

RG/2 ELECTRONIC FILING REQUIREMENTS AOI SECURITIES LITIGATION

1. **Signed Master Proof of Claim** and release must be submitted with electronic file covering all the accounts included on the file.
2. **Cover Letter** specifying case name, number of accounts and number of lines included on the file, contact name including phone number and e-mail address, wording indicating the company attests to the truth and accuracy of the information on the file, and an authorized signature.
3. **Proof of Authority** indicating that the company is authorized to sign on behalf of its clients and that the signor of the claim is authorized to sign on behalf of the company submitting the file.
4. **Electronic File** in excel format. This file may be sent on either on a CD-rom marked with the company's name and the name of the litigation or sent via e-mail to info@rg2claims.com or tchiango@rg2claims.com. An original Proof of Claim must be submitted through the mail.
5. There should be 3 tabs on the Excel file as follows:

First Tab – Labeled Common Stock

COLUMN	FIELD	DESCRIPTION
A	Claimant #	Client's, account's or beneficial owner's account #
B	Tax ID	Social security number or Tax ID number of client
C	Care of	Name of company submitting the file
D	Company	Name of client, account, or beneficial owner
E	Account Type	Individual, Joint, Partnership, Estate, Corporation, Trust, IRA Account, Other
F	Address Line 1	
G	Address Line 2	
H	City	
I	State	
J	Zip Code	
K	Foreign Province	
L	Foreign Country	
M	Work Phone	
N	Home Phone	
O	Email	
P	Stock Ticker (AAOI)	
Q	Beginning Share Balance (as of the opening of trading on 2/23/2017)	
R	Ending Share Balance 1 (as of the close of trading on 02/21/2018)	
S	Total shares Purchases/Acquired between 2/22/2018 – 5/22/18	
T	Ending Share Balance 2 (as of the close of trading on 05/22/2018)	
U	Transaction Type	P=Purchases During Class Period (2/23/17 – 2/21/2018) S=Sales During Extended Class Period (2/23/17 – 5/22/2018)* R=Free Receipt** D=Free Delivery**
V	Trade Date	
W	# of Shares	
X	Price per Share	
Y	Total Price (excluding taxes, commissions and fees)	

* Includes the 90-day lookback period

**Free Receipt/Free Delivery Shares:

If shares were transferred between accounts, the account that owned the shares most recently, or sold the shares, should be the account claiming the purchases. The purchases should NOT be included on both accounts. If the shares were for the same beneficial owner, the accounts should be combined and included on the most recent account name and number.

If no further information can be provided on the free receipt/free delivery shares, and the number of shares are being provided for balancing purposes only, please note that these transactions will NOT be eligible and will be excluded from the damage calculations of the claim.

Second Tab – Labeled Call Options

COLUMN	FIELD	DESCRIPTION
A	Claimant #	Client’s, account’s or beneficial owner’s account #
B	Transaction Type	B=Beginning (as of the opening of trading on 2/23/2017) P=Purchases During Class Period (2/23/17 – 2/21/2018) S=Sales During Extended Class Period (2/23/17 – 5/22/2018)* E=Ending (positions as of close on 5/22/2018)
C	Trade Date (not needed for beg and ending)	
D	Strike Price of Call Option	
E	Expiration Date of call (month/day/year)	
F	Option Class Symbol	
G	Number of Call Option Contracts	
H	Price Per Call (excluding taxes, commissions and fees) (not needed for beg and ending)	
I	Exercised (“ E ”); Assigned (“ A ”); or Expired (“ X ”)	
J	Exercise Date (month/day/year)	

Third Tab – Labeled Put Options

COLUMN	FIELD	DESCRIPTION
A	Claimant #	Client’s, account’s or beneficial owner’s account #
B	Transaction Type	B=Beginning (as of the opening of trading on 2/23/2017) P=Purchases During Extended Class Period (2/23/17 – 5/22/2018)* S=Sales (Writing) During Extended Class Period (2/23/17 – 5/22/2018)* E=Ending (positions as of close on 5/22/2018)
C	Trade Date (not needed for beg and ending)	
D	Strike Price of Put Option	
E	Expiration Date of Put (month/day/year)	
F	Option Class Symbol	
G	Number of Put Option Contracts	
H	Price Per Put (excluding taxes, commissions and fees) (not needed for beg and ending)	
I	Exercised (“ E ”); Assigned (“ A ”); or Expired (“ X ”)	
J	Exercise Date (month/day/year)	