

Exhibit B

Exhibit B
Disputed Claim Chart

Claim	Document	Exhibit	Pages
Disputed Claim 1012831	Claim as Submitted	B-1	3 - 19
	Notice of Rejection of Claim	B-2	20 - 22
	Claimant Response: <i>Supplemental Documentation but Not Requesting Court Review</i>	B-3	23 - 28
	Notice of Rejection of Claim	B-4	29 - 30
	Claimant Response: <i>Requesting Court Review</i>	B-5	31 - 34
	Analysis of Trades	B-6	35 - 36
	Notice of Rejection of Claim: <i>Final Opportunity to Withdraw Request for Review</i>	B-7	37 - 39
Disputed Claim 1012435	Claim as Submitted	B-8	40 - 66
	Notice of Rejection of Claim	B-9	67 - 69
	Claimant Response: <i>Supplemental Documentation but Not Requesting Court Review</i>	B-10	70 - 79
	Notice of Rejection of Claim	B-11	80 - 81
	Claimant Response: <i>Requesting Court Review</i>	B-12	82 - 83
	Analysis of Trades	B-13	84 - 85
	Notice of Rejection of Claim: <i>Final Opportunity to Withdraw Request for Review</i>	B-14	86 - 88

Exhibit B-1

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

V I K T O R

Last Name

P O P O V

Joint Beneficial Owner's Name (if applicable)

First Name

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****Last 4 digits of Social Security Number or Taxpayer Identification Number****Street Address****City****State/Province Zip Code****Foreign Postal Code (if applicable)****Foreign Country (if applicable)****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 III – SCHEDULE OF TRANSACTIONS IN HEARTWARE COMMON STOCK

The only eligible security is HeartWare International, Inc. common stock (Ticker: **NASDAQ: HTWR**, CUSIP: **422368100**). Do not include information regarding securities other than HeartWare common stock. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 6, above.

1. **HOLDINGS AS OF JUNE 10, 2014** – State the total number of shares of HeartWare common stock held as of the opening of trading on June 10, 2014. (*Must be documented.*) If none, write “zero” or “0.”

						0
--	--	--	--	--	--	---

Confirm Proof
of Position
Enclosed



2. **PURCHASES/ACQUISITIONS FROM JUNE 10, 2014 THROUGH JANUARY 11, 2016** – Separately list each and every purchase or 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. (*Must be documented.*)

Date of Purchase/Acquisition (List Chronologically)			Number of Shares Purchased/Acquired	Purchase/Acquisition Price Per Share		Total Purchase/Acquisition Price (excluding any commissions, taxes and fees)	Confirm Proof of Purchase Enclosed
M	M	Y					
06	02	14	15000	89	82	134730000	<input checked="" type="checkbox"/>
02	02	15	25000	84	76	211900000	<input checked="" type="checkbox"/>
07	20	15	40000	79	49	317960000	<input checked="" type="checkbox"/>
							<input type="checkbox"/>

3. **PURCHASES/ACQUISITIONS FROM JANUARY 12, 2016 THROUGH APRIL 8, 2016** – State the total number of shares of HeartWare common stock purchased or acquired (including free receipts) from January 12, 2016 through the close of trading on April 8, 2016. If none, write “zero” or “0.”

						0
--	--	--	--	--	--	---

4. **SALES FROM JUNE 10, 2014 THROUGH APRIL 8, 2016** – Separately list each and every sale or disposition (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. (*Must be documented.*) IF NONE, CHECK HERE ☒

Date of Sale (List Chronologically)			Number of Shares Sold	Sale Price Per Share		Total Sale Price (not deducting any commissions, taxes or fees)	Confirm Proof of Sale Enclosed
M	M	Y					
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>

5. **HOLDINGS AS OF APRIL 8, 2016** – State the total number of shares of HeartWare common stock held as of the close of trading on April 8, 2016. (*Must be documented.*) If none, write “zero” or “0.”

		8	0	0	0	0
--	--	---	---	---	---	---

Confirm Proof
of Position
Enclosed



IF YOU REQUIRE ADDITIONAL SPACE FOR THE SCHEDULE ABOVE, ATTACH EXTRA SCHEDULES IN THE SAME FORMAT. PRINT THE BENEFICIAL OWNER'S FULL NAME AND LAST FOUR DIGITS OF SOCIAL SECURITY/ TAXPAYER IDENTIFICATION NUMBER ON EACH ADDITIONAL PAGE. IF YOU DO ATTACH EXTRA SCHEDULES, CHECK THIS BOX. ☐

¹ Please note: Information requested with respect to your purchases and acquisitions of HeartWare common stock from January 12, 2016 through and including April 8, 2016 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim pursuant to the Plan of Allocation.

UNDER THE PENALTIES OF PERJURY, I (WE) CERTIFY THAT ALL OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM FORM IS TRUE, CORRECT, AND COMPLETE, AND THAT THE DOCUMENTS SUBMITTED HERewith ARE TRUE AND CORRECT COPIES OF WHAT THEY PURPORT TO BE.

Signature of Claimant

VIKTOR POPOV

Print Claimant Name Here

Date Signed

05
M M

06
D D

2019
Y Y Y Y

Signature of Joint Claimant, if any

Date Signed

M M

D D

Y Y Y Y

Print Joint Claimant Name Here

If the claimant is other than an individual, or is not the person completing this form, the following also must be provided:

Signature of Person Signing on Behalf of Claimant

Date Signed

M M

D D

Y Y Y Y

Print Name of Person Signing on Behalf of Claimant Here

Capacity of person signing on behalf of claimant, if other than an individual, e.g., executor, president, trustee, custodian, etc.
(Must provide evidence of authority to act on behalf of claimant – see ¶ 9 on page 4 of this Claim Form.)

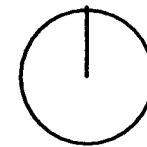
**ACCOUNT STATEMENT**

Retain for your records

Cut paper clutter**Switch to eStatement at legendssecuritiesinc.com/paperless****Questions? Call 212-344-5747****Legends Securities, Inc.**

45 Broadway 32nd Floor

New York, NY 10006

www.legendsecuritiesinc.com☐ CASH☐ BONDS☐ MUTUAL FUNDS☐ STOCKS

ACCOUNT	PERIOD	PAGE
---------	--------	------

May 31, 2014 - June 27, 2014

1 of 3

Last Statement: May 30, 2014

VIKTOR POPOV

**ACCOUNT ACTIVITY**

TRADE DATE	SETTLE DATE	ACTIVITY	QTY	SYMBOL	DESCRIPTION	PRICE	AMOUNT	ACCUMULATED BALANCE
------------	-------------	----------	-----	--------	-------------	-------	--------	---------------------

MARGIN ACCOUNT OPENING BALANCE

0602	06/05	BOUGHT	15.000	HTWR	HEARTWARE INTERNATIONAL INC	89.82	-1,347,500.00	-10,615,998.23
------	-------	--------	--------	------	-----------------------------	-------	---------------	----------------



ACCOUNT	STATEMENT PERIOD	PAGE
	May 31, 2014 - June 27, 2014	2 of 3

PORTFOLIO DETAIL						
ACCOUNT	LONG	SHORT	DESCRIPTION	SYMBOL	PRICE	VALUE

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

MARGIN	15,000		HEARTWARE INTERNATIONAL INC	HTWR	89.00	1,335,000.00
--------	--------	--	-----------------------------	------	-------	--------------

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

APPROXIMATE VALUE AS OF CLOSE OF TRADING ON 06/27/2014

DIVIDENDS, DISTRIBUTIONS & INTEREST		
	CURRENT PERIOD	YTD

--	--

--

ACCOUNT SUMMARY

OPENING MONEY BALANCE
 CLOSING MONEY BALANCE
 PORTFOLIO VALUE
 ACCOUNT VALUE

MARGIN ACCOUNT

--



ACCOUNT	STATEMENT PERIOD	PAGE
	May 31, 2014 - June 27, 2014	3 of 3

Terms and Conditions

GENERAL INFORMATION AND KEY TERMS:

All references to "LSI" in this document refer to the broker-dealer Legend Securities, Inc. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement.

If you receive any other communication from any source other than LSI which purports to represent holdings at LSI (including balances held at a Sweep Bank) you should verify its content with this statement.

Sweep Bank: An FDIC-insured depository institution affiliated with LSI, at which interest-bearing Deposit Accounts are maintained on your behalf.

AIP (Automatic Investment Plan) Customers: LSI receives remuneration in connection with certain transactions effected through LSI. If you participate in a systematic investment program through LSI, the additional information normally detailed on a trade confirmation will be provided upon request.

Margin Account Customer: This is a combined statement of your margin account and special memorandum account maintained under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account as required by regulation T is available for your inspection.

Latest Price/Price (Investment Detail Section Only): The most recent price evaluation available on the last business day of the statement period, normally the last trade price or bid. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. LSI shall have no responsibility for accuracy or timeliness of any such valuations. Pricing of assets not held at LSI is for information purposes only.

Additional Information:

A financial statement for your inspection is available at LSI's offices or a copy will be mailed to you upon request. Any third party trademarks appearing herein are the property of their respective owners.

(1106-3116) REG24970NRSB-07 (10/11)



**ACCOUNT STATEMENT**

Retain for your records

Secure, clutter-free, real-time access

Switch to paperless statements for an easy, worry-free statement reminder.

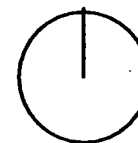
Call 212-344-5747 to find out how.

Legends Securities, Inc.

45 Broadway 32nd Floor

New York, NY 10006

www.legendsecuritiesinc.com



- ☐ CASH
- ☐ BONDS
- ☐ MUTUAL FUNDS
- ☐ STOCKS

ACCOUNT	PERIOD	PAGE
---------	--------	------

<div style="background-color: black; width: 100px; height: 20px;"></div>	January 31, 2015 - February 27, 2015	1 of 3
--	--------------------------------------	--------

Last Statement: January 30, 2015

VIKTOR POPOV

**ACCOUNT ACTIVITY**

TRADE DATE	SETTLE DATE	ACTIVITY	QTY	SYMBOL	DESCRIPTION	PRICE	AMOUNT	ACCUMULATED BALANCE
------------	-------------	----------	-----	--------	-------------	-------	--------	---------------------

02/02	02/05	BOUGHT	25,000	HTWR	HEARTWARE INTERNATIONAL INC	84.76	-2,119,200.00	-8,957,358.43
-------	-------	--------	--------	------	-----------------------------	-------	---------------	---------------



ACCOUNT	STATEMENT PERIOD	PAGE
[REDACTED]	January 31, 2015 - February 27, 2015	2 of 3

PORTFOLIO DETAIL						
ACCOUNT	LONG	SHORT	DESCRIPTION	SYMBOL	PRICE	VALUE

MARGIN	40,000		HEARTWARE INTERNATIONAL INC	HTWR	85.23	3,409,200.00
--------	--------	--	-----------------------------	------	-------	--------------

APPROXIMATE VALUE AS OF CLOSE OF TRADING ON 02/27/2015

DIVIDENDS, DISTRIBUTIONS & INTEREST		
	CURRENT PERIOD	YTD

ACCOUNT SUMMARY

OPENING MONEY BALANCE
 CLOSING MONEY BALANCE
 PORTFOLIO VALUE
 ACCOUNT VALUE

MARGIN ACCOUNT



ACCOUNT	STATEMENT PERIOD	PAGE
	January 31, 2015 - February 27, 2015	3 of 3

Margin Account Customer: This is a combined statement of your margin account and special memorandum account maintained under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account as required by regulation T is available for your inspection.

