

IN THE COURT OF COMMON PLEAS OF PHILADELPHIA COUNTY,
PENNSYLVANIA – CIVIL TRIAL DIVISION

IN RE LIVENT CORPORATION
SECURITIES LITIGATION

CIVIL ACTION

Consolidated Case No. 190501229

PROOF OF CLAIM AND RELEASE

A. GENERAL INSTRUCTIONS

1. To recover as a member of the Settlement Class based on your claims in the action entitled *In re Livent Corp. Securities Litigation*, No. 2019-0501229 (the “Action”), you must complete and, on page 5 below, sign this Proof of Claim and Release form (“Claim Form”). If you fail to submit a timely and properly addressed (as set forth in paragraph 3 below) Claim Form, your claim may be rejected and you may not receive any recovery from the Net Settlement Fund created in connection with the proposed Settlement.

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

3. **THIS CLAIM FORM MUST BE SUBMITTED ONLINE AT WWW.LIVENTSECURITIESSETTLEMENT.COM NO LATER THAN MAY 8, 2021, OR, IF MAILED, BE POSTMARKED NO LATER THAN MAY 8, 2021, ADDRESSED AS FOLLOWS:**

Livent Securities Settlement
c/o Epiq
P.O. Box 5270
Portland, OR 97208-5270
www.LiventSecuritiesSettlement.com

If you are NOT a member of the Settlement Class (as defined in the Notice of Pendency of Class Action, Proposed Settlement, and Motion for Attorneys’ Fees and Expenses (“Notice”), which accompanies this Claim Form) DO NOT submit a Claim Form.

4. If you are a member of the Settlement Class and you have not timely requested exclusion in response to the Notice, you are bound by the terms of any judgment entered in the Action, including the releases provided therein, **WHETHER OR NOT YOU SUBMIT A CLAIM FORM OR RECEIVE A PAYMENT.**

B. CLAIMANT INFORMATION

1. If you purchased or otherwise acquired the publicly traded common stock of Livent Corporation (“Livent” or the “Company”) pursuant and/or traceable to the Company’s Offering Materials for its initial public offering of 23,000,000 shares and held the stock in your name, you are the beneficial purchaser as well as the record purchaser. If, however, you purchased or acquired the common stock of Livent in the Offering through a third party, such as a brokerage firm, you are the beneficial purchaser and the third party is the record purchaser.

2. Use Part I of this form entitled “Claimant Information” to identify each beneficial purchaser or acquirer of Livent common stock in the Offering that forms the basis of this claim, as well as the purchaser or acquirer of record if different. **THIS CLAIM MUST BE FILED BY THE ACTUAL BENEFICIAL PURCHASER(S) OR THE LEGAL REPRESENTATIVE OF SUCH PURCHASER(S).**

3. All joint purchasers must sign this claim. Executors, administrators, guardians, conservators, trustees, and other representatives must complete and sign this claim on behalf of persons represented by them and their authority must accompany this claim and their titles or capacities must be stated. The Social Security (or 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.

C. IDENTIFICATION OF TRANSACTIONS

1. Use Part II of this form entitled “Schedule of Transactions in Livent Common Stock” to supply all required details of your transaction(s). 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.

2. On the schedules, provide all of the requested information with respect to all of your purchases or acquisitions of Livent publicly traded common stock during the period from October 11, 2018 through May 13, 2019, inclusive, whether such transactions resulted in a profit or a loss. You must also provide all of the requested information with respect to all of your sales of Livent common stock during the period from October 11, 2018 through the close of trading on October 26, 2020 and shares held through the close of trading on October 26, 2020. Failure to report all such transactions may result in the rejection of your claim.

3. The date of covering a “short sale” is deemed to be the date of purchase of Livent common stock. The date of a “short sale” is deemed to be the date of sale of Livent common stock.

4. Copies of broker confirmations or other documentation of your transactions in the Offering must be attached to your claim. Failure to provide this documentation could delay verification of your claim or result in rejection of your claim. Lead Plaintiffs do not have information about your transactions in Livent common stock.

5. NOTICE REGARDING ELECTRONIC FILES: Certain Claimants with large numbers of transactions may request, or may be requested, to submit information regarding their transactions in electronic files. (This is different from submitting a claim online using the website.) All such Claimants MUST submit a manually signed paper Claim Form whether or not they also submit electronic copies. If you wish to file your claim electronically, you must contact the Claims Administrator at (800) 874-8379 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 acknowledgment of receipt and acceptance of electronically submitted data.

