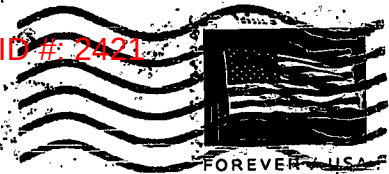
Broadridge is a trademark of Broadridge Financial Solutions Inc.

All other registered marks belong to their respective owners.

[Email Settings](#) | [Terms and Conditions](#) | [Privacy Statement](#)

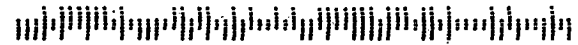


NORTH TEXAS TX P&DC  
DALLAS TX 750  
23 OCT 2023 PM 6 L



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

97208-499090



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.).

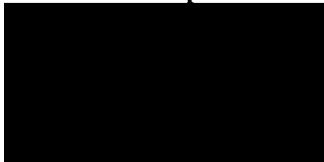
I, Max Waddoups III, purchased security identifier NAK (Northern Dynasty Minerals Ltd.), NORTHERN DYNASTY MINS COM NPV ISIN #CA66510M2040 SEDOL #2637848, on 12/27/2018, unit cost \$0.59, 2000 units, totaled \$1188.95.

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

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,



Name: MAX E. WADDOWPS III

Date: 28 OCT 2023

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

MAX E WADDOURS III - Individual  
 Account Number [REDACTED]



**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)
[REDACTED]	F	<i>continued</i>					
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>NORTHERN DYNASTY MINS COM NPV ISIN</b> #CA66510M2040 SEDOL #2637848 Dividend Option Reinvest Capital Gain Option Reinvest Average Unit Cost \$1.19	NAK CASH	5,000	\$0.5692	\$2,846.00		\$5,956.85	(\$3,110.85)
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>Total Equity</b>					<b>\$86.41</b>		
<b>Total Equities</b>					<b>\$86.41</b>		
<b>Total Securities</b>					<b>\$86.41</b>		
<b>TOTAL PORTFOLIO VALUE</b>					<b>\$86.41</b>		

**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)
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**Securities Purchased**

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

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

MAX E WADDOUPS III - Individual  
 Account Number [REDACTED]



PURCHASES, SALES, AND REDEMPTIONS *continued*

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

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

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

MAX E WADDOUPS III - Individual  
 Account Number: [REDACTED]



**HOLDINGS > EQUITIES** *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 12/31/17	12/31/17 Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
NORTHERN DYNASTY MINS COM NPV ISIN #CA86510M2040 SEDOL #2637848 Dividend Option Reinvest Capital Gain Option Reinvest Average Unit Cost \$1.59	NAK CASH	3,000	\$1.77	\$5,310.00		\$4,767.90	\$542.10
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>Total Equity</b>				[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>Total Equities</b>				[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>Total Securities</b>				[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>TOTAL PORTFOLIO VALUE</b>				[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

**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)
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**Securities Purchased**



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

M. WADDOWS III



**CERTIFIED MAIL**

**Retail**

U.S. POSTAGE PAID  
FCM LETTER  
PALMER, AK 99645  
OCT 30, 2023

**\$8.56**

R2304H109492-07

RDC 99

NORTHERN DYNASTY SECURITIES SETTLEMENT  
 c/o Epig CLASS ACTION + CLAIMS SOLUTIONS, INC  
 P.O. BOX 4990  
 PORTLAND, OR 97208-4990

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

**Attention Claim Administrator:**

**I, Ruby Honan, owner of shares in Northern Dynasty Minerals, Ltd., wish to exclude myself from the Settlement Class--re Northern Dynasty Minerals Ltd. Securities Litigation, Case No. 1:20-cv-05917-ENV-TAM.**

Asset accounts \$64.42

Investment Accounts-Retirement

IRRA-Edge [REDACTED] \$64.42  
+\$0.48 +0.75%

[+ LINK AN ASSET ACCOUNT](#)