Address Changes: If you fail to notify Legends Securities in writing of any change of Address or phone number, you may not receive important notifications about your Account, and trading or other restrictions might be placed on your Account.

Short Positions: Securities sold short will be identified through an "S" in Investment Detail. The market value of these securities will be expressed as a debit and be netted any long positions in Total Account Value.



**ACCOUNT STATEMENT**

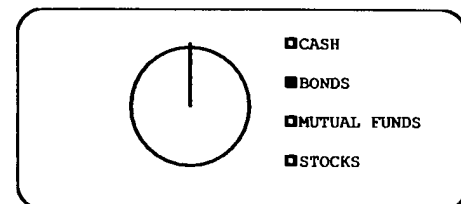
Retain for your records

Secure, clutter-free, real-time access

Switch to paperless statements for an easy, worry-free statement reminder.

Call 212-344-5747 to find out how.

Legends Securities, Inc.
 45 Broadway 32nd Floor
 New York, NY 10006
www.legendsecuritiesinc.com



ACCOUNT	PERIOD	PAGE
---------	--------	------

[REDACTED]	June 27, 2015 - July 31, 2015	1 of 3
------------	-------------------------------	--------

Last Statement: June 26, 2015

VIKTOR POPOV

**ACCOUNT ACTIVITY**

TRADE DATE	SETTLE DATE	ACTIVITY	QTY	SYMBOL	DESCRIPTION	PRICE	AMOUNT	ACCUMULATED BALANCE
------------	-------------	----------	-----	--------	-------------	-------	--------	---------------------

07/20	07/23	BOUGHT	40,000	HTWR	HEARTWARE INTERNATIONAL INC	79.49	-3,179,800.00	-9,883,716.13
-------	-------	--------	--------	------	-----------------------------	-------	---------------	---------------

ACCOUNT	STATEMENT PERIOD	PAGE
[REDACTED]	June 27, 2015 - July 31, 2015	2 of 3

PORTFOLIO DETAIL						
ACCOUNT	LONG	SHORT	DESCRIPTION	SYMBOL	PRICE	VALUE

MARGIN	80,000		HEARTWARE INTERNATIONAL INC	HTWR	90.71	7,256,800.00
--------	--------	--	-----------------------------	------	-------	--------------

APPROXIMATE VALUE AS OF CLOSE OF TRADING ON 07/31/2015

DIVIDENDS, DISTRIBUTIONS & INTEREST		
	CURRENT PERIOD	YTD

ACCOUNT SUMMARY

OPENING MONEY BALANCE
 CLOSING MONEY BALANCE
 PORTFOLIO VALUE
 ACCOUNT VALUE

MARGIN ACCOUNT



ACCOUNT

STATEMENT PERIOD

PAGE

June 27, 2015 - July 31, 2015

3 of 3

Terms and Conditions

GENERAL INFORMATION AND KEY TERMS:

All references to "LSI" in this document refer to the broker-dealer Legend Securities, Inc. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement.

If you receive any other communication from any source other than LSI which purports to represent holdings at LSI (including balances held at a Sweep Bank) you should verify its content with this statement.

Sweep Bank: An FDIC-insured depository institution affiliated with LSI, at which interest-bearing Deposit Accounts are maintained on your behalf.

AIP (Automatic Investment Plan) Customers: LSI receives remuneration in connection with certain transactions effected through LSI. If you participate in a systematic investment program through LSI, the additional information normally detailed on a trade confirmation will be provided upon request.

Latest Price/Price (Investment Detail Section Only): The most recent price evaluation available on the last business day of the statement period, normally the last trade price or bid. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. LSI shall have no responsibility for accuracy or timeliness of any such valuations. Pricing of assets not held at LSI is for information purposes only.

Additional Information:

A financial statement for your inspection is available at LSI's offices or a copy will be mailed to you upon request. Any third party trademarks appearing herein are the property of their respective owners.

(1106-3116) REG24970NRSB-07 (10/11)



**ACCOUNT STATEMENT**

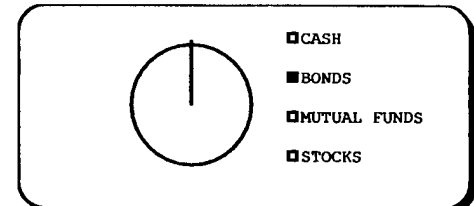
Retain for your records

Secure, clutter-free, real-time access

Switch to paperless statements for an easy, worry-free statement reminder.

Call 212-344-5747 to find out how.

Legends Securities, Inc.
 45 Broadway 32nd Floor
 New York, NY 10006
www.legendsecuritiesinc.com



ACCOUNT	PERIOD	PAGE
---------	--------	------

[REDACTED]

March 26, 2016 - April 22, 2016
 Last Statement: March 25, 2016

1 of 3

VIKTOR POPOV

[REDACTED]

[REDACTED]

ACCOUNT ACTIVITY

TRADE DATE	SETTLE DATE	ACTIVITY	QTY	SYMBOL	DESCRIPTION	PRICE	AMOUNT	ACCUMULATED BALANCE
---------------	----------------	----------	-----	--------	-------------	-------	--------	------------------------

[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACTED]								
[REDACT								

ACCOUNT	STATEMENT PERIOD	PAGE
[REDACTED]	March 26, 2016 - April 22, 2016	2 of 3

PORTFOLIO DETAIL						
ACCOUNT	LONG	SHORT	DESCRIPTION	SYMBOL	PRICE	VALUE

[REDACTED]						
MARGIN	80,000		HEARTWARE INTERNATIONAL INC	HTWR	34.31	2,744,800.00

[REDACTED]						
------------	--	--	--	--	--	--

APPROXIMATE VALUE AS OF CLOSE OF TRADING ON 04/22/2016

[REDACTED]

DIVIDENDS, DISTRIBUTIONS & INTEREST		
	CURRENT PERIOD	YTD

[REDACTED]		
------------	--	--

ACCOUNT SUMMARY

OPENING MONEY BALANCE
 CLOSING MONEY BALANCE
 PORTFOLIO VALUE
 ACCOUNT VALUE

MARGIN ACCOUNT

[REDACTED]

[REDACTED]



March 26, 2016 - April 22, 2016

3 of 3

Terms and Conditions

GENERAL INFORMATION AND KEY TERMS:

All references to "LSI" in this document refer to the broker-dealer Legend Securities, Inc. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement.

If you receive any other communication from any source other than LSI which purports to represent holdings at LSI (including balances held at a Sweep Bank) you should verify its content with this statement.

Sweep Bank: An FDIC-insured depository institution affiliated with LSI, at which interest-bearing Deposit Accounts are maintained on your behalf.

AIP (Automatic Investment Plan) Customers: LSI receives remuneration in connection with certain transactions effected through LSI. If you participate in a systematic investment program through LSI, the additional information normally detailed on a trade confirmation will be provided upon request.

Mr. Popov



1000

55317

TO:

In re HeartWare International, Inc.
Securities Litigation
c/o Analytics Consulting
P.O. Box 2003
Chanhassen, MN 55317-2003

ailer
x 16"



Exhibit B-2

In re HeartWare International, Inc. Securities Litigation
c/o Analytics Consulting
P.O. Box 2003
Chanhassen, MN 55317-2003

VIKTOR POPOV


NOTICE OF REJECTION OF CLAIM

DATE: October 10, 2019
RE: *In re HeartWare International, Inc. Securities Litigation*

CLAIM NUMBER: 1012831
VIKTOR POPOV

RESPONSE DEADLINE: October 30, 2019

Dear Claimant:

We have processed the Proof of Claim and Release Form (“Claim”) that you submitted in connection with the settlement achieved in the above-noted litigation. Your Claim, based on our review, is ineligible for a recovery for the reason(s) listed below. Please note that some reasons for ineligibility are curable. To resolve the identified curable condition(s) of ineligibility, please follow the instructions below.

In order for this Claim to be eligible, the identified curable conditions of ineligibility must be resolved, and the Claim must then calculate to a Recognized Claim under the Court-approved Plan of Allocation. Please include a copy of this notice with your response. **If you fail to respond by the response deadline printed above, or if your response fails to cure the condition(s) identified below, your Claim will be rejected in its entirety. Please note that this is the only notice you will receive with respect to this Claim.**

Inadequate Documentation for Entire Claim: This Claim did not include any documentation to support the information you provided, or the documentation previously provided was deemed inadequate or incomplete.

How to Resolve: To resolve this deficiency, please submit acceptable supporting documentation from an independent third party broker-dealer or other financial institution. Examples of acceptable supporting documentation include securities brokers’ confirmation slips, month-end and year-end account statements, or similar documentation. Self-generated documents are not acceptable. ***Do not merely resubmit the same documentation that you previously submitted.***

Failure to Ascertain Beneficial Owner: The Claims Administrator is unable to independently validate and verify the identity of the Beneficial Owner.

How to Resolve: To resolve this deficiency, please submit acceptable documentation supporting the identification and validation of the identities of the Beneficial Owners and signatories associated with this claim.

1. Please provide copies of at least one of the following documents for all signatories associated with this claim:
 - a. A passport, or
 - b. Driving license that bears a photograph.

Please Note: This request for documentation may be supplemented based on the responses received.

Claims that are not cured by the response deadline above will be rejected. If you believe your Claim has been rejected in error, you may contact us for assistance and/or request Court review of our determination. To request Court review of your Claim, you must send us a signed written statement that: (a) states your reasons for contesting the rejection of this Claim, along with any and all documentation supporting your argument(s); (b) specifically states that you “request that the Court review the rejection of this Claim”; and (c) includes a copy of this notice and is postmarked no later than the response deadline set forth above. If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court (with financial account numbers and certain other information redacted). Please note: Court review should only be sought if you disagree with our determination about this Claim.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at 1-866-710-9044 or email us at info@HeartWareSecuritiesLitigation.com. Please reference the Claim number listed above in any communication. If you would like to view or download the Settlement Notice (which contains the Plan of Allocation outlining Claim eligibility), you may do so by visiting <https://heartwaresecuritieslitigation.com/>.

Very truly yours,

Analytics Consulting
Claims Administrator

Exhibit B-3

From: Private Sector Settlements - Info <info@heartwaresecuritieslitigation.com>
Sent: Thursday, October 31, 2019 9:53 AM
To: [REDACTED] <[\[REDACTED\]@analyticsllc.com](mailto:[REDACTED]@analyticsllc.com)>
Subject: Fwd: Heartware Securities Litigation-RESPONSE REQUIRED

On Wed, 30 Oct at 11:41 AM , Viktor popov [REDACTED] wrote:
In furtherance to your communication, dated October 10th, attached are the information requested.
Please let me know if additional information is needed, and I shall provide them as soon as I'm back in the U.S.

Sincerely,

Viktor Popov

On Monday, October 21, 2019, 08:00:59 AM PDT, Private Sector Settlements - Info <info@heartwaresecuritieslitigation.com> wrote:

Thank you for your email,

Please send the required information by email to this email address.

