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13 *Class Counsel for Lead Plaintiffs Julia Junge and*
 14 *Richard Junge and the Class*

15 **UNITED STATES DISTRICT COURT**
NORTHERN DISTRICT OF CALIFORNIA
 16 **SAN FRANCISCO DIVISION**

17 JULIA JUNGE and RICHARD JUNGE, on
 behalf of themselves and a class of similarly
 18 situated investors,
 19 Plaintiffs,
 20 v.
 21 GERON CORPORATION and JOHN A.
 SCARLETT,
 22 Defendants.

Case No. 3:20-cv-00547-WHA (DMR)

Class Action
 (Consolidated with Case No. 3:20-cv-
 01163-WHA)

(Related to Case No. 3:20-cv-02823-WHA;
 3:22-mc-80051-WHA)

**LEAD PLAINTIFFS' RESPONSE TO
 LETTER BY JOSE VELAZQUEZ (ECF
 No. 59 filed in 3:22-mc-80051-WHA)**

Judge: Hon. William H. Alsup
 Courtroom: 12, 19th Floor
 Date: March 30, 2023
 Time: 11:00 a.m.

1 On March 24, 2023, a letter from Jose Velazquez concerning the Settlement was filed in
2 Case No. 3:22-mc-80051-WHA (which is related to the lead action, 20-cv-547), as ECF No. 59
3 (“Velazquez Letter”). Lead Plaintiffs respond to the Velazquez Letter as follows.

4 **A. The Velazquez Letter is Untimely**

5 To the extent the Velazquez Letter is meant to be an objection, it is untimely as the deadline
6 to file objections expired at midnight, Pacific Time, on March 9, 2023, and therefore, it should be
7 rejected as untimely.¹ The Velazquez Letter is dated March 10, 2023, was mailed on March 14,
8 2023, and received by the Court on March 20, 2023. *See* Velazquez Letter, ECF No. 59 in Case No.
9 3:22-mc-80051-WHA.²

10 **B. Mr. Velazquez Incurred No Recognized Loss under the Plan of Allocation and**
11 **Has a Gain as a Result of His Purchase of Geron Common Stock during the**
12 **Class Period**

13 Under the proposed Plan of Allocation for the Settlement, Mr. Velazquez’s claim results in
14 zero Recognized Loss based upon the transactional records submitted with his claim. Mr. Velazquez
15 purchased 250 shares of Geron Corporation common stock during the Class Period and sold all of
16 them before the alleged corrective disclosure on September 27, 2018, *for a gain of \$432*, as reflected
17 in the chart below:

TRADE DATE	BUY/SELL	QUANTITY	PRICE PER SHARE	Total Price
4/23/2018	BUY	250	\$3.80	\$950.00
8/29/2018	SELL	250	\$5.53	\$1,382.00

20 \$432.00

21 Because Mr. Velazquez sold all of his shares of Geron common stock on August 29, 2018,
22 before the end of the Class Period, and had no additional holdings of Geron common stock
23

24 ¹ *See* Declaration of Jeffrey P. Campisi in Support of Motion for Final Approval of Settlement and
25 Plan of Allocation and in Support of Lead Counsel’s Motion for an Award of Attorneys’ Fees,
26 Reimbursement of Litigation Expenses and Award to Lead Plaintiffs for Lost Wages under 15
U.S.C. § 78u-4(a)(4), dated February 2, 2023 (ECF No. 262-5) (the “2/2/23 Campisi Decl.”), at
Exhibit E (the “Settlement Notice”) at pages 3, 15-16.

27 ² Mr. Velazquez mailed his claim to the Claims Administrator on or around December 21, 2022.
28 *See* Declaration of Jessie Mahn Regarding Letter from Jose Velazquez, ¶16 (the “3/27/23 Mahn Decl.
Re: Velazquez”), filed concurrently herewith.

1 purchased during the Class Period, he has no loss attributable to the alleged fraud.³ Under the U.S.
 2 Supreme Court’s decision in *Dura Pharms., Inc. v. Broudo*, 544 U.S. 336 (2005), an investor who
 3 purchases and sells before a corrective disclosure, does not have a cognizable loss under Section
 4 10(b) of the Securities Exchange Act of 1934. 544 U.S. at 342 (“Shares are normally purchased
 5 with an eye toward a later sale. But if, say, the purchaser sells the shares quickly before the relevant
 6 truth begins to leak out, the misrepresentation will not have led to any loss.”).

7 **C. Mr. Velazquez’s Seeks an Unwarranted Bounty and a Distribution of the Net**
 8 **Settlement Fund That Is Not *Pro Rata***

9 Mr. Velazquez’s request that he and members of the Class should be paid \$5,000-\$10,000
 10 should be rejected out of hand. *See* ECF No. 59 in Case No. 3:22-mc-80051-WHA. The untimely
 11 Velazquez Letter does not cite any legal authority or facts for such a random distribution. Moreover,
 12 there is no legal or factual basis for such a payment to him considering that he sold all of his Geron
 13 common stock at inflated prices before the end of the Class Period for an overall **gain of \$645.66**
 14 and that he otherwise was not involved in the prosecution of the Action.

