



Arconic Securities Settlement

ELECTRONIC CLAIM FILING GUIDELINES



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Overview

Electronic Claim Filing applies to institutions or entities that are filing multiple Proofs of Claim and Release on behalf of themselves and/or others, as well as individuals or entities that are filing Proofs of Claim and Release with a large number of transactions (50+).

Electronic Claim Filings are subject to rejection if not prepared in compliance with these Electronic Claim Filing Guidelines.

PLEASE NOTE: No Electronic Claim Filing will be considered to have been properly submitted unless the Claims Administrator issues to the filer a written acknowledgment of receipt and acceptance of electronically submitted data.

Electronic Filing Requirements

Complete and Sign a Proof of Claim and Release:

- One executed Proof of Claim and Release should be completed per submission. This Proof of Claim and Release serves as a master Proof of Claim and Release for one or all of the accounts included on your file. The Proof of Claim and Release is attached hereto as Appendix B.
- Separate Claims should be submitted for each separate legal entity (*e.g.*, a claim from joint owners should not include separate transactions of just one of the joint owners, and an individual should not combine his or her IRA transactions with transactions made solely in the individual's name). Conversely, a single Claim should be submitted on behalf of one legal entity including all transactions made by that entity, no matter how many separate accounts that entity has (*e.g.*, a corporation with multiple brokerage accounts should include all transactions made in all accounts on one Claim).
- Complete the first page of the Proof of Claim and Release. Be sure to include company name, account name/number, and company address. If submitting an electronic file on behalf of several accounts, enter "Various Accounts" for the account name/number.
- Complete the signature page on the Proof of Claim and Release. If you are filing on behalf of your clients, you must include a letter or document providing your authorization to sign on behalf of your clients, as set forth in Appendix C.
- A valid email address must be on file with the Claims Administrator. Communication regarding deficiencies and rejections on electronically filed claims may be conducted by email. A valid email address **MUST** be included on the Proof of Claim and Release, and the email address provided **MUST** be updated in the event the contact person or email address changes; it is the sole responsibility of the filing party to maintain up-to-date, complete contact information with the Claims Administrator.

Prepare a cover letter:

- A cover letter **MUST** be included with the master Proof of Claim and Release. The cover letter must include the total number of accounts; total number of transactions; total number of shares purchased, acquired, and sold; and contact name(s) with phone number(s) and email address(es). Please see the sample cover letter as set forth in Appendix D.



Prepare a data file:

- An Excel spreadsheet or other electronic file containing account information and transactional data **MUST** be prepared in accordance with A.B. Data, Ltd.'s Electronic Claim Filing Template Mapping Instructions found in Appendix E. The following formats are acceptable: a) MEDIA: CD, DVD, and FLASH DRIVE and b) DATA: ASCII, MS EXCEL, and MS ACCESS. For your convenience, an Excel spreadsheet template is available for your use and may be downloaded from www.ArconicSecuritiesSettlement.com.
- If you cannot provide the information in the aforementioned formats or you have other requests, questions, concerns, or comments, please email A.B. Data, Ltd., at efiling@abdata.com or you may call 877-354-3791 to speak to an Electronic Claims Filing Specialist.

Mail your executed master Proof of Claim and Release with a cover letter and media format to:

ARCONIC SECURITIES SETTLEMENT
ATTN: ELECTRONIC CLAIMS DEPARTMENT
C/O A.B. DATA, LTD.
PO BOX 173091
MILWAUKEE, WI 53217

Or:

ARCONIC SECURITIES SETTLEMENT
ATTN: ELECTRONIC CLAIMS DEPARTMENT
C/O A.B. DATA, LTD.
3410 WEST HOPKINS STREET
MILWAUKEE, WI 53216

Documentation Requirements

A.B. Data, Ltd., reserves the right to request additional documentation at any time after your Proof of Claim and Release and file have been received and processed. The documentation provided should be sufficient to verify the validity and accuracy of the data provided in the file.

If you provided a letter/affidavit attesting to the truth and accuracy of your data when initially submitting your file, A.B. Data may still require specific documentary evidence (trade confirmations, monthly statement, or equivalent) to verify the details of your transactions and/or holdings.

How to account for Free Receipts, Free Deliveries, and Transfers

Free receipt, free delivery, and transfer transactions are not eligible for payment unless you have additional information regarding the original purchase, acquisition, or subsequent sale. If you do not have this information, free receipt, free delivery, and transfer transactions should only be included on your electronic file for balancing purposes. You **MUST** use the following instructions when filing for accounts that have free receipt, free delivery, and transfer transactions during the Class Period:

If shares were transferred to or from a different custodian (corresponding account is not on your electronic file), you must follow these instructions:

- **SHARES RECEIVED INTO ACCOUNT:** You must account for any received shares by providing the opening position or original purchase or acquisition of these shares from the prior account.
- **SHARES DELIVERED OUT OF ACCOUNT:** You must account for any delivered shares by providing the sale and/or closing position from the subsequent account.



- **NO INFORMATION AVAILABLE ON ORIGINAL PURCHASE/ACQUISITION or SUBSEQUENT SALE:** You must provide the free receipt and/or free delivery shares in order to balance your claim. A “transfer in” should be reflected as transaction type “FR,” and a “transfer out” should be reflected as transaction type “FD” (prices and net amounts should be zero).

If shares were transferred between accounts on your file, you must follow these instructions:

- **DO NOT** claim the same purchase or acquisition transaction(s) on both accounts.
- The account that owned the shares most recently should be the account claiming the eligible purchase or acquisition. These shares should already be accounted for in the sales and/or closing position of the most recent account.
- If shares were transferred between accounts for the same beneficial owner on your file, you must combine these accounts and file all eligible purchases, acquisitions, and sales in a single claim. You must also include all opening and closing positions on the claim for that entity.
- If you are unable to combine these accounts accordingly, you must provide the free receipt and free delivery shares in order to balance your claim. A “transfer in” should be reflected as transaction type “FR,” and a “transfer out” should be reflected as transaction type “FD” (prices and net amounts should be zero).

Claim Balancing

All securities for each Claim must balance. For common stock and convertible notes this means the opening position plus all purchases / acquisitions (including free receipts) **MUST EQUAL** the total sales (including free deliveries) through and including plus the closing position. **(O+P+FR=S+FD+C).**

For preferred stock this means all purchases / acquisitions (including free receipts) **MUST EQUAL** the total sales (including free deliveries) through and including plus the closing position. **(P+FR=S+FD+C)**

Negative values may only be given for short opening or closing positions. All other transactions must be positive values.