Sincerely,
Office of the Claims Administrator

On Mon, 21 Oct at 3:58 AM , Viktor popov [REDACTED] wrote:
Where do I mail the information requested, and do I send them do anyone's attention?

Please advise. Thank you.

Viktor Popov

On Thursday, October 10, 2019, 07:08:47 AM PDT, Private Sector Settlements - Info <info@heartwaresecuritieslitigation.com> wrote:

Dear Claimant,

Please see the attached regarding the claims you filed in the Heartware Securities Litigation.

Sincerely,
Office of the Claims Administrator
Heartware Securities Litigation





Legends Securities, Inc.
45 Broadway 32nd Floor
New York, NY 10006
www.legendsecuritiesinc.com

TEL:212-344-5747

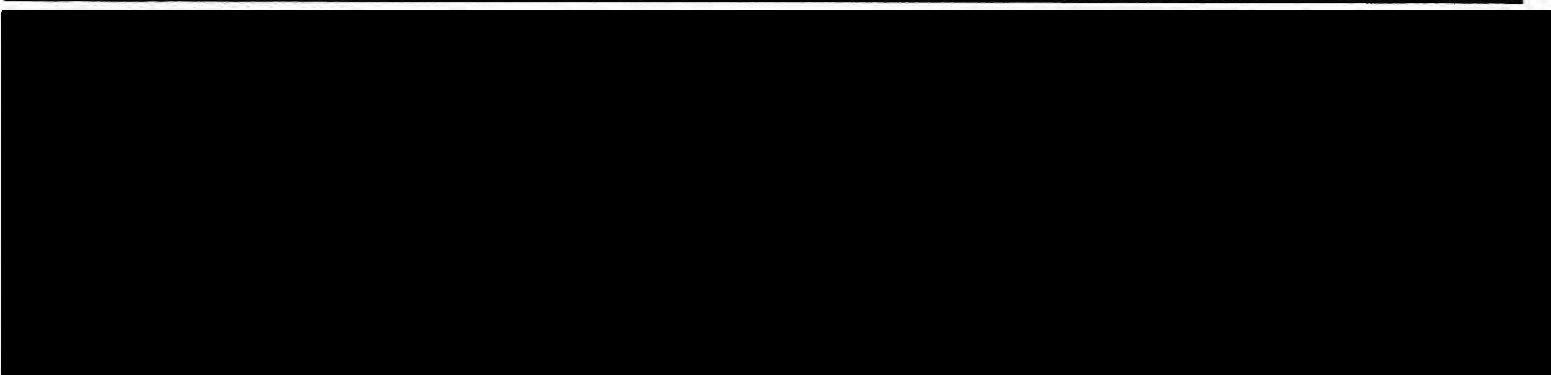
Confirmation for Account # [REDACTED]

VIKTOR POPOV
[REDACTED]



You bought 15,000 at a price of \$89.82
HEARTWARE INTERNATIONAL INC
Symbol: HTWR - CUSIP 422368100
CONFIRM # 007197632
Exchange: NASDAQ
Trade Date: 06/02/14
Settlement Date: 06/05/14

Gross Amount	\$1,347,300.00
Commission	\$200.00
Amount	\$1,347,500.00



As a reminder, payments for securities purchased, or delivery of securities sold,
must be deposited by Settlement Date.
See reverse for further details. Thank you for your business.



Legends Securities, Inc.
 45 Broadway 32nd Floor
 New York, NY 10006
www.legendsecuritiesinc.com

TEL: 212-344-5747

Confirmation for Account # [REDACTED]

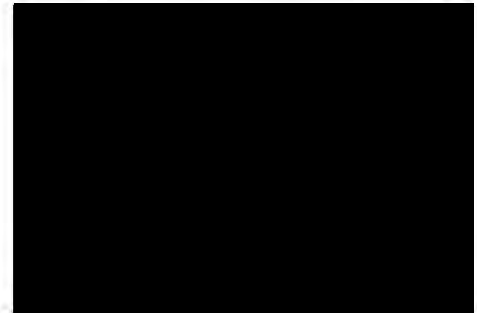
VIKTOR POPOV
 [REDACTED]



You bought 25,000 at a price of \$984.76
 HEARTWARE INTERNATIONAL INC
 Symbol: HTWR - CUSIP 422368100
 CONFIRM # 0071992339
 Exchange: NASDAQ
 Trade Date: 02/02/15
 Settlement Date: 02/05/15

Gross Amount	\$2,119,000.00
Commission	\$200.00
Amount	\$2,119,200.00

[REDACTED]
 OCH-ZIFF CAPITAL MGMT GROUP LLC
 Symbol: OZM - CUSIP 835699307
 CONFIRM # 0071992332
 Exchange: NYSE
 Trade Date: 02/02/15
 Settlement Date: 02/05/15



As a reminder, payments for securities purchased, or delivery of securities sold,
 must be deposited by Settlement Date.
 See reverse for further details. Thank you for your business.



Legends Securities, Inc.
 45 Broadway 32nd Floor
 New York, NY 10006
www.legendsecuritiesinc.com

TEL:212-344-5747

Confirmation for Account # [REDACTED]

VIKTOR POPOV
 [REDACTED]



You bought 40,000 at a price of \$79.49
 HEARTWARE INTERNATIONAL INC
 Symbol: HTWR - CUSIP 422368100
 CONFIRM # 007200933
 Exchange: NASDAQ
 Trade Date: 07/20/15
 Settlement Date: 07/23/15

Gross Amount	\$3,179,600.00
Commission	\$200.00
Amount	\$3,179,800.00



As a reminder, payments for securities purchased, or delivery of securities sold,
 must be deposited by Settlement Date.
 See reverse for further details. Thank you for your business.

Exhibit B-4

In re HeartWare International, Inc. Securities Litigation
c/o Analytics Consulting
P.O. Box 2003
Chanhassen, MN 55317-2003

VIKTOR POPOV


NOTICE OF REJECTION OF CLAIM

DATE: November 13, 2019
RE: *In re HeartWare International, Inc. Securities Litigation*

CLAIM NUMBER: 1012831
VIKTOR POPOV

RESPONSE DEADLINE: November 22, 2019

Dear Claimant:

We have processed the Proof of Claim and Release Form (“Claim”) that you submitted in connection with the settlement achieved in the above-noted litigation. Your Claim, based on our review, is ineligible for a recovery for the reason(s) listed below.

Inadequate Documentation for Entire Claim: The documentation provided to support this claim has been deemed inadequate.

If you believe your Claim has been rejected in error, you may request Court review of our determination. To request Court review of your Claim, you must send us a signed written statement that: (a) states your reasons for contesting the rejection of this Claim, along with any and all documentation supporting your argument(s); (b) specifically states that you “request that the Court review the rejection of this Claim”; and (c) includes a copy of this notice and is postmarked no later than the response deadline set forth above. If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court (with financial account numbers and certain other information redacted). Please note: Court review should only be sought if you disagree with our determination about this Claim.

If you have any questions about this notice please contact us at 1-866-710-9044 or email us at info@HeartWareSecuritiesLitigation.com. Please reference the Claim number listed above in any communication.

Very truly yours,

Analytics Consulting
Claims Administrator

Exhibit B-5

November 18, 2019

Analytics Consulting
PO Box 2003
Chanhassen, MN 55317-2003

RE: Heartware International, Inc. Securities Litigation

CLAIM NUMBER: 1012831

To Whom It May Concern:

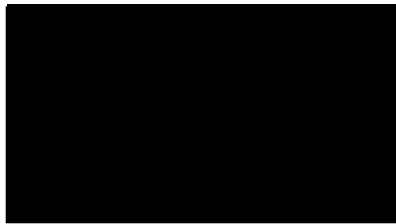
I would like to contest the determination of my claim based on the following reasons:

1. I have submitted the requested/required documentations. The requisite documentation I submitted was from the list of "examples of acceptable supporting documentation" that you provided me on 10-10-2019.
I submitted 2 of the 3 acceptable supporting documentation from said list – trade confirmation slips and month-end statements.
I also provided you with a copy of my current U.S. Passport.
2. All of the submitted documentation were submitted in a timely manner.

I am humbly requesting that the court review the rejection of this claim.

Yours truly,

Viktor Popov



In re HeartWare International, Inc. Securities Litigation
c/o Analytics Consulting
P.O. Box 2003
Chanhassen, MN 55317-2003

VIKTOR POPOV


NOTICE OF REJECTION OF CLAIM

DATE: November 13, 2019
RE: *In re HeartWare International, Inc. Securities Litigation*
CLAIM NUMBER: 1012831
VIKTOR POPOV

RESPONSE DEADLINE: November 22, 2019

Dear Claimant:

We have processed the Proof of Claim and Release Form ("Claim") that you submitted in connection with the settlement achieved in the above-noted litigation. Your Claim, based on our review, is ineligible for a recovery for the reason(s) listed below.

Inadequate Documentation for Entire Claim: The documentation provided to support this claim has been deemed inadequate.

If you believe your Claim has been rejected in error, you may request Court review of our determination. To request Court review of your Claim, you must send us a signed written statement that: (a) states your reasons for contesting the rejection of this Claim, along with any and all documentation supporting your argument(s); (b) specifically states that you "request that the Court review the rejection of this Claim"; and (c) includes a copy of this notice and is postmarked no later than the response deadline set forth above. If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court (with financial account numbers and certain other information redacted). Please note: Court review should only be sought if you disagree with our determination about this Claim.

If you have any questions about this notice please contact us at 1-866-710-9044 or email us at info@HeartWareSecuritiesLitigation.com. Please reference the Claim number listed above in any communication.

Very truly yours,

Analytics Consulting
Claims Administrator

EE31732003 B050

From: Viktor Popov

To: Analytics Consulting
PO Box 2003
Chamhassen, MN
55317-2003

Ready **P**ost[®]

MAILBOXES AND MORE
Mailers

SPRINT CUSTOMER SERVICE
1-877-434-3434

Exhibit B-6

Trade Analysis

Trades Claimed in Claim <u>1012435</u>						Market Activity - HeartWare						
Trade Date	Settlement Date	Trade	Shares	Price	Gross Amount	Date	Open	High	Low	Close	Volume	% of Volume
6/2/2014	6/5/2014	BOT	15,000	\$89.92	\$1,348,800	Outside of Class Period						
2/2/2015	2/5/2015	BOT	25,000	\$84.76	\$2,119,000	2/2/2015	\$84.01	\$84.94	\$82.97	\$84.76	175,124	14.28%
7/20/2015	7/23/2015	BOT	40,000	\$79.49	\$3,179,600	7/20/2015	\$77.76	\$79.49	\$76.95	\$79.17	411,260	9.73%

Exhibit B-7

In re HeartWare International, Inc. Securities Litigation
c/o Analytics Consulting
P.O. Box 2003
Chanhassen, MN 55317-2003

VIKTOR POPOV


NOTICE OF REJECTION OF CLAIM

DATE: **January 23, 2020**
RE: *In re HeartWare International, Inc. Securities Litigation*
CLAIM NUMBER: **1012831**
VIKTOR POPOV

RESPONSE DEADLINE: **January 30, 2020**

Dear Claimant:

We have received and processed the Proof of Claim and Release Form ("Claim Form"), as well as the supporting and supplemental documentation, that you provided in connection with the above-referenced Claim in the settlement of *In re HeartWare International, Inc. Securities Litigation*, Case No. 1:16-cv-00520-RA (S.D.N.Y.).