15 The goal of the Plan of Allocation is to provide a *pro rata* distribution to members of the
 16 Class based upon submission of valid claims, depending upon the timing of purchases and sales of
 17 Geron common stock, the claims certified in the Action, and the theories of liability. The Court has
 18 found that plans of allocation that provide for a *pro rata* distribution are fair and reasonable. *See*
 19 *e.g. Luna v. Marvell Tech. Group*, No. C 15-05447 WHA, 2018 WL 1900150, at *3 (N.D. Cal. Apr.
 20 20, 2018) (Alsup, J.) (plan of allocation is fair and reasonable where it provides a pro rata share of
 21 settlement fund tied to submission of an acceptable proof of claim that permits “recover[y of]
 22 settlement funds depending on when during the class period [shareholder] bought Marvell stock and
 23 whether they sold their shares.”); *SEB Investment Management AB v. Symantec Corp.*, No. C 18-
 24 02902 WHA, 2022 WL 409702, at *5 (N.D. Cal. Feb. 10, 2022) (Alsup, J.) (stating plan of allocation
 25 that is “tied directly to the certified claims and theories of liability” is fair, reasonable and adequate
 26 _____

27 ³ Mr. Velazquez purchased 120 shares of Geron common stock **before** the Class Period at a cost of
 28 \$235.14 and sold all of them during the Class Period (on April 19, 2018) at a time when Geron’s
 stock price was allegedly inflated as a result of the alleged fraud, for proceeds of \$448.80 and a **gain**
 of \$213.66. *See* 3/27/23 Mahn Decl. Re: Velazquez, ¶¶12-13 and Exhibit A thereto.

1 and treats class members equitably relative to each other.). The Plan of Allocation here would
2 distribute the Net Settlement Fund on a *pro rata* basis. See ECF No. 262-5, Exhibit E (the
3 “Settlement Notice”) at pages 11-14 and ¶58 (the Plan of Allocation “generally measures the amount
4 of loss that Authorized Claimants can claim for purposes of making *pro rata* allocations of the
5 Settlement proceeds. . . . The calculations made pursuant to the Plan of Allocation are only a method
6 to weigh the claims of Authorized Claimants against one another for purpose of making *pro rata*
7 allocations of the Settlement proceeds.”).

8 Mr. Velazquez’s request for a payment, despite having no Recognized Loss under the Plan
9 of Allocation, and having made money on his transactions in Geron common stock, should be
10 denied.

11 DATED: March 27, 2023

Respectfully submitted,

12 **KAPLAN FOX & KILSHEIMER LLP**

13 By: /s/ Jeffrey P. Campisi

Jeffrey P. Campisi

14 Robert N. Kaplan (admitted *pro hac vice*)

15 Jeffrey P. Campisi (admitted *pro hac vice*)

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 16 **NORTHERN DISTRICT OF CALIFORNIA**
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17 JULIA JUNGE and RICHARD JUNGE, on
 behalf of themselves and a class of similarly
 18 situated investors,

19 Plaintiffs,

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21 GERON CORPORATION and JOHN A.
 SCARLETT,

22 Defendants.

Case No. 3:20-cv-00547-WHA (DMR)

Class Action
 (Consolidated with Case No. 3:20-cv-
 01163-WHA)

(Related to Case No. 3:20-cv-02823-WHA;
 3:22-mc-80051-WHA)

**DECLARATION OF JESSIE MAHN
 REGARDING LETTER BY JOSE
 VELAZQUEZ (ECF No. 59 filed in 3:22-
 mc-80051-WHA)**

Judge: Hon. William H. Alsup
 Courtroom: 12, 19th Floor
 Date: March 30, 2023
 Time: 11:00 a.m.

1 I, Jessie Mahn, declare as follows:

2 1. I am a Project Manager employed by Epiq Class Action & Claims Solutions, Inc.
3 (“Epiq”). Pursuant to the Court’s October 17, 2022, Order Setting Schedule in Advance of March
4 30, 2023, Settlement Fairness Hearing (ECF No. 259) (the “Scheduling Order”), Epiq was retained
5 to act as the Claims Administrator for the Settlement in the above-captioned action (the “Action”).¹
6 I have personal knowledge of the following facts, and if called upon to testify, could and would
7 testify competently thereto.

8 2. Objections to the Settlement were due by midnight, Pacific Time, on March 9, 2023.
9 *See* Declaration of Jeffrey P. Campisi in Support of Motion for Final Approval of Settlement and
10 Plan of Allocation and in Support of Lead Counsel’s Motion for an Award of Attorneys’ Fees,
11 Reimbursement of Litigation Expenses and Award to Lead Plaintiffs for Lost Wages under 15
12 U.S.C. § 78u-4(a)(4), dated February 2, 2023 (ECF No. 262-5), at Exhibit E (the “Settlement
13 Notice”) at pages 3, 15-16.