Appendix A

Case Specific Information

CLASS DEFINITION:	All Persons who purchased or otherwise acquired: (i) Arconic securities between November 4, 2013 and June 27, 2017, inclusive, including for the avoidance of doubt any Arconic Depositary Shares; and (ii) Arconic Depositary Shares, each representing a 1/10th interest in a share of 5.375% Class B Mandatory Convertible Preferred Stock, Series 1, par value \$1 per share, liquidation preference \$500 per share pursuant to and/or traceable to the Registration Statement and Prospectus issued in connection with Arconic’s September 18, 2014 initial public preferred stock offering, except those Persons (including entities) that are excluded. ¹
CLAIM FILING DEADLINE:	August 21, 2023

The following is a list of eligible Securities:

SECURITY	TICKER	CUSIP	ISIN
Arconic Common Stock ^{2 3}	ARNC	03965L100	US03965L1008
Arconic Common Stock (Alcoa Inc.)	AA	013817101	US0138171014
Arconic Preferred Stock ⁴	ARNC.PB	03965L308	US03965L3087
Arconic Preferred Stock (Alcoa Inc.)	AA.PB	013817309	US0138173093
Arconic 1.625% Convertible Notes ⁵	RTI	74973WAB3	US74973WAB37

¹ “Arconic Securities” means Arconic common stock, Arconic Preferred Stock, and Convertible Notes which Arconic assumed the obligation to repay in connection with its acquisition of RTI International Metals, Inc. on March 9, 2015

² On November 1, 2016, Alcoa Inc. completed the separation of its businesses into two independent, publicly-traded companies: Alcoa Corporation and Arconic Inc. (the “Spin-Off”). Throughout the Settlement Class Period, the common stock was listed on the New York Stock Exchange (“NYSE”). Prior to the Spin-Off, the common stock traded under the ticker symbol “AA.” Following the Spin-Off through the end of the Settlement Class Period, the common stock traded under the ticker symbol “ARNC.” On April 1, 2020, Arconic Inc. completed another separation of its business into two independent, publicly-traded companies: Arconic Corporation and Howmet Aerospace Inc. Following the separation, Howmet Aerospace Inc. and Arconic Corporation were listed on the NYSE under the ticker symbols “HWM” and “ARNC,” respectively.

³ After market close on October 5, 2016, the Company completed a 1-for-3 reverse split for its common stock. Herein, unless otherwise stated, common stock prices and quantities are reported on a split-adjusted basis.

⁴ The Company completed the initial public offering of the Preferred Stock during the Settlement Class Period in September 2014. The Company offered 25,000,000 depositary shares at \$50 per share, each of which represented a 1/10th interest in a share of the Company’s 5.375% Class B Mandatory Convertible Preferred Stock, Series 1. On September 17, 2014, the Preferred Stock was listed on the NYSE under the ticker symbol “AA.PB.” Following the Spin-Off, the Preferred Stock was listed on the NYSE under the ticker symbol “ARNC.PB.” On October 1, 2017, all outstanding shares of Preferred Stock were mandatorily converted into shares of common stock.

⁵ On March 9, 2015, the Company announced that it had entered into an agreement to acquire RTI International Metals, Inc. (“RTI”) in a stock-for-stock transaction. On July 23, 2015, the Company completed the acquisition of RTI. As part of the acquisition, the Company assumed the obligation to repay \$402.5 million in aggregate principal associated with RTI’s 1.625% convertible notes due October 15, 2019.

Common Stock transactions for each account should include:

Transaction Type	Definition	Valid Dates
O	Total shares held at opening of trading	November 4, 2013
P	Purchases/acquisitions	November 4, 2013 and September 22, 2017
FR	Transfer into account	November 4, 2013 and September 22, 2017
S	Sales	November 4, 2013 and September 22, 2017
FD	Transfer out of account	November 4, 2013 and September 22, 2017
C	Total shares held at close of trading	September 22, 2017

*****Please see Appendix E for mapping instructions detailing how to properly submit your file. Files submitted that do not follow the mapping instructions are subject to rejection.**



Preferred Stock transactions for each account should include:

Transaction Type	Definition	Valid Dates
P	Purchases/acquisitions	September 17, 2014 through September 29, 2017
FR	Transfer into account.	September 17, 2014 through September 29, 2017
S	Sales	September 17, 2014 through September 29, 2017
FD	Transfer out	September 17, 2014 through September 29, 2017
C	Total shares held at close of trading	September 29, 2017

*****Please see Appendix E for mapping instructions detailing how to properly submit your file. Files submitted that do not follow the mapping instructions are subject to rejection.**



Convertible Notes transactions for each account should include:

Transaction Type	Definition	Valid Dates
O	Total notes held at opening of trading (Par Value)	March 9, 2015
P	Purchases/acquisitions	March 9, 2015 and September 22, 2017
FR	Transfer into account.	March 9, 2015 and September 22, 2017
S	Sales	March 9, 2015 and September 22, 2017
FD	Transfer out	March 9, 2015 and September 22, 2017
C	Total shares owned at close of trading	September 22, 2017

*****Please see Appendix E for mapping instructions detailing how to properly submit your file. Files submitted that do not follow the mapping instructions are subject to rejection.**



Appendix B



A.B. DATA, LTD.

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New York | Washington, D.C. | Chicago | West Palm Beach | Milwaukee

UNITED STATES DISTRICT COURT
WESTERN DISTRICT OF PENNSYLVANIA

MARTIN HOWARD, Individually and on Behalf)	Civ. Action No. 2:17-cv-01057-MRH
of All Others Similarly Situated,)	(Consolidated)
))
Plaintiff,)	<u>CLASS ACTION</u>
))
vs.)	PROOF OF CLAIM AND RELEASE
))
ARCONIC INC., et al.,))
))
Defendants.))
))
_____))

I. GENERAL INSTRUCTIONS

1. To recover as a Member of the Settlement Class based on your claims in the action *Howard v. Arconic Inc., et al.*, Case No. 2:17-cv-01057-MRH (the “Litigation”), you must complete and, on page 10 hereof, sign this Proof of Claim and Release (“Claim Form” or “Proof of Claim”).¹ If you fail to submit a properly addressed (as set forth in paragraph 3 below) Claim Form, 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 resolution of the Litigation in accordance with the terms and provisions of the Stipulation (the “Settlement”).

2. Submission of this Claim Form, 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, ACCOMPANIED BY COPIES OF THE DOCUMENTS REQUESTED HEREIN, NO LATER THAN AUGUST 21, 2023, TO THE COURT-APPOINTED CLAIMS ADMINISTRATOR IN THIS CASE, AT THE FOLLOWING ADDRESS:

Arconic Securities Settlement
Claims Administrator
c/o A.B. Data, Ltd.
P.O. Box 173091
Milwaukee, WI 53217
Online Submissions: www.ArconicSecuritiesSettlement.com

Do not mail or deliver your Claim Form to the Court, the parties to the Litigation, or their counsel. Submit your Claim Form only to the Claims Administrator at the address set forth above. If you are NOT a Member of the Settlement Class (as defined below and in the Stipulation, as well as explained in Item 4 of the Notice of Pendency and Proposed Settlement of Class Action (the “Notice”)), DO NOT submit a Proof of Claim.