Nov 2022      Jan 2023      Mar      May

**MORE ACCOUNT PERFORMANCE**

**Top holdings for your Merrill accounts**

As of 11/02/2023 11:05 AM ET

**NAK**

**NORTHERN DYNASTY ...**

Quantity      200  
Price      \$0.32  
Value      **\$64.42**

100% of Portfolio

**NAK'S STORY**

**Sincerely,**

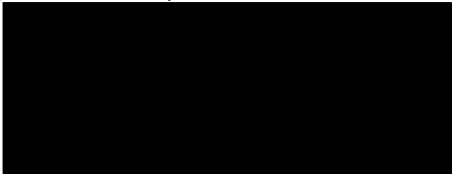
[REDACTED]

**Ruby Honan**

[REDACTED]



R. Honan



PORTLAND OR 972

4 NOV 2023 PM 5 L



Northern Dynasty Securities Settlement  
% Epig Class Action & Claims Solutions, Inc  
P.O. Box 4990  
Portland, OR 97208-4990

97208-499090



November 2<sup>nd</sup>, 2023

Claims Administrator

Northern Dynasty Securities

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

PO Box 4990

Portland, OR 97208

Case #: 1:20-cv-05917-ENV-TAM

To Whom It May Concern;

I, Edward J Harrigan do hereby request for exclusion from the Settlement Class in the case number 1:20-cv-05917-ENV-TAM. Thank you.

Sincerely;

A large black rectangular redaction box covering the signature of Edward J. Harrigan.

Edward J Harrigan

## 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 Bryn 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: (a) have not asserted claims against any or all of the Defendants in any cross-border litigation initiated outside of the United States, including, 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; (b) 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 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 97208-990; 888-270-9130; [Info@NorthernDynastySecuritiesSettlement.com](mailto: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](http://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 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

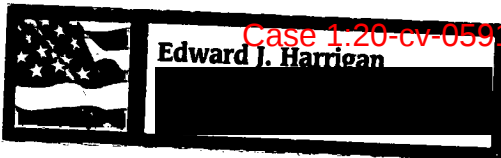
If you have any questions about the Settlement, you may call or write to Lead Counsel for Plaintiffs:

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](mailto:egilmore@pomlaw.com)  
[ddorzhieva@pomlaw.com](mailto:ddorzhieva@pomlaw.com)  
[vshteyn@pomlaw.com](mailto:vshteyn@pomlaw.com)

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

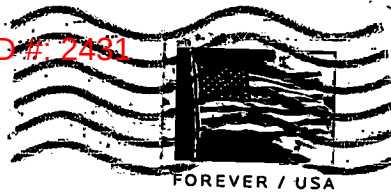
Dated: August 24, 2023

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



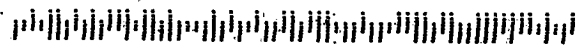
LAS VEGAS NV 890

3 NOV 2023 PM 5 L



Claims Administrator  
Northern Dynasty Securities  
c/o Epig Class Action + Claims Solutions, Inc  
PO Box 4990  
Portland, OR 97208

97208-499090



E\*TRADE SECURITIES LLC  
 PO BOX 484  
 JERSEY CITY, NJ 07303-0484

Account No:  
 Account Name:  
 Recipient's TIN:

EDWARD HARRIGAN

Account Executive No:  
 ORIGINAL:

12/31/2020

2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED OMB NO. 1545-0715

**Covered Short-Term Gains or Losses on Gross Proceeds**  
 Report on Form 8949, Part I with Box A checked  
 Box 6: Gross Proceeds Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss - Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
<b>Subtotals</b>	<b>10.00000</b>			<b>\$73.14</b>	<b>\$57.87</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$15.27</b>	
LIBERTY TRIPADVISOR HOLDINGS INC SERIES A CUSIP: 531465102	5.00000	05/21/2020	09/01/2020	\$36.57	\$21.71	\$0.00	\$0.00	\$4.02	
	2.00000	05/26/2020	09/01/2020	\$5.58	\$5.47	\$0.00	\$0.00	\$0.11	
	3.00000	07/08/2020	09/01/2020	\$8.38	\$6.44	\$0.00	\$0.00	\$1.94	
<b>Subtotals</b>	<b>14.00000</b>			<b>\$39.09</b>	<b>\$33.02</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$6.07</b>	
***LIDA RESOURCES INC COM CUSIP: 531706109	100.00000	10/07/2020	10/13/2020	\$1.86	\$12.95	\$0.00	\$0.00	(\$11.09)	
MATTINAS BIOPHARMA HOLDINGS I COMMON STOCK CUSIP: 576810105	100.00000	09/16/2020	09/22/2020	\$78.99	\$78.74	\$0.00	\$0.00	\$0.25	
MIRAGEN THERAPEUTICS INC COMMON STOCK CUSIP: 60463E103	100.00000	09/16/2020	09/22/2020	\$63.68	\$82.89	\$0.00	\$0.00	\$0.79	
MOXIAN INC COMMON STOCK CUSIP: 624697306	50.00000	09/14/2020	09/15/2020	\$117.41	\$124.25	\$0.00	\$0.00	(\$6.84)	
***NOKIA CORPORATION SPONSORED ADR REPSTG 1 SER A CUSIP: 654902204	15.00000	09/14/2020	09/15/2020	\$62.34	\$61.76	\$0.00	\$0.00	\$0.58	
***NORTHERN DYNASTY MINERALS LTD CUSIP: 66510M204	100.00000	09/08/2020	09/10/2020	\$107.21	\$98.00	\$0.00	\$0.00	\$9.21	
NORTHERN OIL & GAS INC CUSIP: 665531109	50.00000	09/11/2020	09/15/2020	\$27.37	\$28.00	\$0.00	\$0.00	(\$0.63)	

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT). KEEP FOR YOUR RECORDS.  
 This is important tax information and is being furnished to the IRS. If you are required to file a return, a negligence penalty or other sanction  
 may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

E-TRADE SECURITIES LLC  
 PO BOX 484  
 JERSEY CITY, NJ 07303-0484

Account No:  
 Account Name:  
 Recipient's TIN:

EDWARD HARRIGAN

Account Executive No:

ORIGINAL:

12/31/2020

DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
09/01/20	LIBERTY TRIPADVISOR HOLDINGS INC SERIES	531465102	SELL	14.000	\$2.79	\$39.09	
10/07/20	LIDA RESOURCES INC COM	531706109	PURCHASE	100.000	\$0.08	\$12.95	
10/13/20	LIDA RESOURCES INC COM	531706109	SELL	100.000	\$0.07	\$1.86	
09/16/20	MATINAS BIOPHARMA HOLDINGS INC COMMON S	576810105	PURCHASE	100.000	\$0.79	\$78.74	
09/22/20	MATINAS BIOPHARMA HOLDINGS INC COMMON S	576810105	SELL	100.000	\$0.79	\$78.99	
09/16/20	MIRAGEN THERAPEUTICS INC COMMON STOCK	60463E103	PURCHASE	100.000	\$0.83	\$82.89	
09/22/20	MIRAGEN THERAPEUTICS INC COMMON STOCK	60463E103	SELL	100.000	\$0.84	\$83.68	
09/14/20	MOXIAN INC COMMON STOCK	624697306	PURCHASE	50.000	\$2.49	\$124.25	
09/15/20	MOXIAN INC COMMON STOCK	624697306	SELL	50.000	\$2.35	\$117.41	
09/14/20	NOKIA CORPORATION SPONSORED ADR REPS	654902204	PURCHASE	15.000	\$4.12	\$61.76	
09/15/20	NOKIA CORPORATION SPONSORED ADR REPS	654902204	SELL	15.000	\$4.16	\$62.34	
09/08/20	NORTHERN DYNASTY MINERALS LTD	66510M204	PURCHASE	100.000	\$0.98	\$98.00	
09/10/20	NORTHERN DYNASTY MINERALS LTD	66510M204	SELL	100.000	\$1.07	\$107.21	
09/11/20	NORTHERN OIL & GAS INC	665531109	PURCHASE	50.000	\$0.56	\$28.00	
09/15/20	NORTHERN OIL & GAS INC	665531109	SELL	50.000	\$0.55	\$27.37	
09/11/20	NOVUS THERAPEUTICS INC COMMON STOCK	66988N106	PURCHASE	25.000	\$0.49	\$12.30	
09/14/20	NOVUS THERAPEUTICS INC COMMON STOCK	66988N106	SELL	25.000	\$0.55	\$13.62	
09/15/20	NOVUS THERAPEUTICS INC COMMON STOCK	67011N105	PURCHASE	2.000	\$1.26	\$2.52	
09/15/20	NOVUS THERAPEUTICS INC COMMON STOCK	67011N105	SELL	23.000	\$1.27	\$29.21	
09/15/20	NOVUS THERAPEUTICS INC COMMON STOCK	67011N105	PURCHASE	25.000	\$1.09	\$27.30	
10/07/20	OCEAN POWER TECHNOLOGIES INC COMMON STO	674870506	PURCHASE	15.000	\$2.89	\$43.28	
10/13/20	OCEAN POWER TECHNOLOGIES INC COMMON STO	674870506	SELL	15.000	\$2.32	\$34.79	
06/08/20	OPKO HEALTH INC	68375N103	PURCHASE	10.000	\$2.54	\$25.38	
09/01/20	OPKO HEALTH INC	68375N103	SELL	10.000	\$3.14	\$31.42	
11/06/20	PALANTIR TECHNOLOGIES INC CLASS A COMM	69608A108	PURCHASE	3.000	\$13.98	\$41.93	
11/12/20	PALANTIR TECHNOLOGIES INC CLASS A COMM	69608A108	SELL	3.000	\$15.69	\$47.07	
05/26/20	PARK HOTELS & RESORTS INC COMMON STOCK	700517105	PURCHASE	4.000	\$10.10	\$40.38	
09/04/20	PARK HOTELS & RESORTS INC COMMON STOCK	700517105	SELL	4.000	\$10.57	\$42.25	
06/08/20	RAMBUS INC	750917106	PURCHASE	3.000	\$15.95	\$47.84	
09/14/20	RAMBUS INC	750917106	SELL	3.000	\$13.60	\$40.79	
05/19/20	REVLON INC CL A	761525609	PURCHASE	1.000	\$10.24	\$10.24	
05/28/20	REVLON INC CL A	761525609	PURCHASE	3.000	\$11.11	\$33.33	
09/14/20	REVLON INC CL A	761525609	SELL	4.000	\$7.36	\$29.41	
08/12/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	5.000	\$11.74	\$58.69	
09/14/20	SORRENTO THERAPEUTICS INC	83587F202	SELL	5.000	\$7.45	\$37.25	
05/28/20	TILRAY INC CLASS 2 COMMON STOCK	88688T100	PURCHASE	2.000	\$11.29	\$22.58	