PART I – CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

Beneficial Owner’s Name

First Name

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

MI

--

Last Name

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Joint Beneficial Owner’s Name (if applicable)

First Name

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

MI

--

Last Name

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

If this claim is submitted for an IRA, and if you would like any check that you MAY be eligible to receive made payable to the IRA, please include “IRA” in the “Last Name” box above (e.g., Jones IRA).

Entity Name (if the Beneficial Owner is not an individual)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Name of Representative, if applicable (executor, administrator, trustee, c/o, etc.), if different from Beneficial Owner

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Street Address

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

City

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

State

--	--

ZIP Code

--	--	--	--	--	--	--

Foreign Country (if applicable)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Last Four Digits of Social Security Number or Taxpayer Identification Number

--	--	--	--

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)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Account Number

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Type of Beneficial Owner:

Specify one of the following:

- | | | | |
|--|--------------------------------------|---|--|
| <input type="checkbox"/> Individual(s) | <input type="checkbox"/> Corporation | <input type="checkbox"/> UGMA Custodian | <input type="checkbox"/> IRA |
| <input type="checkbox"/> Partnership | <input type="checkbox"/> Estate | <input type="checkbox"/> Trust | <input type="checkbox"/> Other (describe: _____) |

PART II – SCHEDULE OF TRANSACTIONS IN LIVENT COMMON STOCK

1. PURCHASES/ACQUISITIONS FROM OCTOBER 11, 2018 THROUGH MAY 13, 2019. Separately list each and every purchase/acquisition of Livent publicly traded common stock from after the opening of trading on October 11, 2018 through the close of trading on May 13, 2019. (Must be documented.)

Date of Purchase/ Acquisition (List Chronologically) (MMDDYY)	Number of Shares Purchased/ Acquired	Purchase/Acquisition Price Per Share	Total Purchase/ Acquisition Price (excluding taxes, commissions, and fees)	Confirm Proof of Purchase/ Acquisition Enclosed
□□□□□□	□□□□□□	□□□□□□.□□	□□□□□□.□□	<input type="checkbox"/>
□□□□□□	□□□□□□	□□□□□□.□□	□□□□□□.□□	<input type="checkbox"/>
□□□□□□	□□□□□□	□□□□□□.□□	□□□□□□.□□	<input type="checkbox"/>
□□□□□□	□□□□□□	□□□□□□.□□	□□□□□□.□□	<input type="checkbox"/>
□□□□□□	□□□□□□	□□□□□□.□□	□□□□□□.□□	<input type="checkbox"/>

2. NUMBER OF SHARES PURCHASED FROM MAY 14, 2019 THROUGH OCTOBER 26, 2020. State the total number of shares purchased from after the opening of trading on May 14, 2019 through October 26, 2020. If none, write “zero” or “0.” _____ (Must be documented.)¹

□□□□□□□□□□ • □□

3. SALES FROM OCTOBER 11, 2018 THROUGH OCTOBER 26, 2020. Separately list each and every sale of Livent common stock from after the opening of trading on October 11, 2018 through the close of trading on October 26, 2020. (Must be documented.)

**IF NONE,
CHECK
HERE.**

Date of Sale (List Chronologically) (MMDDYY)	Number of Shares Sold	Sale Price Per Share	Total Sale Price (excluding taxes, commissions, and fees)	Confirm Proof of Sale Enclosed
□□□□□□	□□□□□□	□□□□□□.□□	□□□□□□.□□	<input type="checkbox"/>
□□□□□□	□□□□□□	□□□□□□.□□	□□□□□□.□□	<input type="checkbox"/>
□□□□□□	□□□□□□	□□□□□□.□□	□□□□□□.□□	<input type="checkbox"/>
□□□□□□	□□□□□□	□□□□□□.□□	□□□□□□.□□	<input type="checkbox"/>
□□□□□□	□□□□□□	□□□□□□.□□	□□□□□□.□□	<input type="checkbox"/>

4. HOLDINGS AS OF OCTOBER 26, 2020. State the total number of shares of Livent common stock held as of the close of trading on October 26, 2020. If none, write “zero” or “0.” _____ (Must be documented.)

□□□□□□□□□□ • □□

**Confirm Proof
of Position
Enclosed**

IF YOU NEED ADDITIONAL SPACE TO LIST YOUR TRANSACTIONS, YOU MUST PHOTOCOPY THIS PAGE AND CHECK THIS BOX . INCLUDE THE BENEFICIAL OWNER’S FULL NAME AND LAST FOUR DIGITS OF THEIR SOCIAL SECURITY NUMBER/TAXPAYER IDENTIFICATION NUMBER ON EACH PAGE.

