



Class Action Settlement and Notice Administration Services



KROLL SETTLEMENT ADMINISTRATION

The leader in cutting-edge technology and consulting services for class action, mass tort, regulatory remediation and government claims administration.

Kroll Settlement Administration is raising the bar in class action, mass tort, regulatory and government claims administration. By combining Kroll's best-in-class technology, security and global resources with our team's 50+ years of legal administration expertise, we offer unmatched solutions and capacity for even the most complex settlements anywhere in the world.

Time-tested Leader in Our Field, Our Distinguished Record Includes



MANAGED MORE THAN
4,000 SETTLEMENTS



PROCESSED OVER
100 MILLION CLAIMS



\$30 BILLION+
IN DISTRIBUTIONS



DESIGNED AND MANAGED
1,000+ COURT-APPROVED
MULTI-MEDIA CAMPAIGNS.

Why Partner with Kroll Settlement Administration?

- **Unrivaled Data Security and Technology.** Our cutting-edge proprietary technology platforms are built to handle any case, no matter the size or complexity. Through our innovative technology and our unrivaled data security measures, we create custom solutions, including a real-time case statistics dashboard, while providing clients with unlimited scalability in our secure, certified environment. Nothing is more important than protecting the confidentiality and integrity of customer data while meeting or exceeding regulatory requirements. Our clients can have the utmost confidence when working with Kroll Settlement Administration on their most complex and sensitive matters.
- **Industry Leading Claims Administration Team.** With decades of experience across all types of settlements, our team is well-versed in every aspect of the administration process and has worked on some of the most historic and complex cases of all time. We work closely with all parties involved, often assisting clients before settlement agreements are finalized, to ensure a value-maximizing, reliable and effective administration.
- **Most Experienced Notice Media Team Globally.** Through our in-house media team, we offer superior outreach programs that are rooted in analytics, validated by third parties and highly defensible in court. Our notice media team, led by one of the industry's most distinguished legal notice and communications experts, has successfully planned and implemented thousands of court-approved notice programs, including government enforcement actions and product recalls.

- **Best-in-Class Claims Administration Processes.** With our best-in-class claims processing procedures and focus on quality, we guarantee more accurate claims handling, speed and responsiveness. We also provide a fully digital solution from start to finish for any engagement. Our electronic administration service offering encompasses noticing, claim filing, receipt of supporting documentation, corresponding with class members, clearing deficiencies and/or rejections and digital disbursements.
- **Global Footprint With Resources and Expertise to Scale.** Kroll Settlement Administration and its affiliates employ nearly 5,000 professionals in 30 countries and territories around the world with unlimited capacity to handle any settlement administration.

Representative Class Action Cases

With over 50 years of experience in class action settlement administration, our team has successfully handled some of the largest and most complex settlements in history. Our cutting-edge administration solutions address matters in the evolving global regulatory framework.

For a more detailed look at our class action settlement experience, please visit krollbusinessservices.com.

Yahoo! Inc. Customer Data Security Breach Litigation, Case No. 5:16md02752, United States District Court Northern District of California

- \$117.5 million settlement
- Over 1.3 million claims filed
- Over 924 million notices sent
- Over 194 million class members globally

In Re: Currency Conversion Fee Antitrust Litigation, MDL No. 1409, United States District Court for the Southern District of New York

- \$336 million settlement
- 10.2 million claims filed
- Over 38 million notices mailed

Cook et al. v. Rockwell International Corp. and The Dow Chemical Co., Case No. 90cv00181, United States District Court for the District of Colorado

- \$375 million settlement
- Over 250,000 payments made
- Over 58,000 notices mailed

Columbia Gas Cases, Civil Action No. 1877cv01343G, Superior Court of Massachusetts

- \$143 million settlement
- Approx. 16,000 claims filed
- Approx. 92,000 notices mailed

In Re: Schering-Plough Corporation Securities Litigation, Case No. 01cv0829, United States District Court for the Southern District of New Jersey

- \$165 million settlement
- Over 71,000 claims filed

Brian Warner et al. v. Toyota Motor Sales, USA, Case No. 2:15cv02171, United States District Court for the Central District of California

- \$3.4 billion settlement
- Over 2 million notices mailed
- 1.5 million vehicles affected

About Kroll

Kroll is the world's premier provider of services and digital products related to governance, risk and transparency. We work with clients across diverse sectors in the areas of valuation, expert services, investigations, cyber security, corporate finance, restructuring, legal and business solutions, data analytics and regulatory compliance. Our firm has nearly 5,000 professionals in 30 countries and territories around the world. For more information, visit www.krollbusinessservices.com.