¹ This Proof of Claim incorporates by reference the definitions in the Stipulation of Settlement dated April 21, 2023 (“Stipulation”), which can be obtained at www.ArconicSecuritiesSettlement.com. In the event any defined term herein or in the Notice conflicts with the defined term as used in the Stipulation, the Stipulation controls.

4. If you are a Member of the Settlement Class and you do not validly and timely request exclusion in accordance with the requirements set by the Court, you will be bound by the Settlement and the terms of any judgment and release entered in the Litigation, including the releases provided therein, including, but not limited to, the Judgment, **WHETHER OR NOT YOU SUBMIT A PROOF OF CLAIM.**

5. It is important that you completely read and understand the Notice that accompanies this Claim Form, including the Plan of Allocation of the Net Settlement Fund set forth in the Notice. The Notice describes the proposed Settlement and Stipulation, how the Settlement Class Members are affected by the Settlement, and the manner in which the Net Settlement Fund will be distributed if the Settlement and Plan of Allocation are approved by the Court. The Notice also contains the definitions of many of the defined terms (which are indicated by initial capital letters) from the Stipulation and otherwise used in this Claim Form. By signing and submitting this Claim Form, you will be certifying that you have read and that you understand the Notice, including the terms of the releases described therein and provided for herein.

II. CLAIMANT IDENTIFICATION

You are a Member of the Settlement Class if you purchased or otherwise acquired: (i) Arconic securities between November 4, 2013 and June 27, 2017, both dates inclusive, including for the avoidance of doubt any Arconic Depository Shares; and (ii) Arconic Depository Shares, each representing a 1/10th interest in a share of 5.375% Class B Mandatory Convertible Preferred Stock, Series 1, par value \$1 per share, liquidation preference \$500 per share pursuant to and/or traceable to the Registration Statement and Prospectus issued in connection with Arconic's September 18, 2014 initial public preferred stock offering.

Excluded from the Settlement Class are: (i) the Defendants; (ii) the current and Settlement Class Period officers and directors of Arconic and the Underwriter Defendants; (iii) the Immediate Family Members of the Individual Defendants; and (iv) the legal representatives, affiliates, heirs, successors-in-interest or assigns of any such excluded party and any entity in which such excluded parties have or had a controlling interest, *provided, however*, that any Investment Vehicle shall not be excluded from the Settlement Class.² Also excluded from the Settlement Class is any Person who would otherwise be a Member of the Settlement Class but who validly and timely requests exclusion in accordance with the requirements set by the Court in connection with the Settlement.

Use Part I of this form entitled "Claimant Identification" to identify each purchaser or acquirer of record ("nominee"), if different from the beneficial purchaser or acquirer of the Arconic Securities that forms the basis of this claim. **THIS CLAIM MUST BE FILED BY THE ACTUAL BENEFICIAL PURCHASER(S) OR ACQUIRER(S) OR THE LEGAL REPRESENTATIVE OF SUCH PURCHASER(S) OR ACQUIRER(S) OF THE ARCONIC SECURITIES UPON WHICH THIS CLAIM IS BASED.**

All joint purchasers or acquirers must sign this Claim Form. Executors, administrators, representatives, guardians, agents, conservators, and trustees must complete and sign this Claim Form on behalf of Persons represented by them and evidence of their authority must accompany this Claim Form and their titles or capacities must be stated. The last four digits of the Social Security Number (or full Taxpayer Identification Number) and telephone number of the beneficial owner may be used in verifying the claim. Failure to provide the foregoing information could delay verification of your claim or result in rejection of the claim.

If you are acting in a representative capacity on behalf of a Member of the Settlement Class (for example, as an executor, administrator, agent, trustee, or other representative), you must submit evidence of your current authority to act on behalf of that Member of the Settlement Class. Such evidence would include, for example, letters testamentary, letters of administration, or a copy of the trust documents.

One claim should be submitted for each separate legal entity. Separate Claim Forms should be submitted for each separate legal entity (*e.g.*, a claim from joint owners should not include separate transactions of just one of the joint owners,

² "Investment Vehicle" means any investment company, separately managed account, or pooled investment fund, including but not limited to, mutual fund families, exchange traded funds, fund of funds and hedge funds, and employee benefit plans, in which Defendants, or any of them, have, has or may have a direct or indirect interest, or as to which its affiliates may act as an investment advisor, but in which any Defendant alone or together with its, his or her respective affiliates is not a majority owner or does not hold a majority beneficial interest.

and an individual should not combine his or her IRA transactions with transactions made solely in the individual's name). Conversely, a single Claim Form should be submitted on behalf of one legal entity including all transactions made by that entity on one Claim Form, no matter how many separate accounts that entity has (e.g., a corporation with multiple brokerage accounts should include all transactions made in all accounts on one Claim Form).

NOTICE REGARDING ELECTRONIC FILES: Certain claimants with large numbers of transactions may request to, or may be requested to, submit information regarding their transactions in electronic files. All claimants **MUST** submit a manually signed paper Proof of Claim listing all their transactions whether or not they also submit electronic copies. If you wish to file your claim electronically, you must contact the Claims Administrator via email at info@ArconicSecuritiesSettlement.com or toll-free at 866-963-9979 to obtain the required file layout. No electronic files will be considered to have been properly submitted unless the Claims Administrator issues to the claimant a written acknowledgement of receipt and acceptance of electronically submitted data.

III. CLAIM FORM

Use Part II of this form entitled "Schedule of Transactions in Arconic Securities" to supply all required details of your transaction(s) in Arconic Securities. If you need more space or additional schedules, attach separate sheets giving all of the required information in substantially the same form. Sign and print or type your name on each additional sheet.

Please note that only the Arconic Securities purchased or otherwise acquired during the Settlement Class Period (*i.e.*, between November 4, 2013 and June 27, 2017, both dates inclusive) are eligible under the Plan of Allocation to potentially share in the proceeds of the Settlement. However, under the "90-Day Lookback Period" (described in the Plan of Allocation set forth in the Notice), your sales of Arconic Securities during the period from June 27, 2017 through and including the close of trading on September 22, 2017, will be used for purposes of calculating Recognized Loss amounts under the Plan of Allocation. Therefore, in order for the Claims Administrator to be able to balance your claim, the requested transaction information during the 90-Day Lookback Period must also be provided. Furthermore, in order to calculate the Recognized Loss amount for the Preferred Stock for claims under the Securities Act, requested transaction information during the period from June 27, 2017, through and including the close of trading on September 29, 2017, must also be provided. **Failure to report all transaction and holding information during the requested time period may result in the rejection of your claim.**

List these transactions separately and in chronological order, by trade date, beginning with the earliest. You must accurately provide the month, day, and year of each transaction you list.

