

ELECTRONIC FILING INSTRUCTIONS

HeartWare International, Inc. *Litigation*

READ THESE INSTRUCTIONS CAREFULLY AND IN THEIR ENTIRETY. YOU MUST COMPLY.

Part I - Overview

- Electronic Claim submission is available to institutions filing on their own behalf or on behalf of others as well as to Claim preparers filing on behalf of clients.
- **ALL ELECTRONIC CLAIMS SUBMISSIONS MUST BE ENTERED ON THE TEMPLATE THAT FOLLOWS THESE INSTRUCTIONS.** Any file not in accordance with the required filing format or not accompanied by the required documentation will be subject to rejection.
- **One Claim is to be submitted for each separate legal entity.** A separate Claim, but only one Claim, should be submitted for each separate legal entity (e.g., a Claim on behalf of joint owners should not include separate transactions of just one of the joint owners, and a Claim on behalf of an individual should not combine his or her IRA transactions with transactions made solely in the individual's name). Conversely, **a single Claim is to be submitted on behalf of one legal entity including all transactions made by that person or entity no matter how many separate accounts that person or entity has** (e.g., a Claim on behalf of a corporation with multiple brokerage accounts **MUST** include all transactions made in all accounts in one Claim).
- The correct complete, unabbreviated name of the beneficial owner(s) of the security supporting each Claim **MUST** be provided where called for. **Your submission may be rejected if you do not provide this information.** Do not include honorifics (e.g., Mr., Mrs., Ms., Dr., Capt., Sgt.) and do not put "FBO" or the like in front of the beneficial owner's name. **PLEASE NOTE: A trustee, in that capacity, is not the beneficial owner of the security; the full name of the trust should be entered followed by the full name(s) of the trustee(s). A comma should separate the name of the trust and the name(s) of the trustee(s).**
- The required documentation set forth below **MUST** be submitted with your electronic file. Your electronic Claims will not be eligible for consideration until all required documents are received. Please note that one document may meet more than one requirement.

Part II – Documentation Requirements

1. ONE SIGNED PROOF OF CLAIM AND RELEASE

- You **MUST** complete the Claimant Information Page, (Part I, page 2) and Release of Claims and Signature Page, (Part IV, pages 6-7) of a single Proof of Claim and Release Form (“Claim Form”), which will serve as an “umbrella” or “master” Claim form for all Claims in your electronic file.
- The Claim Form **MUST** be signed by an authorized signatory who is listed on your signature verification document and state the capacity (job title) of the signatory.
- If you are filing only one Claim, *i.e.*, you are filing on behalf of only one beneficial owner, provide the correct, complete, unabbreviated name of the owner of the shares on the Claim Form.
- If you are filing on behalf of multiple beneficial owners, use the term “Various Beneficial Owners” for the Claimant name(s) (*i.e.*, the beneficial owner(s) name(s)). However, as noted above, the correct complete unabbreviated name of each beneficial owner (without honorifics) **MUST** be provided for each Claim in your electronic Claim submission.

2. SIGNATURE VERIFICATION DOCUMENT

- If you are an institution filing on your own behalf or on behalf of other beneficial owners or a claim preparer filing on behalf of beneficial owners, you **MUST** provide a document verifying that the individual who signs the Claim Form and any supplemental documents is authorized to sign on your behalf. Some common types of documents that fulfill this requirement include the following (this list is not exclusive and non-US entities may have different documents that fulfill this requirement. If you are a non-US entity, you **MUST** submit an equivalent document):
 - o Copy of filer’s By-Laws, including signature page(s)
 - o Copy of filer’s Corporate Resolution, including signature page(s)
 - o Notarized Affidavit signed by an officer of the filing institution or company clearly granting a specific individual(s) authorization or confirming his/her authority to sign on behalf of his/her institution or company.

3. AUTHORIZATION DOCUMENT (IF FILING ON BEHALF OF BENEFICIAL OWNERS OTHER THAN YOURSELF)

- If you are an institution or claim preparer filing on behalf of beneficial owners other than yourself, you must provide a current document verifying that you are authorized

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to file and sign Claims on behalf of the beneficial owners of the securities. Some common types of documents that fulfill this requirement include the following (this list is not exclusive and non-US entities may have different documents that fulfill this requirement. If you are a non-US entity, you must submit an equivalent document):

- o Power of Attorney
- o Service Agreement
- o Signed/dated letter on client's company letterhead specifically granting your company authority to file/sign Claims on their behalf
- o Notarized affidavit or signed letter on your company's letterhead confirming your authority to file and sign Claims on behalf of each client for whom you filed a Claim. It must be executed by an officer of the company who is also listed on your signature verification document and reference the capacity and contact information of the signatory.