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

¹This lawsuit was filed on May 13, 2019. Your purchases from May 14, 2019 through October 26, 2020 (the day before the Stipulation was signed), are needed in order to balance and calculate your claim, however they are not eligible for a recovery.

PART III – ACKNOWLEDGMENTS AND RELEASE

A. SUBMISSION TO JURISDICTION OF COURT AND ACKNOWLEDGMENTS

I (We) submit this Proof of Claim and Release under the terms of the Stipulation and Agreement of Settlement, dated October 27, 2020 (the “Stipulation”), described in the Notice. I (We) also submit to the jurisdiction of the Court of Common Pleas of Philadelphia County, PA 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 Action. I (We) agree to furnish additional information to the Claims Administrator to support this claim (including transactions in other Livent securities) if requested to do so. I (We) have not submitted any other claim in the Action covering the same purchases or sales of Livent common stock and know of no other person having done so on my (our) behalf.

B. RELEASE AND ACKNOWLEDGEMENT

1. Upon the occurrence of the Court’s approval of the Settlement, as detailed in the accompanying Notice, I (we) agree and acknowledge that my (our) signature(s) below shall effect and constitute a full and complete release and discharge by me (us) and my (our) successors, assigns, executors, administrators, representatives, attorneys, and agents, in their capacities as such, and all other “Released Plaintiff Parties” (as that term is defined in the Stipulation) (or, if I am (we are) submitting this Proof of Claim and Release Form on behalf of a corporation, a partnership, estate or one or more other persons, by it, him, her or them, and by its, his, her or their successors, assigns, executors, administrators, representatives, attorneys, and agents, in their capacities as such, and all other Released Plaintiff Parties) of each of the “Released Defendant Parties” of all “Released Claims,” as those terms are defined in the Stipulation.

2. Upon the occurrence of the Court’s approval of the Settlement, as detailed in the accompanying Notice, I (we) agree and acknowledge that my (our) signature(s) below shall effect and constitute an agreement by me (us) and my (our) successors, assigns, executors, administrators, representatives, attorneys, and agents, in their capacities as such and all other Released Plaintiff Parties (or, if I am (we are) submitting this Proof of Claim and Release Form on behalf of a corporation, a partnership, estate or one or more other persons, by it, him, her or them, and by its, his, her or their successors, assigns, executors, administrators, representatives, attorneys, and agents, in their capacities as such, and all other Released Plaintiff Parties) to permanently refrain from prosecuting or attempting to prosecute any Released Claims against any of the Released Defendant Parties.

3. I (We) acknowledge that the inclusion of “Unknown Claims” in the definition of “Released Claims” set forth in the Stipulation was separately bargained for and is a material element of the Settlement of which this release is a part.

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

5. I (We) hereby warrant and represent that I (we) have included the information requested about all of my (our) transactions in Livent common stock that are the subject of this claim, as well as the opening and closing positions in such securities held by me (us) on the dates requested in this Claim Form.

6. I (We) certify that I am (we are) not subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code. (Note: If you have been notified by the Internal Revenue Service that you are subject to backup withholding, please strike out the prior sentence.)

I (We) declare under penalty of perjury under the laws of the United States of America that all of the foregoing information supplied on this Claim Form by the undersigned is true and correct.

Executed this _____ day of _____, in _____, _____.

(Month / Year) (City) (State/Country)

Signature of Claimant

Signature of Joint Claimant, if any

Print Name of Claimant

Print Name of Joint Claimant, if any

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

REMINDER CHECKLIST

1. Please sign the above release and acknowledgement.
2. If this claim is being made on behalf of Joint Claimants, then both must sign.
3. Remember to attach copies of supporting documentation, if available.
4. **Do not send** originals of certificates.
5. Keep a copy of your Claim Form and all supporting documentation for your records.
6. The Claims Administrator will acknowledge receipt of your Claim Form within 60 days. Your claim is not deemed submitted until you receive an acknowledgment e-mail or postcard. If you do not receive an acknowledgment e-mail or postcard within 60 days, please call the Claims Administrator.
7. If you move, please send your new address to:

Livent Securities Settlement
c/o Epiq
P.O. Box 5270
Portland, OR 97208-5270
(800) 874-8379
www.LiventSecuritiesSettlement.com
info@LiventSecuritiesSettlement.com
8. **Do not use red pen or highlighter** on the Claim Form or supporting documentation.