For purpose of the Plan of Allocation, for short-sale transactions, the date of covering a "short sale" is deemed to be the date of purchase of Arconic Securities, and the date of a "short sale" is deemed to be the date of sale of Arconic Securities.

For each transaction, you must provide, together with this Claim Form, copies of stockbroker confirmation slips, stockbroker statements, or other documents adequately evidencing your transactions in Arconic Securities. If any such documents are not in your possession, please obtain a copy or equivalent documents from your broker because these documents are necessary to prove and process your claim. Failure to provide this documentation could delay verification of your claim or result in rejection of your claim.

PLEASE NOTE: As set forth in the Plan of Allocation, each Authorized Claimant shall receive his, her, their, or its *pro rata* share of the Net Settlement Fund. If the prorated payment to any Authorized Claimant calculates to less than \$10.00, it will not be included in the calculation and no distribution will be made to that Authorized Claimant.

UNITED STATES DISTRICT COURT
WESTERN DISTRICT OF PENNSYLVANIA
Howard v. Arconic Inc., et al.
Case No. 2:17-cv-01057

PROOF OF CLAIM AND RELEASE

Must Be Postmarked (if mailed) or Received (if submitted online) No Later Than: **August 21, 2023**

Please Type or Print

REMEMBER TO ATTACH COPIES OF BROKER CONFIRMATIONS OR OTHER DOCUMENTATION OF YOUR TRANSACTIONS IN ARCONIC SECURITIES. FAILURE TO PROVIDE THIS DOCUMENTATION COULD DELAY VERIFICATION OF YOUR CLAIM OR RESULT IN REJECTION OF YOUR CLAIM.

PART I. CLAIMANT IDENTIFICATION

Beneficial Owner's Name *(as it appears on your brokerage statement)*

--

Joint Beneficial Owner's Name *(as it appears on your brokerage statement)*

--

Trustee/Asset Manager/Nominee/Record Owner's Name *(if different from beneficial owner listed above)*

--

Account Number

--

Last 4 digits of Social Security Number

-or-

Taxpayer Identification Number

--	--

Street Address

--

City

State/Province

ZIP Code

--	--	--

Foreign Province

Foreign Postal Code

Foreign Country

--	--	--

Telephone Number (Day)

Telephone Number (Evening)

--	--

Email Address (email address is not required, but if you provide it you authorize the Claims Administrator to use it in providing you with information relevant to this claim)

--

Type of Beneficial Owner:

Specify one of the following:

Individual(s) Corporation UGMA Custodian IRA Partnership

Estate Trust Other (describe): _____

PART II. SCHEDULE OF TRANSACTIONS IN ARCONIC SECURITIES

ARCONIC COMMON STOCK^{3,4}

Total Shares Held

A. Number of shares of Arconic common stock held at the opening of trading on November 4, 2013 (*must be documented*). If none, write “zero” or “0”:

--

B. Purchases or acquisitions of Arconic common stock between November 4, 2013 and September 22, 2017, inclusive (*must be documented*):

Trade Date Month/Day/Year	Number of Shares Purchased or Acquired	Purchase or Acquisition Price Per Share	Total Purchase or Acquisition Price (excluding commissions, taxes, and other fees)

C. Sales of Arconic common stock between November 4, 2013 and September 22, 2017, inclusive (*must be documented*):

Trade Date Month/Day/Year	Number of Shares Sold	Sale Price Per Share	Total Sale Price (excluding commissions, taxes, and other fees)

D. Number of shares of Arconic common stock held at the close of trading on September 22, 2017 (*must be documented*). If none, write “zero” or “0”:

Total Shares Held

--

If you require additional space, attach extra schedules in the same format as above. Sign and print your name and the last four digits of your Social Security or Taxpayer Identification Number on each additional page.

YOU MUST READ AND SIGN THE RELEASE ON PAGE 10. FAILURE TO SIGN THE RELEASE MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.

³ On November 1, 2016, Alcoa Inc. completed the separation of its businesses into two independent, publicly-traded companies: Alcoa Corporation and Arconic Inc. (the “Spin-Off”). Throughout the Settlement Class Period, the common stock was listed on the New York Stock Exchange (“NYSE”). Prior to the Spin-Off, the common stock traded under the ticker symbol “AA.” Following the Spin-Off through the end of the Settlement Class Period, the common stock traded under the ticker symbol “ARNC.”

⁴ After market close on October 5, 2016, the Company completed a 1-for-3 reverse split for its common stock. Herein, unless otherwise stated, common stock prices and quantities are reported on a split-adjusted basis.

ARCONIC 1.625% CONVERTIBLE SENIOR NOTES MATURED OCTOBER 15, 2019

A. Quantity (Par Value) of Arconic 1.625% Convertible Notes held at the opening of trading on March 9, 2015 (*must be documented*). If none, write “zero” or “0”:

Total Notes Held (Par Value)

\$

B. Purchases or acquisitions of Arconic 1.625% Convertible Notes between March 9, 2015 and September 22, 2017, inclusive (*must be documented*):

Trade Date (list chronologically) Month/Day/Year	Quantity of Convertible Notes Purchased or Acquired (Par Value)	Purchase or Acquisition Price Per Note	Total Purchase / Acquisition Price (excluding commissions, taxes, and other fees)

C. Sales of Arconic 1.625% Convertible Notes between March 9, 2015 and September 22, 2017, inclusive (*must be documented*):

Trade Date (list chronologically) Month/Day/Year	Quantity of Convertible Notes Sold (Par Value)	Sale Price Per Note	Total Sales Price (excluding commissions, taxes, and other fees)

D. Quantity (Par Value) of Arconic 1.625% Convertible Notes held at the close of trading on September 22, 2017 (*must be documented*). If none, write “zero” or “0”:

Total Notes Held (Par Value)

\$

If you require additional space, attach extra schedules in the same format as above. Sign and print your name and the last four digits of your Social Security or Taxpayer Identification Number on each additional page.

YOU MUST READ AND SIGN THE RELEASE ON PAGE 10. FAILURE TO SIGN THE RELEASE MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.

ARCONIC PREFERRED STOCK (DEPOSITARY SHARES)⁵

- A. Purchases or acquisitions of Arconic Preferred Stock pursuant and/or traceable to the Registration Statement and Prospectus for the September 2014 initial public offering during the period September 17, 2014 through September 29, 2017, inclusive (*must be documented*):

Trade Date Month/Day/Year	Number of Shares Purchased or Acquired	Purchase or Acquisition Price Per Share	Total Purchase / Acquisition Price (excluding commissions, taxes, and other fees)

- B. Sales of Arconic Preferred Stock between September 17, 2014 through September 29, 2017, inclusive (*must be documented*):

Trade Date Month/Day/Year	Number of Shares Sold	Sale Price Per Share	Total Sales Price (excluding commissions, taxes, and other fees)

- C. Number of shares of Arconic Preferred Stock held at the close of trading on September 29, 2017 (*must be documented*). If none, write “zero” or “0”:

Total Shares Held

--

If you require additional space, attach extra schedules in the same format as above. Sign and print your name and the last four digits of your Social Security or Taxpayer Identification Number on each additional page.