14 3. As detailed in the Settlement Notice at pages 15-16, and ¶84, as consistent with the
15 August 4, 2022 Procedural Guidance for Class Action Settlements, available on the Court’s website:

16 To object, the Court must receive your written objection, together with copies of all
17 other papers and briefs supporting the objection, by no later than March 9, 2023 at
18 midnight Pacific Time (the “Objection Deadline”). You have three options (“Filing
19 Options”) to meet the Objection Deadline, you may file the objections electronically
20 on the docket for the Action, you may visit any location of the Court during business
21 hours of the Clerk’s Office to file the objections (the hours and locations are available
22 at <https://cand.uscourts.gov>), or you may mail (postmarked by the Objection Deadline)
23 a copy of the objections to the Clerk’s Office at the United States District Court for
24 the Northern District of California at this Address [providing the mailing address].

25 4. On March 24, 2023, a letter from Jose Velazquez (“Velazquez”) concerning the
26 Settlement pending in the Action (the “Velazquez Letter”) was filed in Case No. 3:22-mc-80051-
27 WHA, which is a case related to the Action, as ECF No. 59.

28 ¹ Capitalized terms that are not otherwise defined herein shall have the same meaning as set forth in
the Stipulation and Agreement of Settlement dated September 2, 2022, (the “Stipulation” or
“Settlement”) (ECF No. 247).

1 5. To the extent the Velazquez Letter is meant to be an objection, it is untimely as it is
2 dated March 10, 2023, a post-office meter stamp indicates payment for postage on March 14, 2023,
3 and a stamp indicates that it was received by the Court on March 20, 2023.

4 6. Based upon a review of Epiq’s records for this Action, Epiq received an executed
5 Proof of Claim and Release Form (a “Submitted Claim”) from Mr. Velazquez (received on
6 December 29, 2022, and postmarked December 21, 2022) and mailed him a postcard to notify of
7 the receipt of same on January 13, 2023 (the “Postcard”). As indicated in the Postcard, it is only a
8 notice of receipt of the Submitted Claim, not a representation that the Submitted Claim is valid, that
9 the submitting person has a Recognized Loss or indeed is a Class Member.

10 7. A true and correct copy of Mr. Velazquez’s Submitted Claim, internally number by
11 Epiq as Claim No. 690, is attached hereto as Exhibit A.

12 8. Epiq has redacted from Exhibit A only of trades in securities other than Geron
13 Corporation common stock (“Geron”) and other personal identifying information or financial
14 information not relevant to the Submitted Claim.

15 9. A true and correct copy of the Postcard sent by Epiq to Mr. Velazquez is attached as
16 Exhibit B.

17 10. Under the proposed Plan of Allocation for the Settlement, Mr. Velazquez’s
18 Submitted Claim reflects that he has zero Recognized Loss based upon the trading documented in
19 his Submitted Claim. As stated in the Plan of Allocation (set forth in the Settlement Notice at ¶62):

20 62. For each share of Geron common stock purchased from March 19, 2018, through
21 and including September 26, 2018, and:

22 A. Sold before September 27, 2018, the Recognized Loss Amount for each such
23 share shall be zero.

24 11. The Settlement Notice also states at ¶60 that “[i]n order to have a ‘Recognized Loss
25 Amount’ under the Plan of Allocation, the security must have been purchased during the Class
26 Period and held through at least until September 27, 2018, the date where the alleged new corrective
27 information was released to the market that resulted in a statistically significant change in market
28 price of Geron’s common stock.”

12. The Submitted Claim by Mr. Velazquez, Exhibit A hereto, indicates that he held 120 shares of Geron common stock at the start of the Class Period at a cost of \$235.14 and sold all of them during the Class Period (on April 19, 2018) at a time when Lead Plaintiffs allege that Geron's stock price was inflated as a result of the alleged fraud, for proceeds of \$448.80, and a gain of \$213.66.

<u>TRADE DATE</u>	<u>BUY/SELL</u>	<u>QUANTITY</u>	<u>PRICE PER SHARE</u>	<u>Total Price</u>
11/24/2017	BUY	16	\$1.9869	\$31.79
11/28/2017	BUY	34	\$1.94	\$65.96
11/29/2017	BUY	23	\$1.89	\$43.47
12/04/2017	BUY	42	\$1.96	\$82.32
2/15/18	BUY	5	\$2.32	\$11.60
4/19/2018	SELL	120	\$3.74	\$448.80
<u>Gain</u>				\$213.66

13. Thus, early in the Class Period, based upon the April 19, 2018 sale of his 120 shares of Geron common stock held at the outset of the Class Period, Mr. Velazquez already had a gain on his Geron transactions.