SECURITIES CLASS ACTION SETTLEMENT ADMINISTRATION

Kroll Settlement Administration is a leader in the notice and administration of class action settlements for securities litigation involving common or preferred stock, notes, bonds, IPOs, options, American depository receipts (ADRs), complex financial instruments and commodities.

Decades of Securities Innovation

Our team was the first to administer a securities class action settlement when we handled the Atlantic Department Stores class action settlement in 1974. Since then, we have administered hundreds of cases and distributed billions in settlement benefits. Many of the processes we created are still used in securities matters today, and we continue to innovate with industry-leading technology.

Unique Securities Platform

Our industry knowledge and proprietary administration platform, custom built specifically for securities cases, enables communication with shareholders while ensuring secure, efficient case administration. We maintain a proprietary list of banks, brokers and nominees and understands the complexities of noticing and processing claims on behalf of these entities.

CONTACT

Website:

www.krollbusinessservices.com

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+1 844 777 8055

We use advanced control processes in the administration of all securities class action settlements to reduce fraudulent claims and fraudulent distribution checks. Our internal processes are designed to meet stringent industry standards, mitigate risk, comply with security and processing integrity and protect confidentiality.

Representative Securities Settlements

- **Public Employees Retirement System of Mississippi et al. v Roadrunner Transportation Systems Inc et al.**, Case No. 2:17cv14, United States District Court, Eastern District of Wisconsin, Milwaukee Division
- **Bank of America Corporation Securities Litigation**, Case No. 1:11cv733, United States District Court for the Southern District of New York
- **SEC v. Specialist Firms**, Administrative Proceedings 3-11445, 3-11446, 3-11447, 3-11448, 3-11449, 3-11558 & 3-11559
- **In Re: Schering-Plough Corporation Securities Litigation**, Case No. 01cv829, United States District Court for the District of New Jersey
- **In Re: The Bank of New York Mellon ADR FX Litigation**, Case No. 1:16cv212, United States District Court for the Southern District of New York

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DATA SECURITY AND FRAUD MITIGATION

Kroll Settlement Administration uses the most secure, transparent, accurate, reliable and efficient technology platforms that enable us to deliver results across our global services.

Nothing is more important than protecting the confidentiality, availability and integrity of customer data while meeting or exceeding all regulatory requirements for the protection and handling of that data.

Data Security

Kroll Settlement Administration and its affiliates are global leaders in data security. We have taken technical, physical and procedural safeguards to deal with a variety of threats while consistently monitoring and reviewing our network and premises to protect our platform and clients from yet-to-be-discovered attack techniques.

Our comprehensive information security program includes vulnerability management, incident response, compliance, security monitoring and security engineering supported by a dedicated team of information security professionals.

30+ types

OF INDUSTRY
CERTIFICATIONS

AWARDED

**Best Data
Security**

PROVIDER

**HIPAA
and GDPR**

COMPLIANT

**Authorized
U.S.**

GOVERNMENT
SERVICE PROVIDER

AWARDED

Best Managed IT

SERVICE PROVIDER

TIA Tier IV

CLASSIFICATION
DATACENTER

24x7x365

ENDPOINT SECURITY
MONITORING

Key elements of our Global Security Standards include:

- Highly available data center facility with a TIA Tier IV classification (the highest classification for 99.995% uptime) and biometric authentication access system
- 24x7x365 endpoint security monitoring
- Supported full-time by professional information security team with over 30 types of industry certifications
- Fully redundant environmental systems with business continuity plans with enterprise class redundant storage
- Full disk encryption with a 256-bit key
- Regularly conduct penetration testing and ensure multiple layers of defense on our endpoints, including anti-virus, application whitelisting as well as incident response and advance persistent threat tools
- Maintain internationally recognized information security controls and achieved global standard to the ISO 27001 for Information

- Industry-leading technology
- ISO 27001 certification
- SOC2 Type II
- HIPAA Compliant
- GDPR Compliant
- CCPA Compliant
- PCI DSS Certified

Data security is a critical priority for us and our employees. We are proud to offer a highly secure and scalable technology environment to partner with our clients on their most complex and sensitive matters. Our information security program is a key pillar to the ongoing success of our business and clients.