4. DATA VERIFICATION DOCUMENT(S)

- If you are an institution filing on your own behalf or on behalf of other beneficial owners or a claim preparer filing on behalf of beneficial owners, you **MUST** provide a notarized affidavit or signed letter on your firm's letterhead which meets the following criteria:
 - o Confirms the number of separate Claims and transactions in your file.
 - o Sets forth the source of the data for each Claim included in your file.
 - o Attests to the truth and accuracy of the data for each Claim in your file.
 - o Is executed by an authorized signatory who is listed on your firm's signature verification document, and specifies both the capacity and contact information of that signatory.

5. ADDITIONAL DOCUMENTATION (IF REQUESTED) - DATA INTEGRITY AUDIT

- Filers may be requested, as deemed appropriate by Analytics and/or Lead Counsel, to provide additional documentation to support the Claims submitted. This data integrity audit is designed to verify the overall integrity of a data file. Accordingly, you **MUST** provide all the requested documentation and the documentation provided **MUST** be independent in nature.
- Even if you provided a letter/affidavit attesting to the truth and accuracy of the data you initially submitted with your electronic file, we will **require** specific documentary evidence, which may include trade confirmations, monthly statements, or equivalent,

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to independently verify the details of transactions and/or holding positions. If your file is selected for a data integrity audit, you **MUST** provide all the requested information.

FAILURE TO COMPLY WITH THIS AUDIT REQUEST WILL RESULT IN THE REJECTION OF ALL CLAIMS ON YOUR ELECTRONIC SUBMISSION

Part III – Case Specific Information

1. **Eligible Security:** HeartWare International, Inc. common stock (NASDAQ TICKER: HTWR”).
2. **Settlement Class Period:** June 10, 2014 through and including January 11, 2016.
Settlement Class: All persons (including corporate or other legal entities) who purchased HeartWare common stock during the period commencing on June 10, 2014 through January 11, 2016, inclusive, and were damaged thereby, except those persons and entities that are excluded (see Settlement Notice page 5 for list of excluded persons and entities).
3. Electronic filers **MUST** provide for each Claim submitted:
 - (i) Beginning holdings: the number of shares of HeartWare common stock held as of the opening of trading on June 10, 2014.
 - (ii) Each and every purchase/acquisition (including free receipts) of HeartWare common stock from after the opening of trading on June 10, 2014 through the close of trading on January 11, 2016.
 - (iii) The total number of shares purchased/acquired from after the opening of trading on June 10, 2014 through the close of trading on January 11, 2016.
 - (iv) Each and every sale (including free deliveries) of HeartWare common stock from after the opening of trading on June 10, 2014 through the close of trading on April 8, 2016.
 - (v) Ending holdings: the total number of shares of HeartWare common stock held as of the close of trading on April 8, 2016.
4. **Claim Filing Deadline: May 14, 2019**

Part IV – Methods of Submission

Analytics prefers that E-files be submitted on its Secure File Transfer site. To utilize that secured portal, click on the E-File hyperlink in the lower right section of the Home Page. You may send your information via email, but please be sure to password-protect or encrypt the file and send to Info@heartwaresecuritieslitigation.com. E-file submissions may also be via CD. If you are mailing via UPS or FedEx, please send to Analytics' physical address: 18675 Lake Drive E,

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Chanhassen, MN 55317, and be sure to reference the case name. For any questions or concerns regarding your submission options, please call us toll-free at 866-710-9044 or email us at Info@heartwaresecuritieslitigation.com.

Electronic files will not be deemed submitted unless Analytics sends you an email acknowledging receipt of your file. Do not assume that your file has been received until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at 866-710-9044 to inquire about your file and confirm it was received.

Part V – Required Filing Format – General Instructions

- Files should be submitted as an Excel spreadsheet.
- All fields in the below format must be included on your file.
- Any fields that do not apply to the Claims you submit must be left blank (do not delete any fields).
- Your file must include one header row with each of the column headings specified below.
- Your file must be sorted in the following order:
 - o complete correct name of the beneficial owner of the securities supporting the Claim
 - o transaction type
- If a maximum character length for any field is specified, do not exceed the limit.
- Do not leave any blank rows on your file.
- Any files not in accordance with the below layout are subject to rejection.
- For Excel spreadsheets:
 - o Whenever possible, your file should be limited to one tab that contains all the fields listed below.
 - o The “Length” column in the below format specifies the maximum number of characters for each Excel field as to which a maximum character number applies.

