

UNITED STATES DISTRICT COURT
DISTRICT OF MARYLAND
(Southern Division)

WILLIAM SPONN, Individually and on
Behalf of All Others Similarly Situated,

Plaintiff,

vs.

EMERGENT BIOSOLUTIONS INC., et al.,

Defendants.

) No. 8:16-cv-02625-RWT

) CLASS ACTION

SUPPLEMENTAL DECLARATION OF CAROLE K. SYLVESTER REGARDING NOTICE
DISSEMINATION AND REQUESTS FOR EXCLUSION RECEIVED TO DATE

I, CAROLE K. SYLVESTER, declare:

1. I am employed as the Director of Notice by Gilardi & Co. LLC (“Gilardi”), located at 3301 Kerner Blvd., San Rafael, California. The following statements are based on my personal knowledge and information provided to me by other Gilardi employees and, if called as a witness, I could and would testify competently thereto.

2. I previously submitted a declaration in connection with the administration of the settlement of the above-captioned action (the “Litigation”), which was executed on November 20, 2018 (the “Initial Declaration”) (ECF No. 107-7). I submit this supplemental declaration in order to provide the Court and the parties to the Litigation with updated information regarding: (i) mailing of the Court-approved Amended Notice of Proposed Settlement of Class Action (the “Notice”) and the Proof of Claim and Release (the “Proof of Claim”) (collectively, the “Notice Package”); (ii) the receipt of requests for exclusion from the Settlement Class received by Gilardi to date; and (iii) an update on Class Action Fairness Act Notification.¹

UPDATE ON THE DISSEMINATION OF THE NOTICE PACKAGE

3. As more fully detailed in my Initial Declaration, as of November 20, 2018, Gilardi had mailed 5,363 Notice Packages to potential Settlement Class Members and nominees. Initial Declaration, ¶12.

4. Since November 20, 2018, Gilardi has mailed an additional 19,454 copies of the Notice Package in response to additional requests from potential Settlement Class Members, brokers, and nominees. Therefore, as of January 7, 2019, Gilardi has mailed a total of 24,817 Notice Packages to potential Settlement Class Members and nominees.

¹ Unless otherwise defined herein, all capitalized terms shall have the same meanings as set forth in the Stipulation of Settlement, dated October 16, 2018 (ECF No. 101).

REQUESTS FOR EXCLUSION RECEIVED TO DATE

5. Pursuant to this Court's Amended Order Preliminarily Approving Settlement and Providing for Notice (ECF No. 106), the Notice informed potential Settlement Class Members that any written requests for exclusion must be mailed to Gilardi, such that they are postmarked no later than December 26, 2018. As reported in the Initial Declaration, as of November 20, 2018, Gilardi had not received any requests for exclusion.

6. Since the Initial Declaration was executed, Gilardi has received one request for exclusion, attached hereto as Exhibit A.

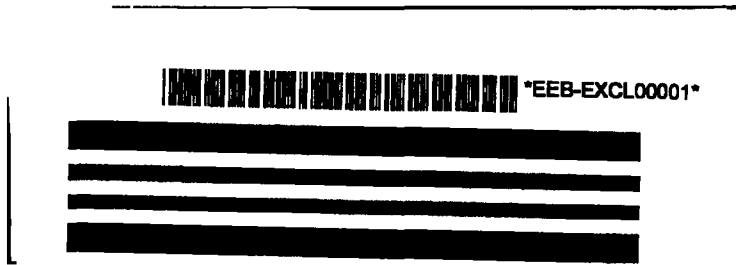
UPDATE ON CLASS ACTION FAIRNESS ACT ("CAFA") NOTIFICATION

7. As noted in the Initial Declaration, on October 26, 2018, Gilardi provided notice in compliance with 28 U.S.C. §1715 to the U.S. Attorney General, the Attorneys General of all 50 states, the Attorneys General for all 8 U.S. territories, and the U.S. Securities and Exchange Commission. Gilardi has not received any communications from any of these offices in response to that notice.