THIS STATEMENT IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY.

email: [redacted]  
phone: [redacted]

Kevin Fisk,  
[redacted]

Sunday, 29th. October, 2023

Dear Sir / Madam,

Re. Northern Dynasty Securities Settlement

I hereby 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 have enclosed 2 documents which show that I bought 200 shares in the above security on the 9th. of September 2019, and that I sold those same 200 shares on the 25th. of November 2019.

These are the only shares that I bought in the above security between 2017-12-21 and 2020-11-24.

Yours faithfully,  
[redacted]


Schwab One® International Account of  
KEVIN FISKAccount Number  
[REDACTED]Statement Period  
September 1-30, 2019**Realized Gain or (Loss) (continued)**

Short Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
PUT WELLS FARGO BK N A \$44.5 09/27/19: WFC 09/27/2019 44.50 P	3.0000	09/04/19	09/27/19	0.00	138.94	(138.94)
<b>Total Short Term</b>				<b>95,198.35</b>	<b>94,432.30</b>	<b>766.05</b>
<b>Total Realized Gain or (Loss)</b>				<b>95,198.35</b>	<b>94,432.30</b>	<b>766.05</b>

Schwab has provided accurate realized gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. If all data for a given investment is not available, the investment will not be listed here.

Option Customers: Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options. Please consult IRS publication 550, Investment Income and Expenses, for additional information on Options.