We continue to adhere to our determination, based on our review of the Claim Form and the documentation provided, that your Claim will be rejected. This is because the documentation you submitted contains irregularities, and, therefore, does not meet the standards necessary to validate your claim. These irregularities include, but are not limited to, the following:

- Inconsistencies in Broker-Dealer Name. The logo and footer included on the monthly statements and trade confirmations list the broker-dealer as "Legends Securities, Inc." However, the Terms and Conditions page refers to the broker-dealer as "Legend Securities, Inc.", which is consistent with the entity name registered with FINRA.
- Inconsistencies in Broker-Dealer Website. The account statements you provided lists Legends Securities, Inc.'s website both as www.legendsecuritiesinc.com and www.legendsscuritiesinc.com. Legend Securities, Inc. operated under neither of those domain names.
- Errors in Trade Confirmation statements. Trade Confirmation statements contain various typographical errors. Additionally, the trade information listed on the confirmations is unreliable.

Please note we are in the process of notifying the appropriate law enforcement authorities about these issues.

You previously requested Court review of the rejection of your Claim which will now be presented to the Court. All of the information you provided to us will be submitted to the Court, including the basis for the rejection of your Claim. If you wish to retract your request to have your Claim presented to the Court as a Disputed Claim, you must do so in writing by January 30, 2020.

If you have any questions about this notice please contact us at 1-866-710-9044 or email us at info@HeartWareSecuritiesLitigation.com. Please reference the Claim number listed above in any communication.

Very truly yours,

Analytics Consulting
Claims Administrator

Exhibit B-8

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

D A N I E L

Last Name

D R E N S O N

Joint Beneficial Owner's Name (if applicable)

First Name

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****Last 4 digits of Social Security Number or Taxpayer Identification Number****Street Address****City****State/Province Zip Code****Foreign Postal Code (if applicable)****Foreign Country (if applicable)****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: _____)

1. **HOLDINGS AS OF JUNE 10, 2014** – State the total number of shares of HeartWare common stock held as of the opening of trading on June 10, 2014. (*Must be documented.*) If none, write “zero” or “0.”

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

☒

Date of Purchase/Acquisition (List Chronologically)			Number of Shares Purchased/Acquired	Purchase/Acquisition Price Per Share		Total Purchase/Acquisition Price (excluding any commissions, taxes and fees)	Confirm Proof of Purchase Enclosed																						
M	M	D	D	Y	Y																								
0	6	2	0	1	4		2	5	0	0	0		9	0	2	7			2	2	5	6	7	5	0	0	0	0	<input checked="" type="checkbox"/>
0	7	2	2	1	4		3	5	0	0	0		8	8	1	3			3	0	8	4	5	5	0	0	0	0	<input checked="" type="checkbox"/>
0	2	1	8	1	5		3	5	0	0	0		8	5	1	3			2	9	7	9	5	5	0	0	0	0	<input checked="" type="checkbox"/>
0	4	0	9	1	5		3	5	0	0	0		8	8	0	6			3	0	8	2	1	0	0	0	0	0	<input checked="" type="checkbox"/>

3. **PURCHASES/ACQUISITIONS FROM JANUARY 12, 2016 THROUGH APRIL 8, 2016** – State the total number of shares of HeartWare common stock purchased or acquired (including free receipts) from January 12, 2016 through the close of trading on April 8, 2016. If none, write “zero” or “0.”¹

4. **SALES FROM JUNE 10, 2014 THROUGH APRIL 8, 2016** – Separately list each and every sale or disposition (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. *(Must be documented.)* **IF NONE, CHECK HERE** ☐

Date of Sale (List Chronologically)			Number of Shares Sold			Sale Price Per Share			Total Sale Price (not deducting any commissions, taxes or fees)			Confirm Proof of Sale Enclosed																	
M	M	D	D	Y	Y																								
0	9	0	2	1	5		6	5	0	0	0	4	6	0	6	5	5	0	0	0	0	<input checked="" type="checkbox"/>							
0	3	2	8	1	6		4	0	0	0	0	1	3	0	4	5			2	1	8	0	0	0	0	0	0	0	<input checked="" type="checkbox"/>
																											<input type="checkbox"/>		
																											<input type="checkbox"/>		

5. HOLDINGS AS OF APRIL 8, 2016 – State the total number of shares of HeartWare common stock held as of the close of trading on April 8, 2016. (*Must be documented.*) If none, write “zero” or “0.”

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

☒

IF YOU REQUIRE ADDITIONAL SPACE FOR THE SCHEDULE ABOVE, ATTACH EXTRA SCHEDULES IN THE SAME FORMAT. PRINT THE BENEFICIAL OWNER'S FULL NAME AND LAST FOUR DIGITS OF SOCIAL SECURITY/ TAXPAYER IDENTIFICATION NUMBER ON EACH ADDITIONAL PAGE. IF YOU DO ATTACH EXTRA SCHEDULES, CHECK THIS BOX. ☐

¹ **Please note:** Information requested with respect to your purchases and acquisitions of HeartWare common stock from January 12, 2016 through and including April 8, 2016 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim pursuant to the Plan of Allocation.

PART III – SCHEDULE OF TRANSACTIONS IN HEARTWARE COMMON STOCK

The only eligible security is HeartWare International, Inc. common stock (Ticker: NASDAQ: HTWR, CUSIP: 422368100). Do not include information regarding securities other than HeartWare common stock. Please include proper documentation with your Claim Form as described in detail in Part II – General Instructions, ¶ 6, above.

1. **HOLDINGS AS OF JUNE 10, 2014** – State the total number of shares of HeartWare common stock held as of the opening of trading on June 10, 2014. (*Must be documented.*) If none, write "zero" or "0."

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

Confirm Proof
of Position
Enclosed

☐

2. **PURCHASES/ACQUISITIONS FROM JUNE 10, 2014 THROUGH JANUARY 11, 2016** – Separately list each and every purchase or 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. (*Must be documented.*)

Date of Purchase/Acquisition (List Chronologically)						Number of Shares Purchased/Acquired	Purchase/Acquisition Price Per Share		Total Purchase/Acquisition Price (excluding any commissions, taxes and fees)	Confirm Proof of Purchase Enclosed									
M	M	D	D	Y	Y														
0	7	2	0	1	5	4	0	0	0	3	1	7	9	6	0	0	0	0	<input checked="" type="checkbox"/>
																		<input type="checkbox"/>	
																		<input type="checkbox"/>	
																		<input type="checkbox"/>	

3. **PURCHASES/ACQUISITIONS FROM JANUARY 12, 2016 THROUGH APRIL 8, 2016** – State the total number of shares of HeartWare common stock purchased or acquired (including free receipts) from January 12, 2016 through the close of trading on April 8, 2016. If none, write "zero" or "0."

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

4. **SALES FROM JUNE 10, 2014 THROUGH APRIL 8, 2016** – Separately list each and every sale or disposition (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. (*Must be documented.*) IF NONE, CHECK HERE ☐

Date of Sale (List Chronologically)						Number of Shares Sold	Sale Price Per Share		Total Sale Price (not deducting any commissions, taxes or fees)	Confirm Proof of Sale Enclosed								
M	M	D	D	Y	Y													
																		<input type="checkbox"/>
																		<input type="checkbox"/>
																		<input type="checkbox"/>
																		<input type="checkbox"/>

5. **HOLDINGS AS OF APRIL 8, 2016** – State the total number of shares of HeartWare common stock held as of the close of trading on April 8, 2016. (*Must be documented.*) If none, write "zero" or "0."

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

Confirm Proof
of Position
Enclosed

☐

IF YOU REQUIRE ADDITIONAL SPACE FOR THE SCHEDULE ABOVE, ATTACH EXTRA SCHEDULES IN THE SAME FORMAT. PRINT THE BENEFICIAL OWNER'S FULL NAME AND LAST FOUR DIGITS OF SOCIAL SECURITY/ TAXPAYER IDENTIFICATION NUMBER ON EACH ADDITIONAL PAGE. IF YOU DO ATTACH EXTRA SCHEDULES, CHECK THIS BOX. ☐

¹ Please note: Information requested with respect to your purchases and acquisitions of HeartWare common stock from January 12, 2016 through and including April 8, 2016 is needed in order to balance your claim; purchases and acquisitions during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim pursuant to the Plan of Allocation.

UNDER THE PENALTIES OF PERJURY, I (WE) CERTIFY THAT ALL OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM FORM IS TRUE, CORRECT, AND COMPLETE, AND THAT THE DOCUMENTS SUBMITTED HERewith ARE TRUE AND CORRECT COPIES OF WHAT THEY PURPORT TO BE.

Signature of Claimant

Date Signed

05
M M

01
D D

2019
Y Y Y Y

Daniel J. Drenson

Print Claimant Name Here

Signature of Joint Claimant, if any

Date Signed

M M

D D

Y Y Y Y

Print Joint Claimant Name Here

If the claimant is other than an individual, or is not the person completing this form, the following also must be provided:

Signature of Person Signing on Behalf of Claimant

Date Signed

M M

D D

Y Y Y Y

Print Name of Person Signing on Behalf of Claimant Here

Capacity of person signing on behalf of claimant, if other than an individual, e.g., executor, president, trustee, custodian, etc.
(Must provide evidence of authority to act on behalf of claimant – see ¶ 9 on page 4 of this Claim Form.)

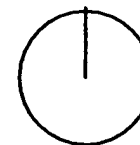
**ACCOUNT STATEMENT**

Retain for your records

Cut paper clutter**Switch to eStatement at legendssecuritiesinc.com/paperless****Questions? Call 212-344-5747****Legends Securities, Inc.**

45 Broadway 32nd Floor

New York, NY 10006

www.legendsecuritiesinc.com☐ CASH☐ BONDS☐ MUTUAL FUNDS☐ STOCKS

ACCOUNT	PERIOD	PAGE
---------	--------	------

May 31, 2014 - June 27, 2014
 Last Statement: May 30, 2014

1 of 3

DANIEL J DRENSON

**ACCOUNT ACTIVITY**

TRADE DATE	SETTLE DATE	ACTIVITY	QTY	SYMBOL	DESCRIPTION	PRICE	AMOUNT	ACCUMULATED BALANCE
------------	-------------	----------	-----	--------	-------------	-------	--------	---------------------

MARGIN ACCOUNT OPENING BALANCE -21,321,172.23

06/20	06/25	BOUGHT	25,000	HTWR	HEARTWARE INTERNATIONAL INC	90.27	-2,256,950.00	-22,289,010.23
-------	-------	--------	--------	------	-----------------------------	-------	---------------	----------------



ACCOUNT	STATEMENT PERIOD	PAGE
[REDACTED]	May 31, 2014 - June 27, 2014	2 of 3

PORTFOLIO DETAIL

ACCOUNT	LONG	SHORT	DESCRIPTION	SYMBOL	PRICE	VALUE
---------	------	-------	-------------	--------	-------	-------

DIVIDENDS, DISTRIBUTIONS & INTEREST

CURRENT PERIOD

YTD

ACCOUNT SUMMARY

MARGIN ACCOUNT

OPENING MONEY BALANCE
 CLOSING MONEY BALANCE
 PORTFOLIO VALUE
 ACCOUNT VALUE



ACCOUNT

STATEMENT PERIOD

PAGE

May 31, 2014 - June 27, 2014

3 of 3

Terms and Conditions

GENERAL INFORMATION AND KEY TERMS:

All references to "LSI" in this document refer to the broker-dealer Legend Securities, Inc. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement.