I declare under penalty of perjury that the foregoing is true and correct. Executed this 8th day of January, 2019, at San Rafael, California.


CAROLE K. SYLVESTER

EXHIBIT A



RECEIVED *GFY*
DEC 14 2018
CLAIMS CENTER

Exclusion Cover Page

Case Name: *Emergent Securities Litigation*

Case Code: EEB

Exclusion Deadline: December 26, 2018 (Postmark Date)

Name of Person Filing Exclusion: Edwin Houston Jr

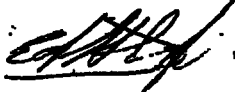
DECEMBER 10, 2018

EMERGENT SECURITIES LITIGATION
c/o GILARDI AND CO. LLC
CLAIMS ADMINISTRATOR
EXCLUSIONS
3301 KERNER BLVD.
SAN RAFAEL, CA 94901

DEAR SIR:

I WISH TO REQUEST EXCLUSION FROM THE
SETTLEMENT CLASS IN THE EMERGENT BIOSOLUTIONS
SECURITIES SETTLEMENT.

ENCLOSED ARE COPIES OF MY BUYING AND
SELLING OF EMERGENT BIOSOLUTIONS INC STOCK.

SIGNED: 

SINCERELY,
Edwin Houston Jr.



EDWARD JONES
 201 PROGRESS PARKWAY
 ST LOUIS, MO. 63043-3042
 TEL 314-515-2000

Edward Jones

TRADE CONFIRMATION

RETAIN FOR YOUR PERMANENT TAX RECORDS

EDWIN HOUSTON JR.


YOUR FINANCIAL ADVISOR:

RANDY J. BEDWELL


BRANCH NUMBER : **07971**
 FINANCIAL ADVISOR # : **797111**
 ANY QUESTIONS CALL **(830) 249-2748**

WE ARE PLEASED TO CONFIRM THE FOLLOWING TRANSACTION SUBJECT TO THE INFORMATION, DISCLOSURES, AND TERMS ON THE FRONT AND REVERSE SIDES OF THIS DOCUMENT:

	ON TRADE DATE	IN YOUR CASH ACCOUNT	FOR SETTLEMENT DATE	
		09/30/2008	10/03/2008	
YOU BOUGHT		200 SHARES	PRICE	\$ 12.8020
DESCRIPTION:			PRINCIPAL AMOUNT	\$ 2,560.40
EMERGENT BIOSOLUTIONS INC			COMMISSION	64.01
COMMON			TRANSACTION FEE	4.95
UNSOLICITED				
			TOTAL	\$ 2,629.36

ORDER **797556624** PROCESSED ON **09/30/2008@ 13:54:47** CUSIP **29089Q105 (EBS)**

WE EXECUTED THIS TRANSACTION AS YOUR AGENT.

- If the phrase "we make a mkt in this security" appears on this confirmation, we have acted as principal functioning as a secondary market maker.
- If the phrase "unsolicited" appears on this confirmation, the transaction was conducted pursuant to an unsolicited order to buy or sell placed by the client.
- For debt securities transactions, call features may exist which could affect yield; additional information available upon request.
- For zero coupon transactions, no periodic payment and callable below maturity value, without notice by mail to holder unless registered.
- If the phrase "average price" appears on this confirmation, details regarding the actual execution prices are available on request.

THANK YOU FOR ALLOWING EDWARD JONES THE OPPORTUNITY TO SERVE YOU.