**Transaction Detail - Purchases & Sales****Equities Activity**

Settle Date	Trade Date	Transaction	Description	Quantity	Unit Price	Total Amount
09/04/19	08/30/19	Bought	GLU MOBILE INC: GLUU	25.0000	4.2765	(111.86)
09/04/19	08/30/19	Bought	LIQUIDMETAL TECHS: LQMT	2,000.0000	0.0980	(201.03)
09/04/19	08/30/19	Bought	MEET GROUP INC: MEET	45.0000	3.4450	(159.98)
09/04/19	08/30/19	Bought	ROYAL NICKEL CORP F: RNKLF	500.0000	0.3050	(157.45)
09/04/19	08/30/19	Bought	ZAGG INC: ZAGG	20.0000	6.7766	(140.48)
09/06/19	09/04/19	Bought	ACASTI PHARMA INC F CLASS A: ACST	100.0000	1.9478	(199.73)
09/09/19	09/05/19	Bought	COEUR MINING INC: CDE	20.0000	5.1800	(108.55)
09/09/19	09/05/19	Bought	NORTHERN DYN MINERALS F: NAK	200.0000	0.6700	(138.95)
09/09/19	09/05/19	Bought	VERITONE INC: VERI	25.0000	4.3771	(114.38)
09/10/19	09/06/19	Bought	GEVO INC: GEVO	50.0000	2.9300	(151.45)

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





Schwab One® International Account of  
KEVIN FISK

Account Number  
[REDACTED]

Statement Period  
November 1-30, 2019

## Transaction Detail - Purchases & Sales (continued)

### Equities Activity (continued)

Settle Date	Trade Date	Transaction	Description	Quantity	Unit Price	Total Amount
11/25/19	11/21/19	Sold	NABRIVA THERAPEUTICS F: NBRV	(50.0000)	1.8750	93.75
11/25/19	11/21/19	Sold	NORTHERN-DYN MINERL F: NAK	(200.0000)	0.5320	106.42
11/25/19	11/21/19	Sold	ROYAL NICKEL CORP F: RNKLF	(500.0000)	0.3060	153.00
11/25/19	11/21/19	Sold	VERITONE INC: VERI	(25.0000)	3.0600	76.50
11/25/19	11/21/19	Sold	VIPSHOP HLDGS LTD F ADR: VIPS	(40.0000)	11.7844	471.37
11/25/19	11/21/19	Sold	ZAGG INC: ZAGG	(20.0000)	7.9485	158.97
11/27/19	11/25/19	Bought	ARISTA NETWORKS INC: ANET	2.0000	195.1950	(390.39)
11/27/19	11/25/19	Bought	AUTODESK INC: ADSK	2.0000	168.5450	(337.09)
11/27/19	11/25/19	Bought	CISCO SYSTEMS INC: CSCO	7.0000	45.1670	(316.17)
11/27/19	11/25/19	Bought	COGNIZANT TECH SOLU CLASS A: CTSH	6.0000	63.3779	(380.27)
11/27/19	11/25/19	Bought	CORNING INC: GLW	12.0000	29.2860	(351.43)
11/27/19	11/25/19	Bought	D X C TECHNOLOGY CO: DXC	10.0000	35.8140	(358.14)
11/27/19	11/25/19	Bought	ENGLOBAL CORP: ENG	300.0000	1.1350	(340.50)
11/27/19	11/25/19	Bought	F5 NETWORKS INC: FFIV	3.0000	143.6050	(430.82)
11/27/19	11/25/19	Bought	GARTNER INC: IT	2.0000	157.6600	(315.32)
11/27/19	11/25/19	Bought	IBM CORP: IBM	2.0000	134.5548	(269.11)
11/27/19	11/25/19	Bought	IPG PHOTONICS CORP: IPGP	3.0000	140.9038	(422.71)
11/27/19	11/25/19	Bought	JUNIPER NETWORKS INC: JNPR	17.0000	25.6450	(435.97)
11/27/19	11/25/19	Bought	NETAPP INC: NTAP	7.0000	61.4698	(430.29)
11/27/19	11/25/19	Bought	ORACLE CORP: ORCL	7.0000	56.5500	(395.85)
11/27/19	11/25/19	Bought	PAYCHEX INC: PAYX	5.0000	85.1810	(425.91)

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

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THE CLAIMS ADMINISTRATOR,  
NORTHERN DYNASTIES SECURITIES SETTLEMENT,  
C/O EPIQ CLASS ACTION, CLAIMS SOLUTIONS Inc.  
PO BOX 4990,  
PORTLAND,  
OR 97208-4990;  
USA



International Tracked



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