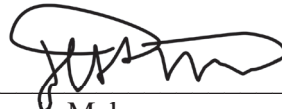
14. Then, during the Class Period, he purchased 250 more shares of Geron common stock on April 23, 2018 at \$3.80 per share, then sold these shares on August 29, 2018 for \$5.53 per share, before the end of the Class Period, for a gain of \$432.00, as reflected in the chart below:

<u>TRADE DATE</u>	<u>BUY/SELL</u>	<u>QUANTITY</u>	<u>PRICE PER SHARE</u>	<u>Total Price</u>
4/23/2018	BUY	250	\$3.80	\$950.00
8/29/2018	SELL	250	\$5.53	\$1,382.00
<u>Gain</u>				\$432.00

1 15. Indeed, Mr. Velazquez sold all of his 370 shares of Geron common stock (120
2 holdings at start of Class Period plus the additional 250 purchased during the Class Period) by
3 August 29, 2018, before the end of the Class Period, and therefore according the Plan of Allocation,
4 he has no loss, and based upon the calculation demonstrated above, had a gain of \$213.66 on pre-
5 Class Period holdings, and a gain of \$432.00 on transactions during the Class Period.

6 16. I have also confirmed that neither Epiq nor Lead Counsel presently have a record of
7 communication with, or from, Mr. Velazquez other than Epiq's provision of the Settlement Notice
8 to Mr. Velazquez, Epiq's receipt of Exhibit A (the Submitted Claim) and Epiq's mailing of Exhibit
9 B (the Postcard).

10 I declare under penalty of perjury that the foregoing is true and correct. Executed on March
11 27, 2023, in Seattle, Washington.

12
13 

14 _____
15 Jessie Mahn
16 Project Manager
17 Epiq Class Action & Claims Solutions, Inc.
18
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27
28

EXHIBIT A

Geron Securities Litigation
Toll-Free Number: 1-844-754-5537
Email: info@GeronSecuritiesLitigation.com
Website: www.GeronSecuritiesLitigation.com

This document was received
in the same envelope as the
previously labeled document
Document Control

PROOF OF CLAIM AND RELEASE FORM

To be eligible to receive money from the Net Settlement Fund in connection with the Settlement of this Action, you must complete and sign this Proof of Claim and Release Form ("Claim Form") and mail it by First-Class Mail to the address below, or submit it online at www.GeronSecuritiesLitigation.com, with supporting documentation, postmarked if mailed (or if submitted online, received by the Claims Administrator) by no later than midnight Pacific Time on February 16, 2023. You may submit your Claim Form any time before the deadline.

Mail to:

Geron Securities Litigation
c/o Epiq Class Action & Claims Solutions
P.O. Box 4574
Portland, OR 97208-4574
1-844-754-5537

Failure to submit your Claim Form by the deadline will subject your claim to rejection and may preclude you from being eligible to receive a payment from the Settlement.

Do not mail or deliver your Claim Form to the Court, Lead Counsel, Defendants' Counsel, or any of the Parties to the Action. Submit your Claim Form only to the Claims Administrator (Epiq Class Action & Claims Solutions) at the address (or website address online) set forth above.

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Questions? Visit www.GeronSecuritiesLitigation.com or call 1-844-754-5537



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 First Name	MI	Beneficial Owner's Last Name
J O S E		N E L A Z Q U E Z

Joint Beneficial Owner's First Name	MI	Joint Beneficial Owner's 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 your name and "IRA" in the "Entity Name" box below (e.g., John Jones IRA).

Entity Name (if Beneficial Owner is not an individual)

Representative or Custodian Name if applicable (executor, administrator, trustee, c/o, etc.), (if different from Beneficial Owner[s] listed above)

Address 1 (street name and number)

1 5 8 9 O C E A N A V E N U E

Address 2 (apartment, unit or box number)

4 I

City	State	Zip or Foreign Postal Code
B R O O K L Y N	N Y	1 1 2 3 0 -

Country

U N I T E D S T A T E S

Last four digits of Social Security Number or Taxpayer Identification Number

Telephone Number (Day)	Telephone Number (Evening)

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

Account Number (where securities were traded)

Type of Beneficial Owner: Specify one of the following:

<input type="checkbox"/> Individual	<input type="checkbox"/> IRA/401K	<input type="checkbox"/> Estate
<input type="checkbox"/> Joint	<input type="checkbox"/> Pension Plan	<input type="checkbox"/> Trust
<input type="checkbox"/> Corporation	<input type="checkbox"/> Partnership	<input type="checkbox"/> UGMA Custodian
<input checked="" type="checkbox"/> Other (describe: <u>E-trade securities</u>)		

Questions? Visit www.GeronSecuritiesLitigation.com or call 1-844-754-5537

PART II – SCHEDULE OF TRANSACTIONS IN GERON COMMON STOCK

Please provide the requested information on your holdings and trading of Geron common stock. During the Class Period, Geron common stock traded on the Nasdaq under the symbol GERN, CUSIP: 374163103. Please include proper documentation with your Claim Form as described in the Instructions, ¶¶ 4 & 13 on pages 6-7 below.

1. HOLDINGS AS OF MARCH 19, 2018 – State the total number of shares of Geron common stock held as of the opening of trading on March 19, 2018. (Must be documented.) If none, write “zero” or “0.”