EDWARD JONES
 201 PROGRESS PARKWAY
 ST LOUIS, MO 63043-3042
 TEL 314-515-2000

Edward Jones

TRADE CONFIRMATION

RETAIN FOR YOUR PERMANENT TAX RECORDS

EDWIN HOUSTON JR
 [REDACTED]

YOUR FINANCIAL ADVISOR:

RANDY J. BEDWELL
 [REDACTED]

BRANCH NUMBER : **07971**
 FINANCIAL ADVISOR #: **797111**
 ANY QUESTIONS CALL **(830) 249-2748**

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	ON TRADE DATE	IN YOUR CASH ACCOUNT	FOR SETTLEMENT DATE	
		10/17/2008	10/22/2008	
YOU BOUGHT		100 SHARES	PRICE	\$ 17.0520
DESCRIPTION:			PRINCIPAL AMOUNT	\$ 1,705.20
EMERGENT BIOSOLUTIONS INC			COMMISSION	50.00
COMMON			TRANSACTION FEE	4.95
UNSOLICITED				
			TOTAL	\$ 1,760.15

ORDER **797559476** PROCESSED ON **10/17/2008@ 09:56:09** CUSIP **29089Q105 (EBS)**

WE EXECUTED THIS TRANSACTION AS YOUR AGENT.

- If the phrase "we make a mkt in this security" appears on this confirmation, we have acted as principal functioning as a secondary market maker.
- If the phrase "unsolicited" appears on this confirmation, the transaction was conducted pursuant to an unsolicited order to buy or sell placed by the client.
- For debt securities transactions, call features may exist which could affect yield; additional information available upon request.
- For zero coupon transactions, no periodic payment and callable below maturity value, without notice by mail to holder unless registered.
- If the phrase "average price" appears on this confirmation, details regarding the actual execution prices are available on request.

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EDWARD JONES
 201 PROGRESS PARKWAY
 ST LOUIS, MO. 63043-3042
 TEL 314-515-2000

Edward Jones

TRADE CONFIRMATION

RETAIN FOR YOUR PERMANENT TAX RECORDS

EDWIN HOUSTON JR
 [REDACTED]

YOUR FINANCIAL ADVISOR:

RANDY J. REDWELL
 [REDACTED]

BRANCH NUMBER : 07971
 FINANCIAL ADVISOR #: 797111
 ANY QUESTIONS CALL (830) 249-2748

WE ARE PLEASED TO CONFIRM THE FOLLOWING TRANSACTION SUBJECT TO THE INFORMATION, DISCLOSURES, AND TERMS ON THE FRONT AND REVERSE SIDES OF THIS DOCUMENT:

	IN YOUR CASH ACCOUNT	[REDACTED]	
ON TRADE DATE	10/23/2008	FOR SETTLEMENT DATE	10/28/2008
YOU SOLD	300 SHARES	PRICE	\$ 16.6200
DESCRIPTION:		PRINCIPAL AMOUNT	\$ 4,986.00
EMERGENT BIOSOLUTIONS INC		COMMISSION	99.72
COMMON		TRANSACTION FEE	4.95
UNSOLICITED			
SPECIAL COMMISSION RATE			
20% COMMISSION DISCOUNT			
		TOTAL	\$ 4,881.33

ORDER 797560095 PROCESSED ON 10/23/2008@ 08:55:56 CUSIP 29089Q105 (EBS)

WE EXECUTED THIS TRANSACTION AS YOUR AGENT.

- If the phrase "we make a mkt in this security" appears on this confirmation, we have acted as principal functioning as a secondary market maker.
- If the phrase "unsolicited" appears on this confirmation, the transaction was conducted pursuant to an unsolicited order to buy or sell placed by the client.
- For debt securities transactions, call features may exist which could affect yield; additional information available upon request.
- For zero coupon transactions, no periodic payment and callable below maturity value, without notice by mail to holder unless registered.
- If the phrase "average price" appears on this confirmation, details regarding the actual execution prices are available on request.

THANK YOU FOR ALLOWING EDWARD JONES THE OPPORTUNITY TO SERVE YOU.