If you receive any other communication from any source other than LSI which purports to represent holdings at LSI (including balances held at a Sweep Bank) you should verify its content with this statement.

Sweep Bank: An FDIC-insured depository institution affiliated with LSI, at which interest-bearing Deposit Accounts are maintained on your behalf.

AIP (Automatic Investment Plan) Customers: LSI receives remuneration in connection with certain transactions effected through LSI. If you participate in a systematic investment program through LSI, the additional information normally detailed on a trade confirmation will be provided upon request.

Margin Account Customer: This is a combined statement of your margin account and special memorandum account maintained under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account as required by regulation T is available for your inspection.

Latest Price/Price (Investment Detail Section Only): The most recent price evaluation available on the last business day of the statement period, normally the last trade price or bid. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. LSI shall have no responsibility for accuracy or timeliness of any such valuations. Pricing of assets not held at LSI is for information purposes only.

Additional Information:

A financial statement for your inspection is available at LSI's offices or a copy will be mailed to you upon request. Any third party trademarks appearing herein are the property of their respective owners.

(1106-3116) REG24970NRSB-07 (10/11)



**ACCOUNT STATEMENT**

Retain for your records

Secure, clutter-free, real-time access

Switch to paperless statements for an easy, worry-free statement reminder.

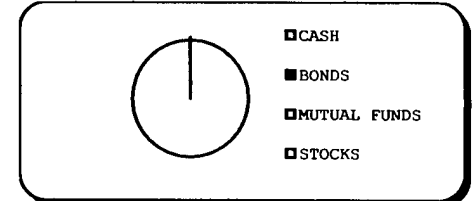
Call 212-344-5747 to find out how.

Legends Securities, Inc.

45 Broadway 32nd Floor

New York, NY 10006

www.legendsecuritiesinc.com



ACCOUNT	PERIOD	PAGE
---------	--------	------

	June 28, 2014 - July 25, 2014	1 of 3
--	-------------------------------	--------

Last Statement: June 27, 2014

DANIEL J DRENSON

**ACCOUNT ACTIVITY**

TRADE DATE	SETTLE DATE	ACTIVITY	QTY	SYMBOL	DESCRIPTION	PRICE	AMOUNT	ACCUMULATED BALANCE
------------	-------------	----------	-----	--------	-------------	-------	--------	---------------------

MARGIN ACCOUNT OPENING BALANCE -21,643,041.77

07/22	07/25	BOUGHT	35,000	HTWR	HEARTWARE INTERNATIONAL INC	88.13	-3,084,750.00	-25,622,951.77
-------	-------	--------	--------	------	-----------------------------	-------	---------------	----------------

Address Changes: If you fail to notify Legends Securities in writing of any change of Address or phone number, you may not receive important notifications about your Account, and trading or other restrictions might be placed on your Account.

Non-Standard Assets: All assets shown on this statement, other than certain direct investments which may be held by a third party, are held in your Account. Values of certain non-standard assets may be furnished by a third party as provided in LSI's Non-Standard Asset Custody Agreement. LSI shall have no responsibility for the accuracy or timeliness of such valuations. Assets held by a third party are not covered by SIPC



ACCOUNT	STATEMENT PERIOD	PAGE
[REDACTED]	June 28, 2014 - July 25, 2014	2 of 3

PORTFOLIO DETAIL						
ACCOUNT	LONG	SHORT	DESCRIPTION	SYMBOL	PRICE	VALUE

[REDACTED]						
------------	--	--	--	--	--	--

DIVIDENDS, DISTRIBUTIONS & INTEREST	
CURRENT PERIOD	YTD

[REDACTED]	
------------	--

ACCOUNT SUMMARY

OPENING MONEY BALANCE
 CLOSING MONEY BALANCE
 PORTFOLIO VALUE
 ACCOUNT VALUE

MARGIN ACCOUNT

[REDACTED]



ACCOUNT	STATEMENT PERIOD	PAGE
	June 28, 2014 - July 25, 2014	3 of 3

Terms and Conditions

GENERAL INFORMATION AND KEY TERMS:

All references to "LSI" in this document refer to the broker-dealer Legend Securities, Inc. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement.

If you receive any other communication from any source other than LSI which purports to represent holdings at LSI (including balances held at a Sweep Bank) you should verify its content with this statement.

Sweep Bank: An FDIC-insured depository institution affiliated with LSI, at which interest-bearing Deposit Accounts are maintained on your behalf.

AIP (Automatic Investment Plan) Customers: LSI receives remuneration in connection with certain transactions effected through LSI. If you participate in a systematic investment program through LSI, the additional information normally detailed on a trade confirmation will be provided upon request.

Latest Price/Price (Investment Detail Section Only): The most recent price evaluation available on the last business day of the statement period, normally the last trade price or bid. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. LSI shall have no responsibility for accuracy or timeliness of any such valuations. Pricing of assets not held at LSI is for information purposes only.

Additional Information:

A financial statement for your inspection is available at LSI's offices or a copy will be mailed to you upon request. Any third party trademarks appearing herein are the property of their respective owners.

(1106-3116) REG24970NRSB-07 (10/11)

**ACCOUNT STATEMENT**

Retain for your records

Secure, clutter-free, real-time access

Switch to paperless statements for an easy, worry-free statement reminder.

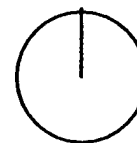
Call 212-344-5747 to find out how.

Legends Securities, Inc.

45 Broadway 32nd Floor

New York, NY 10006

www.legendsecuritiesinc.com



☐ CASH
☐ BONDS
☐ MUTUAL FUNDS
☐ STOCKS

ACCOUNT	PERIOD	PAGE
---------	--------	------

[REDACTED]	January 31, 2015 - February 27, 2015	1 of 3
------------	--------------------------------------	--------

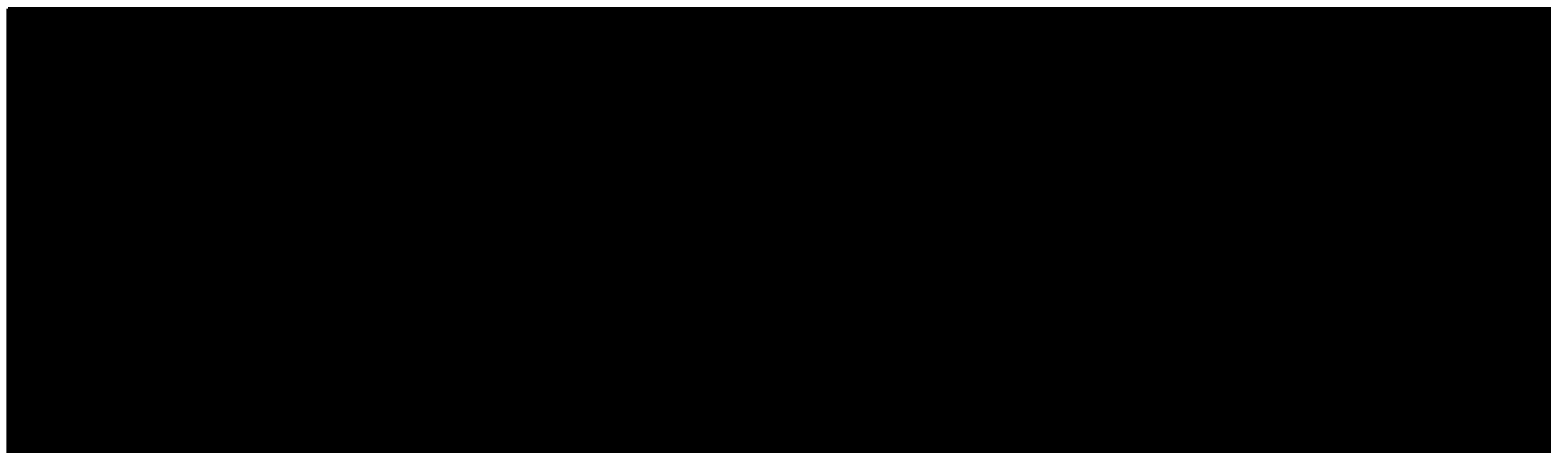
Last Statement: January 30, 2015

DANIEL J DRENSON

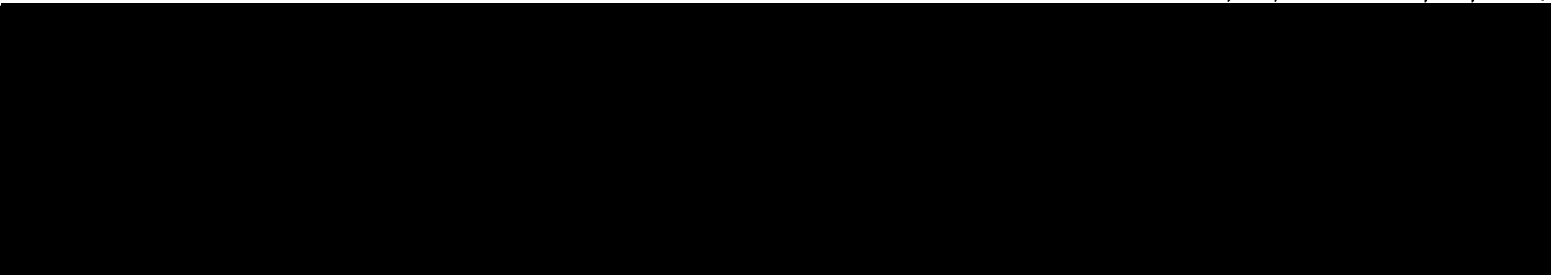
**ACCOUNT ACTIVITY**

TRADE DATE	SETTLE DATE	ACTIVITY	QTY	SYMBOL	DESCRIPTION	PRICE	AMOUNT	ACCUMULATED BALANCE
------------	-------------	----------	-----	--------	-------------	-------	--------	---------------------

MARGIN ACCOUNT OPENING BALANCE -18,341,902.43



02/18	02/23	BOUGHT	35,000	HTWR	HEARTWARE INTERNATIONAL INC	87.83	-3,074,250.00	-19,421,706.43
-------	-------	--------	--------	------	-----------------------------	-------	---------------	----------------



ACCOUNT	STATEMENT PERIOD	PAGE
	January 31, 2015 - February 27, 2015	2 of 3

PORTFOLIO DETAIL						
ACCOUNT	LONG	SHORT	DESCRIPTION	SYMBOL	PRICE	VALUE

MARGIN	120,000		HEARTWARE INTERNATIONAL INC	HTWR	85.23	10,227,600.00
--------	---------	--	-----------------------------	------	-------	---------------

DIVIDENDS, DISTRIBUTIONS & INTEREST

CURRENT PERIOD

YTD

ACCOUNT SUMMARY

MARGIN ACCOUNT

OPENING MONEY BALANCE
 CLOSING MONEY BALANCE
 PORTFOLIO VALUE
 ACCOUNT VALUE



ACCOUNT	STATEMENT PERIOD	PAGE
	January 31, 2015 - February 27, 2015	3 of 3

Margin Account Customer: This is a combined statement of your margin account and special memorandum account maintained under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account as required by regulation T is available for your inspection.