000120

2. PURCHASES FROM MARCH 19, 2018, THROUGH SEPTEMBER 26, 2018 – Separately list each purchase of Geron common stock from after the opening of trading on March 19, 2018, through and including the close of trading on September 26, 2018. (Must be documented.)

Date of Purchase (List Chronologically) (Month/Day/Year)	Number of Shares Purchased	Purchase Price per Share	Confirm Proof of Purchase Enclosed
042318	250	\$ 3.80	<input checked="" type="checkbox"/>
		\$.	<input type="checkbox"/>
		\$.	<input type="checkbox"/>
		\$.	<input type="checkbox"/>

3. PURCHASES FROM SEPTEMBER 27, 2018 THROUGH DECEMBER 24, 2018 – State the total number of shares of Geron common stock purchased from after the opening of trading on September 27, 2018, through the close of trading on December 24, 2018. If none, write “zero” or “0.”

zero

4. SALES FROM MARCH 19, 2018 THROUGH DECEMBER 24, 2018 – Separately list each sale of Geron common stock from after the opening of trading on March 19, 2018, through and including the close of trading on December 24, 2018. (Must be documented.)

IF NONE, CHECK HERE

Date of Sale (List Chronologically) (Month/Day/Year)	Number of Shares Sold	Sale Price Per Share	Confirm Proof of Sale Enclosed
041918	120	\$ 3.74	<input checked="" type="checkbox"/>
082918	250	\$ 5.53	<input checked="" type="checkbox"/>
		\$.	<input type="checkbox"/>
		\$.	<input type="checkbox"/>

5. HOLDINGS AS OF DECEMBER 24, 2018 – State the total number of shares of Geron common stock held as of the close of trading on December 24, 2018. (Must be documented.) If none, write “zero” or “0.”

zero

Confirm Proof of Position Enclosed

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



PART III - RELEASE OF CLAIMS AND SIGNATURE

**YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW
AND SIGN ON PAGE 5 OF THIS CLAIM FORM.**

I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) shall be deemed to have, and by operation of law and of the judgment shall have, fully, finally, and forever compromised, settled, released, resolved, relinquished, waived, and discharged any and all of the Released Plaintiffs' Claims against Defendants and Defendants' Released Parties, and shall forever be barred and enjoined from prosecuting, commencing, instituting, or continuing to prosecute any action or other proceeding in any court of law or equity, arbitration tribunal, or administrative forum, asserting any or all of the Released Plaintiffs' Claims against any of the Defendants' Released Parties. This release shall not apply to any of the Excluded Plaintiffs' Claims.

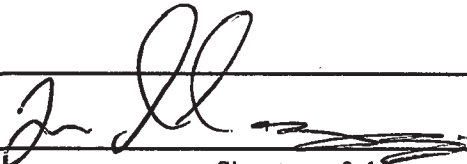
CERTIFICATION

By signing and submitting this Claim Form, the claimant(s) or the person(s) who represent(s) the claimant(s) agree(s) to the release above and certifies (certify) as follows:

1. that I (we) have read and understand the contents of the Settlement Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;
2. that the claimant(s) is a (are) Class Member(s), as defined in the Settlement Notice, and is (are) not excluded by definition from the Class as set forth in the Settlement Notice;
3. that the claimant(s) did not submit a request for exclusion from the Class;
4. that I (we) own(ed) the Geron common stock identified in the Claim Form and have not assigned the claim against any of the Defendants or Defendants' Released Parties to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
5. that the claimant(s) has (have) not submitted any other claim covering the same purchases of Geron common stock and knows (know) of no other person having done so on the claimant's (claimants') behalf;
6. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;
7. that I (we) agree to furnish such additional information with respect to this Claim Form as Lead Counsel, the Claims Administrator, or the Court may require;
8. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this claim, and waives any right of appeal or review with respect to such determination;
9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and
10. that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. **If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.**

Questions? Visit www.GeronSecuritiesLitigation.com or call 1-844-754-5537

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:

1	2
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MM DD YYYY


Print claimant name here

Signature of joint claimant, if any

Date:

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MM DD YYYY

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:

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MM DD YYYY

Print name of person signing on behalf of claimant

Print name of person signing on behalf of claimant

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 ¶7 in the Instructions and Checklist of this Claim Form.)



INSTRUCTIONS AND CHECKLIST

1. **Submission of this Claim Form does not guarantee that you will be eligible to receive a payment from the Settlement. The distribution of the Net Settlement Fund will be governed by the Plan of Allocation set forth in the Settlement Notice, if it is approved by the Court, or by such other plan of allocation as the Court approves.**

2. Use the Schedule of Transactions on page 3 of this Claim Form to supply all required details of your transaction(s) in, and holdings of, common stock of Geron Corporation ("Geron"). On this schedule, provide all of the requested information with respect to your holdings, purchases, and sales of Geron common stock (including free transfers and deliveries), whether such transactions resulted in a profit or a loss. **Failure to report all transaction and holding information during the requested time period may result in the rejection of your claim.**

3. **Please note:** Only publicly traded Geron common stock purchased during the Class Period (i.e., from March 19, 2018, through September 26, 2018, inclusive) is eligible to receive a payment under the Settlement. However, sales of Geron common stock during the period from September 27, 2018, through and including the close of trading on December 24, 2018, will be used for purposes of calculating your claim under the Plan of Allocation. Therefore, in order for the Claims Administrator to be able to balance your claim, the requested purchase and sale information during this period must also be provided.