YOU MUST READ AND SIGN THE RELEASE ON PAGE 10. FAILURE TO SIGN THE RELEASE MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.

⁵ The Company completed the initial public offering of the Preferred Stock during the Settlement Class Period in September 2014. The Company offered 25,000,000 depositary shares at \$50 per share, each of which represented a 1/10th interest in a share of the Company’s 5.375% Class B Mandatory Convertible Preferred Stock, Series 1. On September 17, 2014, the Preferred Stock was listed on the NYSE under the ticker symbol “AA.PB.” Following the Spin-Off, the Preferred Stock was listed on the NYSE under the ticker symbol “ARNC.PB.” On October 1, 2017, all outstanding shares of Preferred Stock were mandatorily converted into shares of common stock.

IV. SUBMISSION TO JURISDICTION OF COURT AND ACKNOWLEDGMENTS

I (We) submit this Proof of Claim under the terms of the Stipulation described in the Notice. I (We) also submit to the jurisdiction of the United States District Court for the Western District of Pennsylvania with respect to my (our) claim as a Member of the Settlement Class and for purposes of enforcing the releases and covenants set forth herein, and enforcing the Stipulation and any judgment or release that may be entered in the Litigation. I (We) further acknowledge that I am (we are) bound by and subject to the terms of the Stipulation and any judgment or release that may be entered in the Litigation, including the releases and the covenants set forth herein. 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 purchase or acquisition of Arconic Securities during the Settlement Class Period and know of no other Person having done so on my (our) behalf.

V. RELEASES

1. Upon the Effective Date of the Settlement, I (We), on behalf of myself (ourselves), and my (our) respective heirs, executors, administrators, predecessors, successors, and assigns in their capacities as such, and on behalf of any other Person legally entitled to bring Released Plaintiffs' Claims on my (our) behalf, hereby acknowledge full and complete satisfaction of, and do hereby fully, finally, and forever waive, compromise, settle, discharge, extinguish, resolve, relinquish, dismiss with prejudice and release each and every one of the Released Plaintiffs' Claims against each and every one of the Released Defendant Parties, as set forth fully in ¶¶4.2-4.5 of the Stipulation.

2. "Arconic Entities" means Howmet Aerospace Inc. (formerly known as Arconic Inc. and formerly known as Alcoa Inc.) and Arconic Corporation.

3. "Immediate Family Members" means current and former spouses, parents, stepparents, foster parents, fathers-in-law, mothers-in-law, children, stepchildren, foster children, sons-in-law, daughters-in-law, grandparents, grandchildren, brothers, sisters, brothers-in-law, sisters-in-law, aunts, uncles, nieces, nephews, and first cousins. First cousin means the child of a parent's sibling, *i.e.*, the child of an aunt or uncle.

4. "Related Parties" means any Person's former, present or future parents, subsidiaries, divisions, controlling Persons, associates, related entities and affiliates, any entity in which a Person has a controlling interest, and each and all of the Person's and their respective present and former employees, independent contractors, members, partners, principals, officers, directors, equity holders, managers, servants, agents, attorneys, advisors (including financial or investment advisors), accountants, auditors, consultants, underwriters, investment bankers, commercial bankers, entities providing fairness opinions, general or limited partners or partnerships, limited liability companies, members, joint ventures and insurers and reinsurers or co-insurers of each of them; as well as the predecessors, successors, sister corporations, estates, Immediate Family Members, heirs, executors, guardians, conservators, legatees, devisees, receivers, settlors, beneficiaries, trusts, trustees, administrators, agents, legal or any other representatives, assigns, assignors, and assignees of each of them.

5. "Released Defendant Party" or "Released Defendant Parties" mean each and all of Defendants, Defendants' Counsel, the Arconic Entities, and any of their Related Parties. The Released Defendant Parties, excluding Defendants themselves, are intended as third-party beneficiaries of this Settlement with respect to the release of the Released Plaintiffs' Claims and any other provisions of the Settlement and the Stipulation accruing to their benefit.

6. "Released Defendants' Claims" means any and all claims, rights and causes of action, duties, obligations, demands, actions, debts, sums of money, suits, contracts, agreements, judgments, matters, issues, promises, damages and liabilities, including both known and Unknown Claims, of every nature and description whatsoever, whether contingent or non-contingent, direct or indirect, mature or not mature, accrued or not accrued, concealed or hidden, or suspected or unsuspected, including any claims arising under federal or state statutory or common law or any other law, rule or regulation, whether foreign or domestic, in law, in contract, or in equity, regardless of legal or equitable theory, whether class or individual in nature, that arise out of or relate in any way to the institution, prosecution, or settlement of the claims in the Litigation against the Defendants. Notwithstanding the foregoing, Released Defendants' Claims does not include (i) any claims relating to the enforcement of the Settlement; (ii) any claims between the Released Defendant Parties and their respective insurers and all indemnification or contribution claims between and among the Released Defendant Parties; and (iii) any claims of any shareholder that validly and timely requests exclusion in accordance with the requirements set by the

Court in connection with the Settlement and whose exclusion from the Settlement Class is confirmed by the Court in the Judgment.

7. “Released Plaintiffs’ Claims” means any and all claims, rights and causes of action, duties, obligations, demands, actions, losses, debts, sums of money, suits, contracts, agreements, judgments, matters, issues, promises, damages and liabilities, including both known and Unknown Claims, of every nature and description whatsoever, whether contingent or non-contingent, direct or indirect, mature or not mature, accrued or not accrued, concealed or hidden, or suspected or unsuspected, including any claims arising under federal or state statutory or common law or any other law, rule or regulation, whether foreign or domestic, in law, in contract, or in equity, regardless of legal or equitable theory, whether direct, representative, class, derivative or individual in nature, that have been asserted, could have been asserted, or could be asserted in the future in any forum against any of the Released Defendant Parties that (i) in any way arise out of, or relate to, or are based upon, directly or indirectly, any of the allegations, transactions, acts, facts, events, matters, occurrences, representations or omissions involved, set forth, alleged or referred to in the Litigation, and (ii) in any way are based upon, arise out of, or are related to, directly or indirectly, the purchase, acquisition, sale, disposition, or holding of Arconic securities purchased or otherwise acquired during the Settlement Class Period, including shares that are traceable to the Preferred IPO. Notwithstanding the foregoing, Released Plaintiffs’ Claims do not include (i) any claims relating to the enforcement of the Settlement; (ii) any pending derivative or ERISA claims; and (iii) any claims of any shareholder that validly and timely requests exclusion in accordance with the requirements set by the Court in connection with the Settlement and whose exclusion from the Settlement Class is confirmed by the Court in the Judgment.