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REQUIRED FILE LAYOUT

COL	FIELD	START POSITION	LENGTH	NOTES
A	Company Name	1	40	Name of Company for Mailing of Checks <ul style="list-style-type: none"> • Include a “c/o” before your company name if you require checks made out to the Beneficial Owner c/o your company. • Include an “FBO” (or similar ownership acronym) after your company name if you require checks to be made out to your company for the benefit of the Beneficial Owner.
B	Address 1	41	40	Address 1 Information for Mailing of Checks
C	Address 2	81	40	Address 2 Information for Mailing of Checks
D	City	121	30	City for Mailing of Checks
E	State	151	2	2 Character State Abbreviation for Mailing of Checks
F	Zip5	153	5	5 Digit Zip for Mailing of Checks
G	Zip4	158	4	4 Digit Zip for Mailing of Checks
H	Country Code	162	2	2 character Country abbreviation (only for foreign addresses)
I	Short beneficial owner name	164	40	Short Name of Beneficial Owner, for printing/ mailing purposes You MUST also provide the correct, complete, unabbreviated name of the Beneficial Owner in Column U of your submission.
J	Account Number(s) of Beneficial Owner	204	70	List the account numbers for all of the accounts through which the Beneficial Owner trades.
K	Security Identifier Number	274	14	CUSIP, ISIN, or SEDOL Number of the Security

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COL	FIELD	START POSITION	LENGTH	NOTES
L	Transaction Type	288	2	<p>B = Beginning Holdings</p> <p>P = Purchase (includes purchases to cover short sales)</p> <p>S = Sale (includes short sales)</p> <p>U = Unsold (Ending) Holdings</p> <p>R = Free Receipt (transfer in)</p> <p>D = Free Deliver (transfer out)</p> <p>Note: When inputting beginning and unsold holdings, the trade date column MUST indicate the holding date. Price per share and net amount columns MUST be left blank.</p>
M	Trade Date	290	10	Trade date in MM/DD/YYYY format (including foreign entities)
N	Quantity	300	20	Number of shares associated with this transaction (this value can <u>ONLY</u> be negative for short beginning or ending holdings positions).
O	Price Per Share	320	20	<p>Price of each Share</p> <ul style="list-style-type: none"> This column should be blank <u>ONLY</u> when providing beginning or ending holdings or shares involved in a receipt or deliver.
P	Aggregate Cost /Amount Received	340	20	<p>Total value of the transaction (excluding commissions, taxes, and fees);</p> <ul style="list-style-type: none"> This column should be blank <u>ONLY</u> when providing beginning or ending holdings or shares involved in a receipt or deliver.
Q	Currency Type	360	3	Type of currency associated to transaction (USD, EUR, GBP, etc.)

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COL	FIELD	START POSITION	LENGTH	NOTES
R	Submitting Filer's Client Name(s)	363	20	If you are a third-party claim preparer filing on behalf of clients either: (i) for the client as Beneficial Owner (in which case the entry in this field will be the same as the entry in Field I); or (ii) for a client which represents the Beneficial Owner(s), provide the complete name of your client in this column.
S	Submitting Filer's Name	383	20	Name of filer submitting electronic Claim
T	Beneficial Owner's SSN or Tax ID Number	403	4	Last four digits of Social Security Number or Tax ID Number of Beneficial Owner (leave column blank for foreign entities)
U	Complete Beneficial Owner Name	407	n/a	<p>Full Name of Beneficial Owner MUST be the correct, complete, unabbreviated name of the Beneficial Owner. Do not include honorifics, e.g., Mr., Mrs., Ms., Dr., Capt., Sgt., and do not put "FBO" or the like in front of the Beneficial Owner's name.</p> <p>Please note: A trustee, in that capacity, is not the Beneficial Owner of the security; the full name of the trust should be entered followed by the name(s) of the trustee(s). A comma should separate the name of the trust and the name(s) of the trustee(s).</p> <p>YOUR SUBMISSION MAY BE REJECTED IF THIS INFORMATION IS NOT INCLUDED.</p>