

**UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF CALIFORNIA
SAN FRANCISCO DIVISION**

SAISRAVAN BHARADWAJ KARRI,
Individually and on Behalf of All Others Similarly
Situated,

Plaintiff,

v.

OCLARO, INC., MARISSA PETERSON,
EDWARD COLLINS, GREG DOUGHERTY,
KENDALL COWAN, DENISE HAYLOR, IAN
SMALL, BILL SMITH, and JOEL A. SMITH III,

Defendants.

Case No. 3:18-cv-03435-JD

Hon. James Donato

CLASS ACTION

PROOF OF CLAIM AND RELEASE

I. GENERAL INSTRUCTIONS

1. You are a Settlement Class Member if you were a record or beneficial holder of common stock of Oclaro, Inc. (“Oclaro”) and held such stock during the period from and including May 15, 2018, the record date for voting on the Merger of Oclaro and Lumentum Holdings Inc., through and including December 10, 2018, the date the Merger closed. To recover as a Settlement Class Member based on your claims in the action entitled *Karri v. Oclaro, Inc., et al.*, 3:18-cv-03435 (the “Litigation”), you must complete and, on page 3 hereof, sign this Proof of Claim and Release. If you fail to submit a properly addressed (as set forth in paragraph 3 below) Proof of Claim and Release, postmarked or received by the date shown below, your claim may be rejected and you may be precluded from any recovery from the Net Settlement Fund created in connection with the proposed Settlement of the Litigation.

2. Submission of this Proof of Claim and Release, however, does not assure that you will share in the proceeds of the Settlement.

3. YOU MUST MAIL OR SUBMIT ONLINE YOUR COMPLETED AND SIGNED PROOF OF CLAIM AND RELEASE, ACCOMPANIED BY COPIES OF THE DOCUMENTS REQUESTED HEREIN IF READILY AVAILABLE, NO LATER THAN **DECEMBER 21, 2023** TO THE COURT-APPOINTED CLAIMS ADMINISTRATOR IN THIS CASE, AT THE FOLLOWING ADDRESS:

Oclaro, Inc. Securities Litigation
c/o RG/2 Claims Administration LLC
P.O. Box 59479
Philadelphia, PA 19102-9479
Online Submissions: www.oclarsecuritieslitigation.com

If you are NOT a Settlement Class Member, DO NOT submit a Proof of Claim and Release.

4. If you are a Member of the Class and you do not timely request exclusion in connection with the proposed Settlement, you will be bound by the terms of any judgment entered in the Litigation, including the releases provided therein, **WHETHER OR NOT YOU SUBMIT A PROOF OF CLAIM AND RELEASE.**

II. CLAIM FORM

Pursuant to the Plan of Allocation, the Settlement Class Members who were holders of record of Oclaro common stock at the close of business on May 15, 2018, and were thus holders of record entitled to vote on the Merger, and who continued to hold Oclaro shares through the close of the Merger on December 10, 2018, who submit a valid Proof of Claim and Release to the Claims Administrator may share in the recovery, pro rata with their stock holdings (the proposed “Plan of Allocation”).

Please complete the entire form below. Use this form to state the number of shares of Oclaro common stock that you held at the close of business on **May 15, 2018**. If readily available, provide copies of broker confirmations or other documentation, such as trade confirmations or screen shots, of your holdings in Oclaro common stock as attachments to your claim. If any such documents are not in your possession, please obtain a copy or equivalent documents from your broker because these documents are helpful to prove and expedite processing your claim. Failure to provide this documentation could delay verification of your claim or result in rejection of your claim.

UNITED STATES DISTRICT COURT
 NORTHERN DISTRICT OF CALIFORNIA
Karri v. Oclaro, Inc., et al.
 Civil No. 3:18-cv-03435-JD

PROOF OF CLAIM AND RELEASE

**Must Be Postmarked or Received No Later Than:
 December 21, 2023**

PART I: CLAIMANT IDENTIFICATION

Name:		
Address 1:		
Address 2:		
City:	State:	Zip Postal Code:
Foreign Province:	Foreign Country:	
Day Phone:	Evening Phone:	
Email:		
Claimant Type (Individual, Joint, Corporation, etc.):		
Record Owner’s Name: (If different from beneficial owner listed above)		
Social Security Number (for individuals):	OR	Taxpayer Identification Number (for estates, trusts, corporations, etc.):

PART II: HOLDINGS IN OCLARO COMMON STOCK

A. Number of shares of Oclaro common stock you held at the close of business on May 15, 2018:

Proof enclosed? _____ Yes _____ No

YOUR SIGNATURE BELOW WILL CONSTITUTE YOUR ACKNOWLEDGMENT OF THE RELEASE DESCRIBED IN THE NOTICE ISSUED WITH THIS PROOF OF CLAIM FORM.

SUBMISSION TO JURISDICTION OF COURT AND ACKNOWLEDGMENTS

I (We) submit this Proof of Claim and Release 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 Northern District of California with respect to my (our) claim as a Settlement Class Member and for purposes of enforcing the release 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 the Litigation. I (We) agree to furnish additional information to the Claims Administrator to support this claim if requested to do so. I (We) have not submitted any other claim in connection with the holding of Oclaro common stock during the period from and including May 15, 2018, the record date for Oclaro’s special stockholder meeting regarding the Merger, through and including December 10, 2018, the date the Merger closed, and know of no other person having done so on my (our) behalf.

I (We) hereby warrant and represent that I (we) have not assigned or transferred or purported to assign or transfer, voluntarily or involuntarily, any claim or matter released pursuant to this release or any other part or portion thereof.

I (We) hereby warrant and represent that I (we) have included information (including supporting documentation if readily available) about the number of shares of Oclaro stock held by me (us) at the close of business on May 15, 2018.

I (We) hereby warrant and represent that I (we) held Oclaro shares through the close of the Merger on December 10, 2018.

I (We) hereby warrant and represent that I am (we are) not a Defendant or other person excluded from the Class.

I declare under penalty of perjury under the laws of the United States of America that the foregoing information supplied by the undersigned is true and correct.

Executed this _____ day of _____ (Month/Year)

in _____ (City) _____ (State/Country)

(Sign your name here)

(Type or print your name here)

(Capacity of person(s) signing, e.g., Beneficial Purchaser or Acquirer, Executor or Administrator)

Reminder Checklist:

1. Please sign the above release and declaration.
2. Remember to attach copies of supporting documentation, if readily available.
3. Do not send originals of stock certificates or other documentation as they will not be returned.
4. Keep a copy of your Proof of Claim and Release and all supporting documentation for your records.
5. If you desire an acknowledgment of receipt of your Proof of Claim and Release, please send it Certified Mail, Return Receipt Requested.
6. If you move, please send your new address to the address below.
7. Do not use red pen or highlighter on the Proof of Claim and Release or supporting documentation.

THIS PROOF OF CLAIM AND RELEASE MUST BE SUBMITTED ONLINE BY DECEMBER 21, 2023, OR, IF MAILED, POSTMARKED NO LATER THAN DECEMBER 21, 2023, ADDRESSED AS FOLLOWS:

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c/o RG/2 Claims Administration LLC
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Philadelphia, PA 19102-9479