8. “Releasing Plaintiff Party” or “Releasing Plaintiff Parties” mean each and every Settlement Class Member, Lead Plaintiff, Lead Plaintiff’s Counsel, and each of their Related Parties. Releasing Plaintiff Parties do not include any Person who would otherwise be a Member of the Settlement Class but who or which has validly and timely excluded himself, herself, themselves, or itself therefrom.

9. “Unknown Claims” means (a) any and all Released Plaintiffs’ Claims that any of the Releasing Plaintiff Parties do not know or suspect to exist in his, her, their, or its favor at the time of the release of the Released Defendant Parties, which, if known by him, her, them, or it, might have affected his, her, their, or its settlement with and release of the Released Defendant Parties, or might have affected his, her, their, or its decision(s) with respect to the Settlement, including, but not limited to, whether or not to object to this Settlement; and (b) any and all Released Defendants’ Claims that any of the Released Defendant Parties do not know or suspect to exist in his, her, their, or its favor at the time of the release of Lead Plaintiffs, the Settlement Class, and Lead Plaintiffs’ Counsel, which, if known by him, her, them, or it, might have affected his, her, their, or its settlement and release of Lead Plaintiffs, the Settlement Class, and Lead Plaintiffs’ Counsel. With respect to (a) any and all Released Plaintiffs’ Claims against the Released Defendant Parties, and (b) any and all Released Defendants’ Claims against Lead Plaintiffs, the Settlement Class, and Lead Plaintiffs’ Counsel, the Settling Parties stipulate and agree that, upon the Effective Date, the Settling Parties shall expressly waive, and each Releasing Plaintiff Party and Released Defendant Party shall be deemed to have, and by operation of the Judgment shall have, expressly waived the provisions, rights, and benefits of California Civil Code §1542, which provides:

A general release does not extend to claims that the creditor or releasing party does not know or suspect to exist in his or her favor at the time of executing the release and that, if known by him or her, would have materially affected his or her settlement with the debtor or released party.

The Settling Parties shall expressly waive, and each Releasing Plaintiff Party and Released Defendant Party shall be deemed to have, and by operation of the Judgment shall have, expressly waived any and all provisions, rights, and benefits conferred by any law of any state or territory of the United States, or principle of common law or foreign law, which is similar, comparable, or equivalent to California Civil Code §1542. The Releasing Plaintiff Parties and Released Defendant Parties acknowledge, and shall be deemed by operation of law to have acknowledged, that they may hereafter discover facts, legal theories, or authorities in addition to or different from those which he, she, it, or their counsel now knows or believes to be true with respect to the subject matter of the Released Plaintiffs’ Claims or Released Defendants’ Claims, but (a) the Releasing Plaintiff Parties shall expressly fully, finally, and forever waive, compromise, settle, resolve, relinquish, discharge, extinguish and release, and each Releasing Plaintiff Party shall be deemed to have waived, compromised, settled, resolved, relinquished, discharged, extinguished, and released, and, upon the Effective Date, and by operation of the Judgment, shall have waived, compromised, settled, resolved, relinquished, discharged, extinguished, and released, fully, finally, and forever, any and all Released Plaintiffs’ Claims against the Released Defendant Parties, known or unknown,

suspected or unsuspected, contingent or non-contingent, accrued or unaccrued, whether or not concealed or hidden, which now exist, or heretofore have existed, or may hereafter exist, upon any theory of law or equity now existing or coming into existence in the future, including, but not limited to, conduct which is negligent, intentional, with or without malice, or a breach of any duty, law or rule, without regard to the subsequent discovery or existence of such different or additional facts, legal theories, or authorities, and (b) the Released Defendant Parties shall expressly fully, finally, and forever waive, compromise, settle, resolve, relinquish, discharge, extinguish and release, and, upon the Effective Date, and by operation of the Judgment, shall have waived, compromised, settled, resolved, relinquished, discharged, extinguished, and released, fully, finally, and forever, any and all Released Defendants' Claims against Lead Plaintiffs, the Settlement Class and Lead Plaintiffs' Counsel, known or unknown, suspected or unsuspected, contingent or non-contingent, whether or not concealed or hidden, which now exist, or heretofore have existed, upon any theory of law or equity now existing or coming into existence in the future, including, but not limited to, conduct which is negligent, intentional, with or without malice, or a breach of any duty, law or rule, without regard to the subsequent discovery or existence of such different or additional facts, legal theories, or authorities. The Settling Parties acknowledge, and the Releasing Plaintiff Parties and Released Defendant Parties shall be deemed by operation of the Judgment to have acknowledged, that the foregoing waiver was separately bargained for and is an essential element of the Settlement of which this release is a part.

10. These releases shall be of no force or effect unless and until the Court approves the Stipulation and the Settlement becomes effective on the Effective Date.

11. 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.

12. I (We) hereby warrant and represent that I (we) have included information about all of my (our) purchases, acquisitions, sales, and dispositions of Arconic Securities during the requested period and the quantity of Arconic Securities held by me (us) at the opening of and the close of trading on the requested dates.

I (We) 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 _____ 2023 in _____, _____.
(Month) (City) (State/Country)

Signature of Claimant

Print your name here

Signature of Joint Claimant, if any

Print your name here

Signature of person signing on behalf of Claimant

Print your name here

Capacity of person signing on behalf of Claimant, if other than an individual (e.g., Executor, President, Custodian, etc.)

**ACCURATE CLAIMS PROCESSING TAKES A SIGNIFICANT AMOUNT OF TIME.
THANK YOU FOR YOUR PATIENCE.**

Reminder Checklist:

1. Remember to sign the above Release and Certification.
2. If this claim is being made on behalf of Joint Claimants, then both must sign.
3. Remember to attach only copies of acceptable supporting documentation. Failure to provide all the acceptable documentation and transactions requested may result in the rejection of your claim in part or in full.
4. Do not send originals of securities certificates.
5. Keep a copy of your Claim Form and all supporting documentation for your records.
6. If you would like acknowledgement of the receipt of your Proof of Claim by the Claims Administrator, please send it by certified mail, return receipt requested, or its equivalent. **No other formal acknowledgment will be provided, and you will bear all risks of delay or non-delivery of your claim.**
7. If your address changes in the future, or if these documents were sent to an old or incorrect address, please send us **written** notification of your new address.
8. Do not use a red pen or highlighter on the Proof of Claim form or supporting documentation.