4. You are required to submit genuine and sufficient documentation for all of your transactions in and holdings of Geron common stock as set forth in the Schedule of Transactions on page 3 of this Claim Form. Documentation may consist of copies of brokerage confirmation slips or monthly brokerage account statements, or an authorized statement from your broker containing the transactional and holding information found in a broker confirmation slip or account statement. The Parties and the Claims Administrator do not independently have information about your investments in Geron common stock. **IF SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN COPIES OF THE DOCUMENTS OR EQUIVALENT DOCUMENTS FROM YOUR BROKER. FAILURE TO SUPPLY THIS DOCUMENTATION MAY RESULT IN THE REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL DOCUMENTS. Please keep a copy of all documents that you send to the Claims Administrator. Also, do not highlight any portion of the Claim Form or any supporting documents.**

5. Use Part I of this Claim Form entitled "CLAIMANT INFORMATION" to identify the beneficial owner(s) of the Geron common stock. The complete name(s) of the beneficial owner(s) must be entered. If there were joint beneficial owners, each must sign this Claim Form and their names must appear as "Claimants" in Part I of this Claim Form.

6. **If you purchased Geron common stock in more than one account, a Claim should be submitted for each account.** Separate Claim Forms should be submitted for each account or separate legal entity (e.g., an individual should not combine his or her IRA holdings and transactions with holdings and transactions made solely in the individual's name). Generally, a single Claim Form should be submitted on behalf of one legal entity including all holdings and transactions made by that entity on one Claim Form. However, if a single person or legal entity had multiple accounts that were separately managed, separate Claims may be submitted for each such account. The Claims Administrator reserves the right to request information on all the holdings and transactions in Geron common stock made on behalf of a single beneficial owner.

7. Agents, executors, administrators, guardians, and trustees must complete and sign the Claim Form on behalf of persons represented by them, and they must:

- (a) expressly state the capacity in which they are acting;
- (b) identify the name, account number, last four digits of the Social Security Number (or taxpayer identification number), address, and telephone number of the beneficial owner of (or other person or entity on whose behalf they are acting with respect to) the Geron common stock; and
- (c) furnish herewith evidence of their authority to bind to the Claim Form the person or entity on whose behalf they are acting. (Authority to complete and sign a Claim Form cannot be established by stockbrokers demonstrating only that they have discretionary authority to trade securities in another person's accounts.)

Questions? Visit www.GeronSecuritiesLitigation.com or call 1-844-754-5537

8. By submitting a signed Claim Form, you will be swearing that you:
- (a) owned the Geron common stock you have listed in the Claim Form; or
 - (b) are expressly authorized to act on behalf of the owner thereof

9. By submitting a signed Claim Form, you will be swearing to the truth of the statements contained therein and the genuineness of the documents attached thereto, subject to penalties of perjury under the laws of the United States of America. The making of false statements, or the submission of forged or fraudulent documentation, will result in the rejection of your claim and may subject you to civil liability or criminal prosecution.

10. If the Court approves the Settlement, payments to eligible Authorized Claimants pursuant to the Plan of Allocation (or such other plan of allocation as the Court approves) will be made after any appeals are resolved, and after the completion of all claims processing. The claims process will take substantial time to complete fully and fairly. Please be patient.

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

12. If you have questions concerning the Claim Form, or need additional copies of the Claim Form or the Settlement Notice, you may contact the Claims Administrator, Epiq, at the above address, by email at info@GeronSecuritiesLitigation.com, or by toll-free phone at 1-844-754-5537, or you can visit the Settlement website, www.GeronSecuritiesLitigation.com, where copies of the Claim Form and Settlement Notice are available for downloading.

13. **NOTICE REGARDING ELECTRONIC FILES:** Certain claimants with large numbers of transactions may request, or may be requested, to submit information regarding their transactions in electronic files. To obtain the *mandatory* electronic filing requirements and file layout, you may visit the Settlement website at www.GeronSecuritiesLitigation.com or you may email the Claims Administrator's electronic filing department at info@GeronSecuritiesLitigation.com. **Any file not in accordance with the required electronic filing format will be subject to rejection.** The *complete* name of the beneficial owner of the securities must be entered where called for (see ¶5 above). No electronic files will be considered to have been submitted unless the Claims Administrator issues an email to that effect. **Do not assume that your file has been received until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at info@GeronSecuritiesLitigation.com to inquire about your file and confirm it was received.**

IMPORTANT: PLEASE NOTE

YOUR CLAIM IS NOT DEEMED FILED UNTIL YOU RECEIVE AN ACKNOWLEDGEMENT POSTCARD. THE CLAIMS ADMINISTRATOR WILL ACKNOWLEDGE RECEIPT OF YOUR CLAIM FORM WITHIN 60 DAYS OF YOUR SUBMISSION. IF YOU DO NOT RECEIVE AN ACKNOWLEDGEMENT POSTCARD WITHIN 60 DAYS, CONTACT THE CLAIMS ADMINISTRATOR TOLL FREE AT 1-844-754-5537.

