

UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF PENNSYLVANIA

PATRICK McDERMID, Individually and on	)	Civ. Action No. 2:20-cv-01402-GJP
Behalf of All Others Similarly Situated,	)	
	)	<u>CLASS ACTION</u>
Plaintiff,	)	
	)	SUPPLEMENTAL DECLARATION OF
vs.	)	ROSS D. MURRAY REGARDING NOTICE
	)	DISSEMINATION AND REQUESTS FOR
INOVIO PHARMACEUTICALS, INC., et al.,	)	EXCLUSION RECEIVED TO DATE
	)	
Defendants.	)	
	)	
_____	)	

I, ROSS D. MURRAY, declare and state as follows:

1. I am employed as a Vice President of Securities by Gilardi & Co. LLC (“Gilardi”), located at 1 McInnis Parkway, Suite 250, San Rafael, California. Pursuant to this Court’s August 31, 2022 Order Preliminarily Approving Settlement and Providing for Notice (“Notice Order”) (ECF 150), Gilardi was appointed as the Claims Administrator in connection with the proposed Settlement of the above-captioned action (the “Action”). I oversaw the notice services that Gilardi provided in accordance with the Notice Order.

2. I submit this declaration as a supplement to my earlier declaration, the Declaration of Ross D. Murray Regarding Notice Dissemination, Publication, and Requests for Exclusion Received to Date (the “Initial Mailing Declaration”) (ECF 156-7). The following statements are based on my personal knowledge and information provided to me by other Gilardi employees and if called to testify I could and would do so competently.

#### **UPDATE ON DISSEMINATION OF THE CLAIM PACKAGE**

3. As more fully detailed in the Initial Mailing Declaration, as of November 8, 2022, Gilardi had mailed 576,695 copies of the Court-approved Notice of Pendency and Proposed Settlement of Class Action (the “Notice”) and Proof of Claim form (the “Proof of Claim”) (collectively, the “Claim Package”) to potential Class Members and their nominees. *See* Initial Mailing Declaration, ¶11.

4. Since November 8, 2022, Gilardi has mailed an additional 1,606 copies of the Claim Package in response to requests from potential Class Members, brokers, and nominees and as a result of mail returned as undeliverable for which new addresses were identified and re-mailed to those new addresses. Therefore, as of December 8, 2022, Gilardi has mailed a total of 578,301 Claim Packages to potential Class Members and nominees.

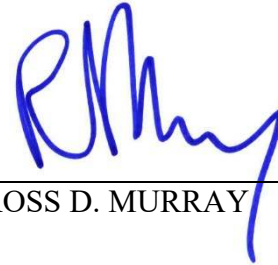
#### **REQUESTS FOR EXCLUSION RECEIVED TO DATE**

5. Pursuant to the Notice Order, the Notice informed potential Class Members that written requests for exclusion from the Class must be mailed to *Inovio Securities Litigation*, ATTN: EXCLUSION REQUESTS, c/o Gilardi & Co. LLC, P.O. Box 5100, Larkspur, CA 94977-

5100, such that they are received no later than November 23, 2022. At the time of the Initial Mailing Declaration, Gilardi reported that it had received three requests for exclusion in connection with this Settlement. *See* Initial Mailing Declaration, ¶16.

6. Since the Initial Mailing Declaration was executed, and as of the date of this declaration, Gilardi has received four additional timely requests for exclusion and four late requests for exclusion, redacted copies of which are attached hereto as Exhibit A.<sup>1</sup>

I declare under penalty of perjury that the foregoing is true and correct and that this declaration was executed this 8th day of December, 2022, at San Rafael, California.



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ROSS D. MURRAY

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<sup>1</sup> Gilardi also received one late request for exclusion which is a duplicate of a prior timely received exclusion request.