**THIS PROOF OF CLAIM MUST BE SUBMITTED ONLINE OR POSTMARKED NO LATER THAN
AUGUST 21, 2023, ADDRESSED AS FOLLOWS:**

Arconic Securities Settlement
Claims Administrator
c/o A.B. Data, Ltd.
P.O. Box 173091
Milwaukee, WI 53217
www.ArconicSecuritiesSettlement.com

Appendix C

Authorization Requirements

If you are a nominee filing on behalf of your account holders, you must include the following documentation:

- Affidavit attesting that your entity has legal rights and authorization from your account holders to file Proofs of Claim and Release on their behalf **and** that your account holders understand that they are bound by and subject to the terms of all releases that may be entered in this Settlement, etc.; and
- Authorization to sign on your account holders' behalf.

If you are a third party filing on behalf of a nominee, you must include an Affidavit attesting to the following:

- Your entity has the legal right and authorization from the nominee to file and sign any Proofs of Claim and Release on their behalf;
- Your entity has the legal right and authorization from the nominee's account holders to file and sign any Proofs of Claim and Release on their behalf; and
- The account holders understand they are bound by and subject to the terms of all releases that may be entered in the Action.

If you are a third party filing on behalf of another party, you must include an Affidavit attesting to the following:

- Your entity has the legal right and authorization from the other party to file and sign any Proofs of Claim and Release on its behalf; and
- The other party understands it is bound by and subject to the terms of all releases that may be entered in the Action.

If you are not a nominee or a third party and would like to file claims electronically, you must include documentation supporting all transactional data of your claim as follows:

- Documents may include, but are not limited to, a) photocopies of stockbrokers' confirmation slips; b) photocopies of stockbrokers' monthly statements reflecting ALL transactional data and how it was compiled for the opening of the Class Period through the end of the Class Period; or c) a signed letter from your broker, on their letterhead, providing all of the information that would be found on a confirmation slip and/or other aforementioned documents.



Appendix D
Sample Cover Letter

LETTERHEAD

Re: *Arconic Securities Settlement*

Date:

Enclosed is a fully executed master Proof of Claim and Release with required authorizations and affidavits as well as an electronic media attachment, which is being filed in connection with the above-referenced matter on behalf of [COMPANY NAME(S) OR INDIVIDUAL NAME(S)] for the proprietary accounts of [ENTITY].

We, [ENTITY], hereby agree that further communication from the Claims Administrator may be conducted by email, and we accept sole responsibility to ensure the email address for [ENTITY] is updated in the event the email address provided on the master Proof of Claim and Release should change.

The attachment consists of a [CD, DVD, OR FLASH DRIVE] containing [NUMBER] accounts/claims in [ASCII, MS EXCEL, OR MS ACCESS] format with [NUMBER OF TRANSACTIONS] transactions for Arconic Common Stock, Arconic Preferred Stock, and Arconic 1.625% Convertible Senior Notes matured October 15, 2019 as well as the closing positions held for [ENTITY]'s proprietary accounts. Each transaction contains corresponding account information for which the claims are being filed.

The total number of Arconic Common Stock, Arconic Preferred Stock, and Arconic 1.625% Convertible Senior Notes shares purchased or acquired [##.##] for the amount of [\$0.0000] and Arconic Common Stock, Arconic Preferred Stock, and Arconic 1.625% Convertible Senior Notes shares sold [##.##] for the amount of [\$0.0000]¹ can be found on the enclosed [CD, DVD, OR FLASH DRIVE].

We, [ENTITY], attest that the data provided on the media attachment corresponds to [ENTITY]'s internal records.

I attest that the above information is true and correct.

Signature

Company Name

Job Title

Contact Information (including telephone number, fax number, and email address).

¹ Please list all other transactions, if applicable, including free receipts and free deliveries.



Appendix E

Electronic Claim Filing Template Mapping Instructions

Column	Field Name	Max Length	ARCONIC COMMON STOCK FIELD DESCRIPTION
A	Account Number	40	Account number associated with the proprietary account for which transactions are being submitted with this Proof of Claim and Release.
B	Account Name	40	Name of individual, company, or entity associated with the account listed in Column A.
C	Full Name of the Beneficial Owner	40	Full name of the beneficial owner associated with the account listed in Column A.
D	TIN of the Beneficial Owner	9	Taxpayer identification number (TIN) for beneficial owner, no spaces and no dashes.
E	Beneficial Owner TIN Type (E/S/U/F)	1	E = Employer Identification Number (EIN); S = Social Security Number (SSN); U = Unknown; F = Foreign.
F	Care of:	40	Name of the entity to which items should be mailed.
G	Attn:	40	Name of the person to whose attention items should be mailed.
H	Street 1	40	Street Address 1
I	Street 2	40	Street Address 2
J	City	25	City
K	State	2	State
L	Zip Code	5	Zip code
M	Province	40	Province
N	Country	40	Country
O	CUSIP/ISIN	10	CUSIP number or ISIN for common stock.
P	Transaction Type/Holdings	2	O = Opening position - shares held at opening of trading on November 4, 2013 P = Purchases made between November 4, 2013 through September 22, 2017, inclusive; FR = Free receipts made between November 4, 2013 through September 22, 2017, inclusive; S = Sales made between November 4, 2013 through September 22, 2017, inclusive; FD = Free deliveries made between November 4, 2013 through September 22, 2017, inclusive; C = Closing position – shares held at close of trading on September 22, 2017
Q	Trade Date (MM/DD/YYYY)	10	Trade date for transaction or holding date for closing position.
R	Number of Shares of Stock	19	Number of shares associated with a transaction. No commas: use decimal point if needed. Up to four digits after decimal point.
S	Price Per Share EXCLUDING Commissions/Taxes/Fees	19	Price per share (USD), excluding commissions/taxes/fees, associated with a transaction. No dollar sign, no commas; use decimal point, if needed. Up to four digits after decimal point. Leave blank when providing closing positions. Use zero when specifying free receipts and/or free deliveries.
T	Total Price EXCLUDING Commissions/Taxes/Fees	19	Aggregate cost or proceeds received (USD), excluding commissions/taxes/fees. No dollar sign, no commas; use decimal point, if needed. Up to four digits after decimal point. Use zero when specifying free receipts and/or free deliveries.
U	Were shares acquired as a result of a corporate merger?	3	Yes or No

***All eligible Arconic common stock shares for each account must balance. This means that the opening position plus total purchases, and free receipts during the Class Period and Lookback Period MUST EQUAL the total sales and free deliveries during the Class Period and Lookback Period plus the closing position (O+P+FR=S+FD+C).**

***You MUST include a cover letter with your electronic file that provides the total number of accounts; total number of transactions; total number of purchases and sales; and contact name(s) with phone number(s) and email address(es) in the event that we have any questions or require further information. See Appendix D for a sample cover letter. Any electronic files not in accordance with these Electronic Claims Filing Guidelines are subject to rejection.**

Free Receipts and Free Deliveries are provided to balance your claim and will not result in a Recognized Loss under the Plan of Allocation. The original purchase and/or sale information relating to these shares must be provided in your original filing in order to be eligible under the Plan of Allocation.