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TECHNOLOGY

Our vast experience and expansive in-house resources allow Kroll Settlement Administration to offer flexible services for each settlement. Our team can accommodate unique functionalities that offer innovative solutions to complex problems.

ISO 27001

CERTIFICATIONS

SOC2

TYPE II

**HIPAA, GDPR
and CCPA**

COMPLIANT

PCI DSS

CERTIFIED

24X7X365

ENDPOINT SECURITY
MONITORING

State-of-the-Art Technology

Our proprietary claims administration system was developed to allow us to handle any case with unlimited capacity and controlled security. This enterprise-class claims administration system (CAS) is fully integrated to administer all matter of class actions throughout the entire life cycle of the case.

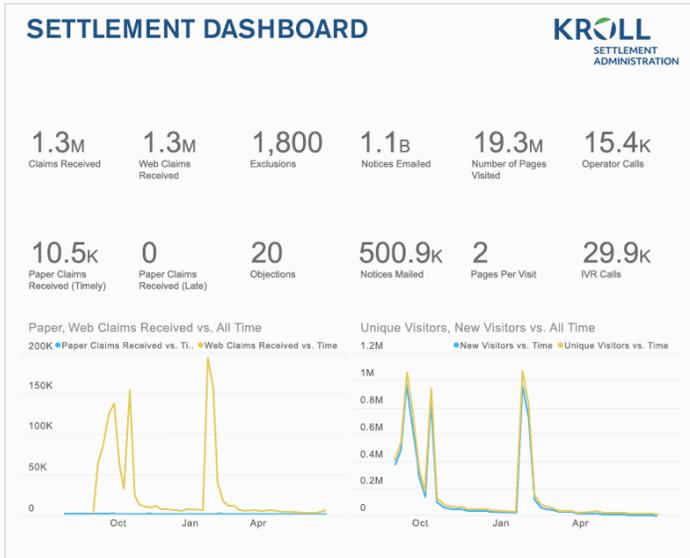
CAS and our internal policies and procedures have been designed to meet stringent industry standards to ensure scalability, resiliency, and recoverability to mitigate our clients' risks and comply with the security, availability, processing integrity, confidentiality, and privacy principles embodied in the AICPA Trust Services Principles, Criteria, and illustrations' guide.

Our system's capacity enables us to administer cases with millions of potential claimants and provide real-time updates, for each matter, including electronic claim confirmation. The system also tracks every aspect of a case including correspondence, claims analysis, and claims calculation.

Post-Distribution Accounting

Our team implemented the first post-distribution accounting report that integrates directly with the settlement website and complies fully with the Northern District of California's Procedural Guidance for Class Action Settlements. This feature is available for every case we handle, including those outside the Northern District.

The data reflected in the settlement summary chart is updated in real-time as our team updates our case databases with information such as total notice mailings/emails sent and the number of claims received, as well as the number of checks issued and cashed. The settlement summary has been developed to hit each post-distribution accounting checkpoint from the Northern District.



Case Dashboard Benefits

- Real-time, 24/7 access to case data via the dashboard
- Easy access through a web browser and mobile device
- Highly secure, with granular permission levels
- Improved communication, transparency, and efficiency
- Customization and the ability to request visibility into specific stats based on case needs
- Easy access to critical information being requested for Northern District of California Procedural Guidance for Class Action Settlements and in courts around the country

Access to Case Dashboards

Our team is always striving to set industry standards. With our case dashboards available to counsel, you will never have to wonder where things stand in the administration process. The dashboards update in real time through a secured site and reflect key performance indicators such as the number of notices sent, claims received, and much more.

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