EDWARD JONES
 201 PROGRESS PARKWAY
 ST LOUIS, MO. 63043-3042
 TEL 314-515-2000

Edward Jones

TRADE CONFIRMATION

RETAIN FOR YOUR PERMANENT TAX RECORDS

EDWIN HOUSTON JR
 [REDACTED]

YOUR FINANCIAL ADVISOR:

RANDY J. BEDWELL
 [REDACTED]

BRANCH NUMBER : **07971**
 FINANCIAL ADVISOR #: **797111**
 ANY QUESTIONS CALL **(830) 249-2748**

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	ON TRADE DATE	IN YOUR CASH ACCOUNT	FOR SETTLEMENT DATE	
		12/03/2008		12/08/2008
YOU BOUGHT		50 SHARES	PRICE	\$ 24.1800
DESCRIPTION:			PRINCIPAL AMOUNT	\$ 1,209.00
EMERGENT BIOSOLUTIONS INC			COMMISSION	50.00
COMMON			TRANSACTION FEE	4.95
UNSOLICITED				
			TOTAL	\$ 1,263.95

ORDER **797564609** PROCESSED ON **12/03/2008@ 13:37:58** CUSIP **29089Q105 (EBS)**

WE EXECUTED THIS TRANSACTION AS YOUR AGENT.

- If the phrase "we make a mkt in this security" appears on this confirmation, we have acted as principal functioning as a secondary market maker.
- If the phrase "unsolicited" appears on this confirmation, the transaction was conducted pursuant to an unsolicited order to buy or sell placed by the client.
- For debt securities transactions, call features may exist which could affect yield; additional information available upon request.
- For zero coupon transactions, no periodic payment and callable below maturity value, without notice by mail to holder unless registered.
- If the phrase "average price" appears on this confirmation, details regarding the actual execution prices are available on request.

THANK YOU FOR ALLOWING EDWARD JONES THE OPPORTUNITY TO SERVE YOU.

EDWARD JONES
 201 PROGRESS PARKWAY
 ST LOUIS, MO. 63043-3042
 TEL. 314-515-2000

Edward Jones

TRADE CONFIRMATION

RETAIN FOR YOUR PERMANENT TAX RECORDS

EDWIN HOUSTON JR
 [REDACTED]

YOUR FINANCIAL ADVISOR:

RANDY J. BEDWELL
 [REDACTED]

BRANCH NUMBER : **07971**
 FINANCIAL ADVISOR #: **797111**
 ANY QUESTIONS CALL **(830) 249-2748**

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	ON TRADE DATE	IN YOUR CASH ACCOUNT	FOR SETTLEMENT DATE	
		12/10/2008		12/15/2008
YOU BOUGHT		50 SHARES	PRICE	\$ 25.1500
DESCRIPTION:			PRINCIPAL AMOUNT	\$ 1,257.50
EMERGENT BIOSOLUTIONS INC			COMMISSION	50.00
COMMON			TRANSACTION FEE	4.95
UNSOLICITED				
			TOTAL	\$ 1,312.45

ORDER **797565518** PROCESSED ON **12/10/2008@ 12:22:54** CUSIP **29089Q105 (EBS)**

WE EXECUTED THIS TRANSACTION AS YOUR AGENT.

- If the phrase "we make a mkt in this security" appears on this confirmation, we have acted as principal functioning as a secondary market maker.
- If the phrase "unsolicited" appears on this confirmation, the transaction was conducted pursuant to an unsolicited order to buy or sell placed by the client.
- For debt securities transactions, call features may exist which could affect yield; additional information available upon request.
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THANK YOU FOR ALLOWING EDWARD JONES THE OPPORTUNITY TO SERVE YOU.

Edward Jones

Allyson Munsell
Financial Advisor



SAN ANTONIO TX 78209
RFD GRANDE DISTRICT
11 DEC 2018 5:10 P

RECEIVED GE

DEC 14 2018

CLAIMS CENTER

Emergent Securities litigation

Mo Gilardi + Co. LLC

Claims Admin.

EXCLUSIONS

3301 Kerner Blvd.

94901-489625

SAM KATAEL, ~~OFF~~

EFB