Questions? Visit www.GeronSecuritiesLitigation.com or call 1-844-754-5537



REMINDER CHECKLIST

1. Sign the above release and certification. If this Claim Form is being made on behalf of joint claimants, then both must sign.
2. Attach only *copies* of acceptable supporting documentation as these documents will not be returned to you.
3. Do not highlight any portion of the Claim Form or any supporting documents.
4. Keep copies of the completed Claim Form and documentation for your own records.
5. The Claims Administrator will acknowledge receipt of your Claim Form by mail, within 60 days of your submission. Your claim is not deemed filed until you receive an acknowledgement postcard. **If you do not receive an acknowledgement postcard within 60 days, please call the Claims Administrator toll free at 1- 844-754-5537.**
6. If your address changes in the future, or if this Claim Form was sent to an old or incorrect address, you must send the Claims Administrator written notification of your new address. If you change your name, inform the Claims Administrator.
7. If you have any questions or concerns regarding your claim, contact the Claims Administrator at the address below, by email at info@GeronSecuritiesLitigation.com, or by toll-free phone at 1-844-754-5537, or you may visit www.GeronSecuritiesLitigation.com. **DO NOT** call Geron or its counsel with questions regarding your claim.

THIS CLAIM FORM MUST BE MAILED TO THE CLAIMS ADMINISTRATOR BY FIRST-CLASS MAIL OR SUBMITTED ONLINE AT WWW.GERONSECURITIESLITIGATION.COM, POSTMARKED (OR RECEIVED) BY NO LATER THAN MIDNIGHT PACIFIC TIME ON FEBRUARY 16, 2023. IF MAILED, THE CLAIM FORM SHOULD BE ADDRESSED AS FOLLOWS:

Geron Securities Litigation
c/o Epiq Class Action & Claims Solutions
P.O. Box 4574
Portland, OR 97208-4574
1-844-754-5537

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if a postmark date before the deadline is indicated on the envelope and it is mailed First Class, and addressed in accordance with the above instructions. In all other cases, a Claim Form shall be deemed to have been submitted when received online by the Claims Administrator by the deadline.

You should be aware that it will take a significant amount of time to fully process all of the Claim Forms. Please be patient and notify the Claims Administrator of any change of address.

Questions? Visit www.GeronSecuritiesLitigation.com or call 1-844-754-5537



Attachments

Patch Code 3





E*TRADE Securities

Investment Account

TRADE CONFIRMATION

Account Number: [REDACTED]

Account Name:
JOSE J VELAZQUEZ

E*TRADE Securities LLC
PO Box 484
Jersey City, NJ 07303-0484
1-800-ETRADE-1 (1-800-387-2331)
etrade.com

Customer Update

Looking for your tax forms? 2017 Forms 1099 will be available by Thursday, February 15, 2018.

TRADE DATE	SETL DATE	MKT / CPT	SYMBOL / CUSIP	BUY / SELL	QUANTITY	PRICE	ACCT TYPE		
								PRINCIPAL	
								COMMISSION	
								NET AMOUNT	
02/15/18	02/20/18	6 1	GERN	BUY	5	\$2.32	Cash	PRINCIPAL	\$11.60
GERON CORP								COMMISSION	\$6.95
								NET AMOUNT	\$18.55

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JOSE J VELAZQUEZ
1589 OCEAN AVENUE
41
BROOKLYN NY 11230-5049

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Use This Deposit Slip

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Dollars	Cents

TOTAL DEPOSIT

Make checks payable to E*TRADE Securities LLC.
Mail deposits to:

E*TRADE Securities LLC
PO Box 484
Jersey City, NJ 07303-0484





E*TRADE Securities

Investment Account

TRADE CONFIRMATION

Account Number: [REDACTED]

Account Name: JOSE J VELAZQUEZ

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TRADE DATE	SETL DATE	MKT / CPT	SYMBOL / CUSIP	BUY / SELL	QUANTITY	PRICE	ACCT TYPE	
								PRINCIPAL
								COMMISSION
								FINRA TAF
								FEE
								NET AMOUNT
04/19/18	04/23/18	6 1	GERN	SELL	120	\$3.74	Cash	
GERON CORP								PRINCIPAL
								COMMISSION
								FINRA TAF
								FEE
								NET AMOUNT
								\$448.80
								\$6.95
								\$0.01
								0.02
								\$441.82
								PRINCIPAL
								COMMISSION
								FINRA TAF
								FEE
								NET AMOUNT