Address Changes: If you fail to notify Legends Securities in writing of any change of Address or phone number, you may not receive important notifications about your Account, and trading or other restrictions might be placed on your Account.

Short Positions: Securities sold short will be identified through an "S" in Investment Detail. The market value of these securities will be expressed as a debit and be netted any long positions in Total Account Value.

**ACCOUNT STATEMENT**

Retain for your records

Secure, clutter-free, real-time access

Switch to paperless statements for an easy, worry-free statement reminder.

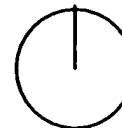
Call 212-344-5747 to find out how.

Legends Securities, Inc.

45 Broadway 32nd Floor

New York, NY 10006

www.legendsecuritiesinc.com



- ☐ CASH
- ☐ BONDS
- ☐ MUTUAL FUNDS
- ☐ STOCKS

ACCOUNT	PERIOD	PAGE
---------	--------	------

<div style="background-color: black; width: 100px; height: 20px;"></div>	March 28, 2015 - April 24, 2015 Last Statement: March 27, 2015	1 of 3
--	---	--------

DANIEL J DRENSON

**ACCOUNT ACTIVITY**

TRADE DATE	SETTLE DATE	ACTIVITY	QTY	SYMBOL	DESCRIPTION	PRICE	AMOUNT	ACCUMULATED BALANCE
------------	-------------	----------	-----	--------	-------------	-------	--------	---------------------

04/09	04/14	BOUGHT	35,000	HTWR	HEARTWARE INTERNATIONAL INC	88.06	-3,082,300.00	-21,231,561.27
-------	-------	--------	--------	------	-----------------------------	-------	---------------	----------------



ACCOUNT	STATEMENT PERIOD	PAGE
	March 28, 2015 - April 24, 2015	2 of 3

PORTFOLIO DETAIL				
ACCOUNT	LONG	SHORT	DESCRIPTION	SYMBOL PRICE VALUE

						12,214,000.00
MARGIN	155,000		HEARTWARE INTERNATIONAL INC	HTWR	78.80	12,214,000.00

DIVIDENDS, DISTRIBUTIONS & INTEREST

CURRENT PERIOD

YTD

ACCOUNT SUMMARY

MARGIN ACCOUNT

OPENING MONEY BALANCE
 CLOSING MONEY BALANCE
 PORTFOLIO VALUE
 ACCOUNT VALUE



ACCOUNT

STATEMENT PERIOD

PAGE

March 28, 2015 - April 24, 2015

3 of 3

Terms and Conditions

GENERAL INFORMATION AND KEY TERMS:

All references to "LSI" in this document refer to the broker-dealer Legend Securities, Inc. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement.

If you receive any other communication from any source other than LSI which purports to represent holdings at LSI (including balances held at a Sweep Bank) you should verify its content with this statement.

Sweep Bank: An FDIC-insured depository institution affiliated with LSI, at which interest-bearing Deposit Accounts are maintained on your behalf.

AIP (Automatic Investment Plan) Customers: LSI receives remuneration in connection with certain transactions effected through LSI. If you participate in a systematic investment program through LSI, the additional information normally detailed on a trade confirmation will be provided upon request.

Latest Price/Price (Investment Detail Section Only): The most recent price evaluation available on the last business day of the statement period, normally the last trade price or bid. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. LSI shall have no responsibility for accuracy or timeliness of any such valuations. Pricing of assets not held at LSI is for information purposes only.

Additional Information:

A financial statement for your inspection is available at LSI's offices or a copy will be mailed to you upon request. Any third party trademarks appearing herein are the property of their respective owners.

(1106-3116) REG24970NRSB-07 (10/11)





ACCOUNT STATEMENT

Retain for your records

Secure, clutter-free, real-time access

Switch to paperless statements for an easy, worry-free statement reminder.

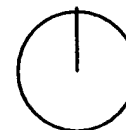
Call 212-344-5747 to find out how.

Legends Securities, Inc.

45 Broadway 32nd Floor

New York, NY 10006

www.legendsecuritiesinc.com

☐ CASH☐ BONDS☐ MUTUAL FUNDS☐ STOCKS

ACCOUNT

PERIOD

PAGE

June 27, 2015 - July 31, 2015

1 of 3

Last Statement: June 26, 2015

DANIEL J DRENSON



ACCOUNT ACTIVITY

TRADE DATE	SETTLE DATE	ACTIVITY	QTY	SYMBOL	DESCRIPTION	PRICE	AMOUNT	ACCUMULATED BALANCE
------------	-------------	----------	-----	--------	-------------	-------	--------	---------------------

07/20	07/23	BOUGHT	40,000	HTWR	HEARTWARE INTERNATIONAL INC	79.49	-3,179,800.00	-19,902,486.27
-------	-------	--------	--------	------	-----------------------------	-------	---------------	----------------



©Legends Securities, Inc. All rights reserved. Member FINRA. LS12440-02(0001-0386) STP10479R2-04 (02/13)

CNBK2101-005679 22935

ACCOUNT	STATEMENT PERIOD	PAGE
	June 27, 2015 - July 31, 2015	2 of 3

PORTFOLIO DETAIL						
ACCOUNT	LONG	SHORT	DESCRIPTION	SYMBOL	PRICE	VALUE
MARGIN	195,000		HEARTWARE INTERNATIONAL INC	HTWR	90.71	17,688,450.00

APPROXIMATE VALUE AS OF CLOSE OF TRADING ON 07/31/2015

DIVIDENDS, DISTRIBUTIONS & INTEREST		
	CURRENT PERIOD	YTD

ACCOUNT SUMMARY

OPENING MONEY BALANCE
CLOSING MONEY BALANCE
PORTFOLIO VALUE
ACCOUNT VALUE

MARGIN ACCOUNT



ACCOUNT

STATEMENT PERIOD

PAGE

June 27, 2015 - July 31, 2015

3 of 3

Terms and Conditions

GENERAL INFORMATION AND KEY TERMS:

All references to "LSI" in this document refer to the broker-dealer Legend Securities, Inc. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement.

If you receive any other communication from any source other than LSI which purports to represent holdings at LSI (including balances held at a Sweep Bank) you should verify its content with this statement.

Sweep Bank: An FDIC-insured depository institution affiliated with LSI, at which interest-bearing Deposit Accounts are maintained on your behalf.

AIP (Automatic Investment Plan) Customers: LSI receives remuneration in connection with certain transactions effected through LSI. If you participate in a systematic investment program through LSI, the additional information normally detailed on a trade confirmation will be provided upon request.

Latest Price/Price (Investment Detail Section Only): The most recent price evaluation available on the last business day of the statement period, normally the last trade price or bid. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. LSI shall have no responsibility for accuracy or timeliness of any such valuations. Pricing of assets not held at LSI is for information purposes only.

Additional Information:

A financial statement for your inspection is available at LSI's offices or a copy will be mailed to you upon request. Any third party trademarks appearing herein are the property of their respective owners.

(1106-3116) REG24970NRSB-07 (10/11)



**ACCOUNT STATEMENT**

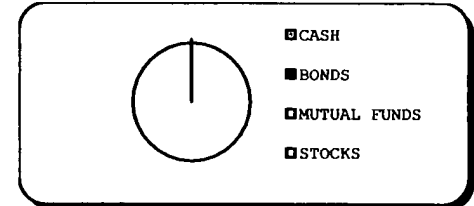
Retain for your records

Secure, clutter-free, real-time access

Switch to paperless statements for an easy, worry-free statement reminder.

Call 212-344-5747 to find out how.

Legends Securities, Inc.
 45 Broadway 32nd Floor
 New York, NY 10006
www.legendsecuritiesinc.com



ACCOUNT	PERIOD	PAGE
---------	--------	------

[REDACTED]

August 29, 2014 - September 25, 2015

1 of 3

Last Statement: August 28, 2015

DANIEL J DRENSON

[REDACTED]

ACCOUNT ACTIVITY

TRADE DATE	SETTLE DATE	ACTIVITY	QTY	SYMBOL	DESCRIPTION	PRICE	AMOUNT	ACCUMULATED BALANCE
---------------	----------------	----------	-----	--------	-------------	-------	--------	------------------------

09/02	09/07	SOLD	65,000	HTWR	HEARTWARE INTERNATIONAL INC	70.87	4,606,350.00	-13,296,083.34
-------	-------	------	--------	------	-----------------------------	-------	--------------	----------------

Non-Standard Assets: All assets shown on this statement, other than certain direct investments which may be held by a third party, are held in your Account. Values of certain non-standard assets may be furnished by a third party as provided in LSI's Non-Standard Asset Custody Agreement. LSI shall have no responsibility for the accuracy or timeliness of such valuations. Assets held by a third party are not covered by SIPC



ACCOUNT	STATEMENT PERIOD	PAGE
	August 29, 2014 - September 25, 2015	2 of 3

PORTFOLIO DETAIL						
ACCOUNT	LONG	SHORT	DESCRIPTION	SYMBOL	PRICE	VALUE

MARGIN	130,000		HEARTWARE INTERNATIONAL INC	HTWR	54.76	7,118,800.00

APPROXIMATE VALUE AS OF CLOSE OF TRADING ON 09/25/2015

DIVIDENDS, DISTRIBUTIONS & INTEREST		
	CURRENT PERIOD	YTD

ACCOUNT SUMMARY

OPENING MONEY BALANCE
 CLOSING MONEY BALANCE
 PORTFOLIO VALUE
 ACCOUNT VALUE

MARGIN ACCOUNT

August 29, 2014 - September 25, 2015

3 of 3

Terms and Conditions

GENERAL INFORMATION AND KEY TERMS:

All references to "LSI" in this document refer to the broker-dealer Legend Securities, Inc. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement.

If you receive any other communication from any source other than LSI which purports to represent holdings at LSI (including balances held at a Sweep Bank) you should verify its content with this statement.

Sweep Bank: An FDIC-insured depository institution affiliated with LSI, at which interest-bearing Deposit Accounts are maintained on your behalf.

AIP (Automatic Investment Plan) Customers: LSI receives remuneration in connection with certain transactions effected through LSI. If you participate in a systematic investment program through LSI, the additional information normally detailed on a trade confirmation will be provided upon request.

Latest Price/Price (Investment Detail Section Only): The most recent price evaluation available on the last business day of the statement period, normally the last trade price or bid. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. LSI shall no responsibility for accuracy or timeliness of any such valuations. Pricing of assets not held at LSI is for information purposes only.

Additional Information:

A financial statement for your inspection is available at LSI's offices or a copy will be mailed to you upon request. Any third party trademarks appearing herein are the property of their respective owners.

(1106-3116) REG24970NRSB-07 (10/11)

**ACCOUNT STATEMENT**

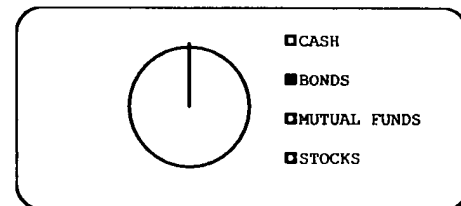
Retain for your records

Secure, clutter-free, real-time access

Switch to paperless statements for an easy, worry-free statement reminder.