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Appendix E

Electronic Claim Filing Template Mapping Instructions

Column	Field Name	Max Length	ARCONIC PREFERRED STOCK***DEPOSITARY SHARES FIELD DESCRIPTION
A	Account Number	40	Account number associated with the proprietary account for which transactions are being submitted with this Proof of Claim and Release.
B	Account Name	40	Name of individual, company, or entity associated with the account listed in Column A.
C	Full Name of the Beneficial Owner	40	Full name of the beneficial owner associated with the account listed in Column A.
D	TIN of the Beneficial Owner	9	Taxpayer identification number (TIN) for beneficial owner, no spaces and no dashes.
E	Beneficial Owner TIN Type (E/S/U/F)	1	E = Employer Identification Number (EIN); S = Social Security Number (SSN); U = Unknown; F = Foreign.
F	Care of:	40	Name of the entity to which items should be mailed.
G	Attn:	40	Name of the person to whose attention items should be mailed.
H	Street 1	40	Street Address 1
I	Street 2	40	Street Address 2
J	City	25	City
K	State	2	State
L	Zip Code	5	Zip code
M	Province	40	Province
N	Country	40	Country
O	CUSIP/ISIN	10	CUSIP number or ISIN for common stock.
P	Transaction Type/Holdings	2	P = Purchases made between September 17, 2014 through September 29, 2017, inclusive; FR = Free receipts made between September 17, 2014 through September 29, 2017, inclusive; S = Sales made between September 17, 2014 through September 29, 2017, inclusive; FD = Free deliveries made between September 17, 2014 through September 29, 2017, inclusive; C = Closing position – shares held at close of trading on September 29, 2017
Q	Trade Date (MM/DD/YYYY)	10	Trade date for transaction or holding date for closing position.
R	Number of Shares of Stock	19	Number of shares associated with a transaction. No commas: use decimal point if needed. Up to four digits after decimal point.
S	Price Per Share EXCLUDING Commissions/Taxes/Fees	19	Price per share (USD), excluding commissions/taxes/fees, associated with a transaction. No dollar sign, no commas; use decimal point, if needed. Up to four digits after decimal point. Leave blank when providing closing positions. Use zero when specifying free receipts and/or free deliveries.
T	Total Price EXCLUDING Commissions/Taxes/Fees	19	Aggregate cost or proceeds received (USD), excluding commissions/taxes/fees. No dollar sign, no commas; use decimal point, if needed. Up to four digits after decimal point. Use zero when specifying free receipts and/or free deliveries.

***All eligible Arconic preferred stock shares for each account must balance. This means that the total purchases, and free receipts MUST EQUAL the total sales and free deliveries plus the closing position (P+FR=S+FD+C).**

***You MUST include a cover letter with your electronic file that provides the total number of accounts; total number of transactions; total number of purchases and sales; and contact name(s) with phone number(s) and email address(es) in the event that we have any questions or require further information. See Appendix D for a sample cover letter. Any electronic files not in accordance with these Electronic Claims Filing Guidelines are subject to rejection.**

Free Receipts and Free Deliveries are provided to balance your claim and will not result in a Recognized Loss under the Plan of Allocation. The original purchase and/or sale information relating to these shares must be provided in your original filing in order to be eligible under the Plan of Allocation.



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Appendix E

Electronic Claim Filing Template Mapping Instructions

Column	Field Name	Max Length	ARCONIC 1.625% CONVERTIBLE NOTES FIELD DESCRIPTION
A	Account Number	40	Account number associated with the proprietary account for which transactions are being submitted with this Proof of Claim and Release.
B	Account Name	40	Name of individual, company, or entity associated with the account listed in Column A.
C	Full Name of the Beneficial Owner	40	Full name of the beneficial owner associated with the account listed in Column A.
D	TIN of the Beneficial Owner	9	Taxpayer identification number (TIN) for beneficial owner, no spaces and no dashes.
E	Beneficial Owner TIN Type (E/S/U/F)	1	E = Employer Identification Number (EIN); S = Social Security Number (SSN); U = Unknown; F = Foreign.
F	Care of:	40	Name of the entity to which distributions should be mailed.
G	Attn:	40	Name of the person to whose attention distributions should be mailed.
H	Street 1	40	Street Address 1 for fund distribution.
I	Street 2	40	Street Address 2 for fund distribution.
J	City	25	City for fund distribution.
K	State	2	State for fund distribution.
L	Zip Code	5	Zip code for fund distribution.
M	Province	40	Province for fund distribution.
N	Country	40	Country for fund distribution.
O	CUSIP/ISIN	10	CINS number or ISIN for common units.
P	Transaction Type/Holdings	2	O = Opening position – Notes held (Par Value) as of the opening of trading on March 9, 2015 P = Purchases made between March 9, 2015 through September 22, 2017, inclusive; FR = Free receipts made between March 9, 2015 through September 22, 2017, inclusive; S = Sales made between March 9, 2015 through September 22, 2017, inclusive; FD = Free deliveries made between March 9, 2015 through September 22, 2017, inclusive; C = Closing position – Notes held (Par Value) at close of trading on September 22, 2017
Q	Trade Date	10	Trade date for transaction or holding date for opening and closing positions
R	Total Principal Amount Excluding Commissions/Taxes/Fees	19	Total principal amount purchased/sold with a transaction. No commas; use decimal point if needed. Up to four digits after decimal point.
S	Price Per \$100 Face Value EXCLUDING Commissions/Taxes/Fees	19	Price per \$100 Face Value (USD) of Arconic 1.625% Convertible Notes, excluding commissions/taxes/fees, associated with a transaction. No dollar sign, no commas; use decimal point, if needed. Up to four digits after decimal point. Leave blank when providing opening positions or closing positions. Use zero when specifying free receipts and/or free deliveries.
T	Total Price EXCLUDING Commissions/Taxes/Fees	19	Aggregate cost or proceeds received (USD), including commissions/taxes/fees. No dollar sign, no commas; use decimal point, if needed. Up to four digits after decimal point. Use zero when specifying free receipts and/or free deliveries.

***All eligible Arconic 1.625% Convertible Notes for each account must balance. This means that the opening position plus total purchases, and free receipts during the Class Period MUST EQUAL the total sales and free deliveries during the Class Period plus the closing position (O+P+FR=S+FD+C).**

*** You MUST include a cover letter with your electronic file that provides the total number of accounts; total number of transactions; total number of purchases and sales; and contact name(s) with phone number(s) and email address(es) in the event that we have any questions or require further information. See Appendix D for a sample cover letter. Any electronic files not in accordance with these Electronic Claims Filing Guidelines are subject to rejection.**

***Free Receipts and Free Deliveries are provided to balance your claim and will not result in a Recognized Loss under the Plan of Allocation. The original purchase and/or sale information relating to these shares must be provided in your original filing in order to be eligible under the Plan of Allocation.**