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TRADE DATE	SETL DATE	MKT / CPT	SYMBOL / CUSIP	BUY / SELL	QUANTITY	PRICE	ACCT TYPE		
								PRINCIPAL COMMISSION	[REDACTED]
								NET AMOUNT	[REDACTED]
04/23/18	04/25/18	6 1	GERN	BUY	250	\$3.80	Cash	PRINCIPAL COMMISSION	\$950.00
GERON CORP								COMMISSION	\$6.95
								NET AMOUNT	\$956.95
								PRINCIPAL / COMMISSION	[REDACTED]
								NET AMOUNT	[REDACTED]
								PRINCIPAL COMMISSION	[REDACTED]
								FINRA TAF FEE	[REDACTED]
								NET AMOUNT	[REDACTED]

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TRADE DATE	SETL DATE	MKT / CPT	SYMBOL / CUSIP	BUY / SELL	QUANTITY	PRICE	ACCT TYPE		
[REDACTED]								PRINCIPAL	[REDACTED]
[REDACTED]								COMMISSION	[REDACTED]
[REDACTED]								FINRA TAF	[REDACTED]
[REDACTED]								FEE	[REDACTED]
[REDACTED]								NET AMOUNT	[REDACTED]
08/29/18	08/31/18	6 1	GERN	SELL	250	\$5.53	Cash	PRINCIPAL	\$1,382.50
GERON CORP								COMMISSION	\$6.95
[REDACTED]								FINRA TAF	\$0.03
[REDACTED]								FEE	0.02
[REDACTED]								NET AMOUNT	\$1,375.50
[REDACTED]								PRINCIPAL	[REDACTED]
[REDACTED]								COMMISSION	[REDACTED]
[REDACTED]								FINRA TAF	[REDACTED]
[REDACTED]								FEE	[REDACTED]
[REDACTED]								NET AMOUNT	[REDACTED]
[REDACTED]								PRINCIPAL	[REDACTED]
[REDACTED]								COMMISSION	[REDACTED]
[REDACTED]								FINRA TAF	[REDACTED]
[REDACTED]								FEE	[REDACTED]
[REDACTED]								NET AMOUNT	[REDACTED]

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Account Name:
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								PRINCIPAL COMMISSION	
								FINRA TAF FEE	
								NET AMOUNT	
11/24/17	11/28/17	6 1	GERN	BUY	16	\$1.9869	Cash	PRINCIPAL COMMISSION	\$31.79
GERON CORP									\$6.95
								NET AMOUNT	\$38.74
								PRINCIPAL COMMISSION	
								NET AMOUNT	

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E*TRADE Securities

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TRADE DATE	SETL DATE	MKT / CPT	SYMBOL / CUSIP	BUY / SELL	QUANTITY	PRICE	ACCT TYPE		
11/28/17	11/30/17	6 1	GERN	BUY	34	\$1.94	Cash	PRINCIPAL	\$65.96
								COMMISSION	\$6.95
								NET AMOUNT	\$72.91



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TRADE DATE	SETL DATE	MKT/ CPT	SYMBOL/ CUSIP	BUY/ SELL	QUANTITY	PRICE	ACCT TYPE		
12/04/17	12/06/17	6 1	GERN	BUY	42	\$1.96	Cash	PRINCIPAL	\$82.32
								COMMISSION	\$6.95
								NET AMOUNT	\$89.27



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Customer Update

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TRADE DATE	SETL DATE	MKT / CPT	SYMBOL / CUSIP	BUY / SELL	QUANTITY	PRICE	ACCT TYPE		
11/29/17	12/01/17	6 1	GERN	BUY	23	\$1.89	Cash	PRINCIPAL	\$43.47
								COMMISSION	\$6.95
								NET AMOUNT	\$50.42



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PORTLAND OR 97208-9833



EXHIBIT B

Geron Securities Litigation,
c/o Epiq Class Action & Claims Solutions,
P.O. Box 4574,
Portland, OR 97208-4574



40061088000911114

JOSE VELAZQUEZ
1589 OCEAN AVENUE
4L
BROOKLYN NY 11230

Geron Securities Settlement—Notice of Claim Received

This notice is to confirm receipt of your Claim Form in *Julia Junge and Richard Junge v. Geron Corp. and John A. Scarlett*, Case No. 3:20-cv-00547-WHA (N.D. Cal.).

PLEASE NOTE: This is only confirmation of receipt of your Claim Form. Your Claim is currently being reviewed to determine whether you are eligible to share in the distribution of the Net Settlement Fund. After your Claim has been evaluated, if any additional information is needed or if your Claim is ineligible, you will be contacted by us. **Additionally, as set forth in the Claim Form, please keep a copy of the completed Claim Form you submitted as well as all documentation submitted in support of the claim.** These documents should be kept at least until you receive a distribution check or notification that your Claim is deficient or ineligible, at which time you will need to refer to your Claim Form and supporting documentation.

You should be aware that accurate processing of Claims can take a significant amount of time. In order to assure that any further communications reach you, if you move, please provide us with your updated address information. Updated address information should be sent to us at the address that appears on the other side of this postcard.

Further information about the Settlement is available online at www.GeronSecuritiesLitigation.com, or by calling the Claims Administrator at 1-844-754-5537.