Call 212-344-5747 to find out how.

Legends Securities, Inc.
 45 Broadway 32nd Floor
 New York, NY 10006
www.legendsecuritiesinc.com



ACCOUNT	PERIOD	PAGE
---------	--------	------

[REDACTED]	March 26, 2016 - April 22, 2016	1 of 3
------------	---------------------------------	--------

Last Statement: March 25, 2016

DANIEL J DRENSON

ACCOUNT ACTIVITY								
TRADE DATE	SETTLE DATE	ACTIVITY	QTY	SYMBOL	DESCRIPTION	PRICE	AMOUNT	ACCUMULATED BALANCE

MARGIN ACCOUNT OPENING BALANCE

03/28	03/31	SOLD	40,000	HTWR	HEARTWARE INTERNATIONAL INC	30.45	1,217,800.00	-18,104,644.77
-------	-------	------	--------	------	-----------------------------	-------	--------------	----------------



ACCOUNT	STATEMENT PERIOD	PAGE
[REDACTED]	March 26, 2016 - April 22, 2016	2 of 3

PORTFOLIO DETAIL						
ACCOUNT	LONG	SHORT	DESCRIPTION	SYMBOL	PRICE	VALUE

[REDACTED]						
------------	--	--	--	--	--	--

MARGIN	90,000		HEARTWARE INTERNATIONAL INC	HTWR	34.31	3,087,900.00
--------	--------	--	-----------------------------	------	-------	--------------

[REDACTED]						
------------	--	--	--	--	--	--

APPROXIMATE VALUE AS OF CLOSE OF TRADING ON 04/22/2016

DIVIDENDS, DISTRIBUTIONS & INTEREST		
	CURRENT PERIOD	YTD

[REDACTED]		
------------	--	--

ACCOUNT SUMMARY

OPENING MONEY BALANCE
 CLOSING MONEY BALANCE
 PORTFOLIO VALUE
 ACCOUNT VALUE

MARGIN ACCOUNT

[REDACTED]



March 26, 2016 - April 22, 2016

3 of 3

Terms and Conditions

GENERAL INFORMATION AND KEY TERMS:

All references to "LSI" in this document refer to the broker-dealer Legend Securities, Inc. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement.

If you receive any other communication from any source other than LSI which purports to represent holdings at LSI (including balances held at a Sweep Bank) you should verify its content with this statement.

Sweep Bank: An FDIC-insured depository institution affiliated with LSI, at which interest-bearing Deposit Accounts are maintained on your behalf.

AIP (Automatic Investment Plan) Customers: LSI receives remuneration in connection with certain transactions effected through LSI. If you participate in a systematic investment program through LSI, the additional information normally detailed on a trade confirmation will be provided upon request.

Daniel Drenson

FIRST CLASS

HeartWare International, Inc. Securities Litigation
c/o Analytics Consulting
P.O. Box 2003
Chanhasen, MN 55317-2003



1024



55317

Exhibit B-9

In re HeartWare International, Inc. Securities Litigation
c/o Analytics Consulting
P.O. Box 2003
Chanhassen, MN 55317-2003

DANIEL DRENSON


NOTICE OF REJECTION OF CLAIM

DATE: October 10, 2019
RE: *In re HeartWare International, Inc. Securities Litigation*

CLAIM NUMBER: 1012435
DANIEL DRENSON

RESPONSE DEADLINE: October 30, 2019

Dear Claimant:

We have processed the Proof of Claim and Release Form (“Claim”) that you submitted in connection with the settlement achieved in the above-noted litigation. Your Claim, based on our review, is ineligible for a recovery for the reason(s) listed below. Please note that some reasons for ineligibility are curable. To resolve the identified curable condition(s) of ineligibility, please follow the instructions below.

In order for this Claim to be eligible, the identified curable conditions of ineligibility must be resolved, and the Claim must then calculate to a Recognized Claim under the Court-approved Plan of Allocation. Please include a copy of this notice with your response. **If you fail to respond by the response deadline printed above, or if your response fails to cure the condition(s) identified below, your Claim will be rejected in its entirety. Please note that this is the only notice you will receive with respect to this Claim.**

Inadequate Documentation for Entire Claim: This Claim did not include any documentation to support the information you provided, or the documentation previously provided was deemed inadequate or incomplete.

How to Resolve: To resolve this deficiency, please submit acceptable supporting documentation from an independent third party broker-dealer or other financial institution. Examples of acceptable supporting documentation include securities brokers’ confirmation slips, month-end and year-end account statements, or similar documentation. Self-generated documents are not acceptable. ***Do not merely resubmit the same documentation that you previously submitted.***

Failure to Ascertain Beneficial Owner: The Claims Administrator is unable to independently validate and verify the identity of the Beneficial Owner.

How to Resolve: To resolve this deficiency, please submit acceptable documentation supporting the identification and validation of the identities of the Beneficial Owners and signatories associated with this claim.

1. Please provide copies of at least one of the following documents for all signatories associated with this claim:
 - a. A passport, or
 - b. Driving license that bears a photograph.

Please Note: This request for documentation may be supplemented based on the responses received.

Claims that are not cured by the response deadline above will be rejected. If you believe your Claim has been rejected in error, you may contact us for assistance and/or request Court review of our determination. To request Court review of your Claim, you must send us a signed written statement that: (a) states your reasons for contesting the rejection of this Claim, along with any and all documentation supporting your argument(s); (b) specifically states that you “request that the Court review the rejection of this Claim”; and (c) includes a copy of this notice and is postmarked no later than the response deadline set forth above. If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court (with financial account numbers and certain other information redacted). Please note: Court review should only be sought if you disagree with our determination about this Claim.

If you have any questions about this notice or if you want to confirm the status of your Claim after you submit a response to this notice, please contact us at 1-866-710-9044 or email us at info@HeartWareSecuritiesLitigation.com. Please reference the Claim number listed above in any communication. If you would like to view or download the Settlement Notice (which contains the Plan of Allocation outlining Claim eligibility), you may do so by visiting <https://heartwaresecuritieslitigation.com/>.

Very truly yours,

Analytics Consulting
Claims Administrator

Exhibit B-10

From: Private Sector Settlements - Info <info@heartwaresecuritieslitigation.com>
Sent: Tuesday, October 29, 2019 1:52 PM
To: [REDACTED] <[\[REDACTED\]@analyticsllc.com](mailto:[REDACTED]@analyticsllc.com)>
Subject: Fwd: Heartware Securities Litigation-RESPONSE REQUIRED

On Mon, 28 Oct at 7:50 AM , Daniel Drenson [REDACTED] > wrote:
Per your request, please the the attached information regarding claim # 1012435.

Daniel Drenson


----- Forwarded message -----

From: **Private Sector Settlements - Info** <info@heartwaresecuritieslitigation.com>
Date: Thu, Oct 10, 2019 at 7:08 AM
Subject: Heartware Securities Litigation-RESPONSE REQUIRED
[REDACTED]

Dear Claimant,

Please see the attached regarding the claims you filed in the Heartware Securities Litigation.

Sincerely,
Office of the Claims Administrator
Heartware Securities Litigation

 **CALIFORNIA** USA **DRIVER LICENSE**

DL [REDACTED]

EXP [REDACTED]

CLASS C
END NONE

LN **DRENSON**
FN **DANIEL JACOB**
[REDACTED]

DOB [REDACTED]

RSTR [REDACTED]

[REDACTED]

SEX [REDACTED] HA [REDACTED] EYES [REDACTED]

HGT [REDACTED] WGT [REDACTED]

DD [REDACTED]

IDBS [REDACTED]



Legends Securities, Inc.
45 Broadway 32nd Floor
New York, NY 10006
www.legendsecuritiesinc.com

TEL: 212-344-5747

Confirmation for Account # 6927-1131

DANIEL J DRENSON



You bought 25,000 at a price of \$90.27
HEARTWARE INTERNATIONAL INC
Symbol: HTWR - CUSIP 422368100
CONFIRM # 007196709
Exchange: NASDAQ
Trade Date: 06/20/14
Settlement Date: 06/25/14

Gross Amount	\$2,256,750.00
Commission	\$200.00
Amount	\$2,256,950.00



As a reminder, payments for securities purchased, or delivery of securities sold,
must be deposited by Settlement Date.
See reverse for further details. Thank you for your business.



Legends Securities, Inc.
45 Broadway 32nd Floor
New York, NY 10006
www.legendsecuritiesinc.com

TEL:212-344-5747

Confirmation for Account # [REDACTED]



You bought 35,000 at a price of \$88.13
HEARTWARE INTERNATIONAL INC
Symbol: HTWR - CUSIP 422368100
CONFIRM # 007200201
Exchange: NASDAQ
Trade Date: 07/22/14
Settlement Date: 07/25/14

Gross Amount	\$3,084,550.00
Commission	\$200.00
Amount	\$3,084,750.00



As a reminder, payment for securities purchased, or delivery of securities sold,
must be deposited by Settlement Date.
See reverse for further details. Thank you for your business.

**Legends Securities, Inc.**

45 Broadway 32nd Floor

New York, NY 10006

www.legendsecuritiesinc.com

TEL:212-344-5747

Confirmation for Account # [REDACTED]

DANIEL J DRENSON

FINRA

You bought 35,000 at a price of \$87.83

HEARTWARE INTERNATIONAL INC

Symbol: HTWR - CUSIP 422368100

CONFIRM # 007221236

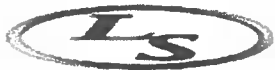
Exchange: NASDAQ

Trade Date:02/18/15

Settlement Date: 02/23/15

Gross Amount	\$3,074,050.00
Commission	\$200.00
Amount	\$3,074,250.00





Legends Securities, Inc.
45 Broadway 32nd Floor
New York, NY 10006
www.legendsecuritiesinc.com

TEL:212-344-5747

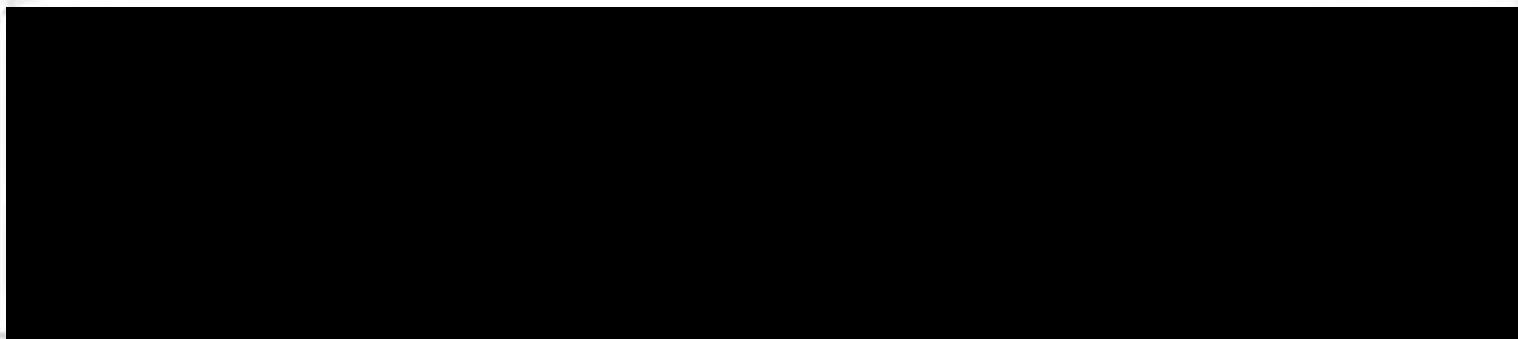
Confirmation for Account # [REDACTED]

DANIEL J DRENSON
[REDACTED]



You bought 35,000 at a price of \$88.06
HEARTWARE INTERNATIONAL INC
Symbol: HTWR - CUSIP 422368100
CONFIRM # 007228347
Exchange: NASDAQ
Trade Date: 04/09/15
Settlement Date: 04/14/15

Gross Amount	\$3,082,100.00
Commission	\$200.00
Amount	\$3,082,300.00



As a reminder, payments for securities purchased, delivery of securities sold,
must be deposited by Settlement Date.
See reverse for further details. Thank you for your business.





Legends Securities, Inc.
 45 Broadway 32nd Floor
 New York, NY 10006
www.legendsecuritiesinc.com

TEL:212-344-5747

Confirmation for Account # [REDACTED]

DANIEL J DRENSON
 [REDACTED]



You bought 40,000 at a price of \$79.49
 HEARTWARE INTERNATIONAL INC
 Symbol: HTWR - CUSIP 422368100
 CONFIRM # 007234406
 Exchange: NASDAQ
 Trade Date: 07/20/15
 Settlement Date: 07/23/15

Gross Amount	\$3,179,600.00
Commission	\$200.00
Amount	\$3,179,800.00

As a reminder, payment for securities purchased, or delivery of securities sold,
 must be deposited by Settlement Date.
 See reverse for further details. Thank you for your business.





Legends Securities, Inc.
 45 Broadway 32nd Floor
 New York, NY 10006
www.legendsecuritiesinc.com

TEL: 212-344-5747

Confirmation for Account # [REDACTED]

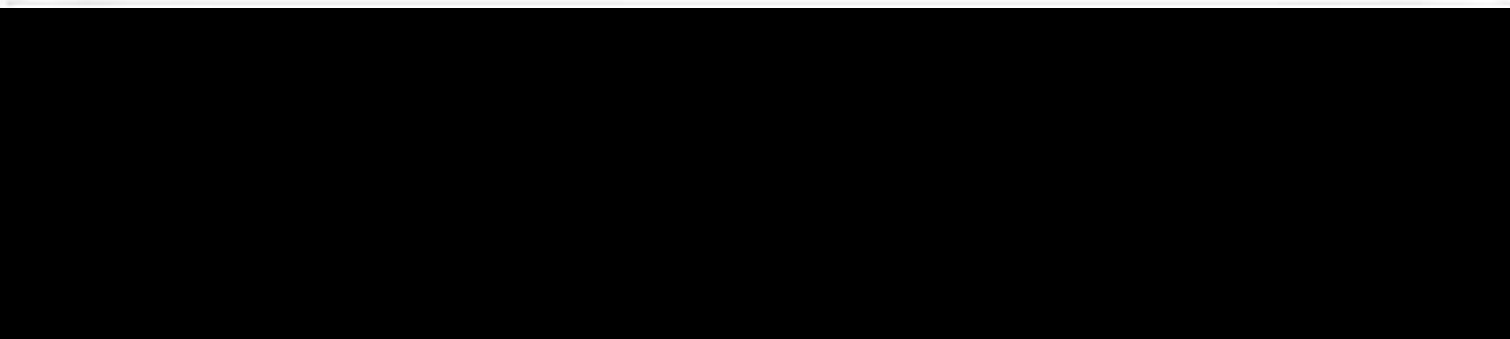
DANIEL J DRENSON
 [REDACTED]



You sold 65,000 at a price of \$70.87
 HEARTWARE INTERNATIONAL INC
 Symbol: HTWR - CUSIP 422368100
 CONFIRM # 007238988
 Exchange: NASDAQ
 Trade Date: 09/02/15
 Settlement Date: 09/07/15

Gross Amount	\$4,606,550.00
Commission	-\$200.00
Amount	\$4,606,350.00

Instructions: HOLD PROCEEDS



As a reminder, payment for securities purchased, or delivery of securities sold,
 must be deposited by ⁷⁸Settlement Date.
 See reverse for further details. Thank you for your business.



Legends Securities, Inc.
 45 Broadway 32nd Floor
 New York, NY 10006
www.legendsecuritiesinc.com

TEL:212-344-5747

Confirmation for Account # [REDACTED]

DANIEL J DRENSON
 [REDACTED]



You sold 40,000 at a price of \$30.45
 HEARTWARE INTERNATIONAL INC
 Symbol: HTWR - CUSIP 422368100
 CONFIRM # 007260092
 Exchange: NASDAQ
 Trade Date: 03/28/16
 Settlement Date: 03/31/16

Gross Amount	\$1,218,000.00
Commission	-\$200.00
Amount	\$1,217,800.00

Instructions: HOLD PROCEEDS



As a reminder, payment for securities purchased, or securities sold,
 must be deposited by Settlement Date.
 See reverse for further detail. Thank you for your business.

Exhibit B-11

In re HeartWare International, Inc. Securities Litigation
c/o Analytics Consulting
P.O. Box 2003
Chanhassen, MN 55317-2003

DANIEL DRENSON


NOTICE OF REJECTION OF CLAIM

DATE: November 13, 2019
RE: *In re HeartWare International, Inc. Securities Litigation*

CLAIM NUMBER: 1012435
DANIEL DRENSON

RESPONSE DEADLINE: November 22, 2019

Dear Claimant:

We have processed the Proof of Claim and Release Form ("Claim") that you submitted in connection with the settlement achieved in the above-noted litigation. Your Claim, based on our review, is ineligible for a recovery for the reason(s) listed below.

Inadequate Documentation for Entire Claim: The documentation provided to support this claim has been deemed inadequate.

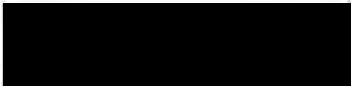
If you believe your Claim has been rejected in error, you may request Court review of our determination. To request Court review of your Claim, you must send us a signed written statement that: (a) states your reasons for contesting the rejection of this Claim, along with any and all documentation supporting your argument(s); (b) specifically states that you "request that the Court review the rejection of this Claim"; and (c) includes a copy of this notice and is postmarked no later than the response deadline set forth above. If the dispute concerning your Claim cannot be resolved, your Claim will be presented to the Court for review, which may include public filing of your Claim and supporting documentation with the Court (with financial account numbers and certain other information redacted). Please note: Court review should only be sought if you disagree with our determination about this Claim.

If you have any questions about this notice please contact us at 1-866-710-9044 or email us at info@HeartWareSecuritiesLitigation.com. Please reference the Claim number listed above in any communication.

Very truly yours,

Analytics Consulting
Claims Administrator

Exhibit B-12


November 21, 2019

Analytics Consulting
PO Box 2003
Chanhassen, MN 55317-2003

Dear 

Please accept this letter as my formal request to contest the determination of claim # 1012435 (Heartware International, Inc. Securities Litigation)

I am perplexed as to why my claim is being denied. In what way are my documentation deemed inadequate?

I have provided Analytics Consulting all the supporting paperwork as per the instructions on both the claim form, as well as the rejection letter.

I would like to officially request that the Court review the rejection of this Claim.

I hope I don't have resubmit all the documentation that I've already submitted.

Regards,


Daniel Drenson

Exhibit B-13

Trade Analysis

Trades Claimed in Claim 1012435						Market Activity - HeartWare						
Trade Date	Settlement Date	Trade	Shares	Price	Gross Amount	ate	en	i	o	lose	ol me	of ol me
6/20/2014	6/25/2014	BOT	25,000	\$90.27	\$2,256,750	6/20/2014	\$90.92	\$91.87	\$90.27	\$91.65	219,651	11.38%
7/22/2014	7/25/2014	BOT	35,000	\$88.13	\$3,084,550	7/22/2014	\$89.18	\$90.61	\$88.13	\$89.42	196,463	17.82%
2/18/2015	2/23/2015	BOT	35,000	\$87.83	\$3,074,050	2/18/2015	\$88.20	\$90.43	\$87.83	\$89.87	146,094	23.96%
4/9/2015	4/14/2015	BOT	35,000	\$88.06	\$3,082,100	4/9/2015	\$88.25	\$90.94	\$88.06	\$90.92	241,259	14.51%
7/20/2015	7/23/2015	BOT	40,000	\$79.49	\$3,179,600	7/20/2015	\$77.76	\$79.49	\$76.95	\$79.17	411,260	9.73%
9/2/2015	9/7/2015	SOLD	(65,000)	\$70.87	(\$4,606,550)	9/2/2015	\$70.21	\$70.87	\$61.52	\$64.82	4,356,964	1.49%
3/28/2016	3/31/2016	SOLD	(40,000)	\$30.45	(\$1,218,000)							

Exhibit B-14

In re HeartWare International, Inc. Securities Litigation
c/o Analytics Consulting
P.O. Box 2003
Chanhassen, MN 55317-2003

DANIEL DRENSON


NOTICE OF REJECTION OF CLAIM

DATE: **January 23, 2020**
RE: *In re HeartWare International, Inc. Securities Litigation*
CLAIM NUMBER: **1012435**
DANIEL DRENSON

RESPONSE DEADLINE: **January 30, 2020**

Dear Claimant:

We have received and processed the Proof of Claim and Release Form ("Claim Form"), as well as the supporting and supplemental documentation, that you provided in connection with the above-referenced Claim in the settlement of *In re HeartWare International, Inc. Securities Litigation*, Case No. 1:16-cv-00520-RA (S.D.N.Y.).

We continue to adhere to our determination, based on our review of the Claim Form and the documentation provided, that your Claim will be rejected. This is because the documentation you submitted contains irregularities, and, therefore, does not meet the standards necessary to validate your claim. These irregularities include, but are not limited to, the following:

- Inconsistencies in Broker-Dealer Name. The logo and footer included on the monthly statements and trade confirmations list the broker-dealer as "Legends Securities, Inc." However, the Terms and Conditions page refers to the broker-dealer as "Legend Securities, Inc.", which is consistent with the entity name registered with FINRA.
- Inconsistencies in Broker-Dealer Website. The account statements you provided lists Legends Securities, Inc.'s website both as www.legendsecuritiesinc.com and www.legendsscuritiesinc.com. Legend Securities, Inc. operated under neither of those domain names.
- Errors in Trade Confirmation statements. Trade Confirmation statements contain various typographical errors. Additionally, the trade information listed on the confirmations is unreliable.

Please note we are in the process of notifying the appropriate law enforcement authorities about these issues.

You previously requested Court review of the rejection of your Claim which will now be presented to the Court. All of the information you provided to us will be submitted to the Court, including the basis for the rejection of your Claim. If you wish to retract your request to have your Claim presented to the Court as a Disputed Claim, you must do so in writing by January 30, 2020.

If you have any questions about this notice please contact us at 1-866-710-9044 or email us at info@HeartWareSecuritiesLitigation.com. Please reference the Claim number listed above in any communication.

Very truly yours,

Analytics Consulting
Claims Administrator