# EXHIBIT A



 *IOV-EXCL00004*
██
██
██
██

RECEIVED  
November 23, 2022  
Claims Center

## Exclusion Cover Page

Case Name: Inovio Securities Litigation

Case Code: IOV

Exclusion Deadline: November 23, 2022 (Must be received no later than)

Name of Person Filing Exclusion: Joseph Putnam

Joseph Putnam  


November 21, 2022


Inovio Securities Litigation  
ATTN: EXCLUSION REQUEST  
c/o Gilardi & Co. LLC  
P.O. Box 5100  
Larkspur, CA 94977-5100

**REQUEST TO BE EXCLUDED FROM CLASS IN MCDERMID V. INOVIO  
PHARMACEUTICALS, INC., ET AL., NO. 2:20-CV-01402-GJP**

Dear Gilardi & Co. LLC:

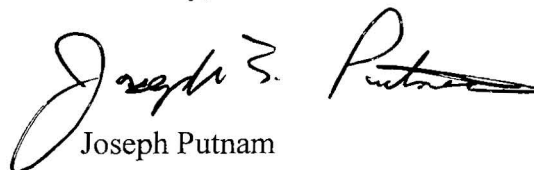
Pursuant to the exclusion request/opt-out instructions and procedures outlined in the Notice of Pendency and Proposed Settlement of Class Action dated August 31, 2022, this letter serves as written notice of my request to be excluded from the proposed settlement in *McDermid v. Inovio Pharmaceuticals, Inc., et al.*, No. 2:20-cv-01402-GJP.

I am requesting exclusion from the Class and my identifying information is as follows:

Joseph Putnam  


Without waiving my rights to supplement the information contained herein, to the best of my knowledge and belief, the information regarding the number of shares of Inovio common stock that I: (i) owned as of the opening of trading on February 14, 2020; and (ii) purchased, acquired and/or sold from February 14, 2020 through August 10, 2020, inclusive, as well as the number of shares, dates and prices for each such purchase, acquisition and sale is attached hereto as Exhibit 1.

Sincerely,

  
Joseph Putnam

## EXHIBIT A

Date	Client Group Name	Symbol / CUSIP	Activity	Quantity	Price	Amount	Settle Date	Asset Class	Security Type
4/15/2021	PUTNAM JOSEPH	INO	BUY	1,000.00	\$10.2859	(10,290.90)	4/19/2021	SBL	Common Stock
3/11/2021	PUTNAM JOSEPH	INO	BUY	970.00	\$10.3474	(10,041.98)	3/15/2021	SBL	Common Stock
2/10/2021	PUTNAM JOSEPH	INO	BUY	750.00	\$13.3078	(9,985.85)	2/12/2021	SBL	Common Stock
2/1/2021	PUTNAM JOSEPH	INO	BUY	675.00	\$14.8287	(10,010.61)	2/3/2021	SBL	Common Stock
2/1/2021	PUTNAM JOSEPH	INO	BUY	625.00	\$16.0243	(10,016.43)	2/3/2021	SBL	Common Stock
2/1/2021	PUTNAM JOSEPH	INO	BUY	200.00	\$16.8398	(3,368.38)	2/3/2021	SBL	Common Stock
2/1/2021	PUTNAM JOSEPH	INO	BUY	400.00	\$16.8301	(6,732.87)	2/3/2021	SBL	Common Stock
2/1/2021	PUTNAM JOSEPH	INO	BUY	575.00	\$17.7303	(10,196.19)	2/3/2021	SBL	Common Stock
1/29/2021	PUTNAM JOSEPH	INO	BUY	775.00	\$12.9581	(10,047.53)	2/2/2021	SBL	Common Stock
1/27/2021	PUTNAM JOSEPH	INO	BUY	1,401.00	\$12.2700	(17,193.13)	1/29/2021	SBL	Common Stock
1/27/2021	PUTNAM JOSEPH	INO	BUY	239.00	\$12.2800	(2,935.41)	1/29/2021	SBL	Common Stock
1/27/2021	PUTNAM JOSEPH	INO	BUY	760.00	\$13.1095	(9,964.87)	1/29/2021	SBL	Common Stock
1/25/2021	PUTNAM JOSEPH	INO	BUY	2,200.00	\$9.1274	(20,085.28)	1/27/2021	SBL	Common Stock
1/15/2021	PUTNAM JOSEPH	INO	BUY	500.00	\$10.2470	(5,128.50)	1/20/2021	SBL	Common Stock
1/4/2021	PUTNAM JOSEPH	INO	BUY	1,130.00	\$9.0000	(10,175.00)	1/6/2021	SBL	Common Stock
11/16/2020	PUTNAM JOSEPH	INO	BUY	400.00	\$12.6659	(5,071.36)	11/18/2020	SBL	Common Stock
9/25/2020	PUTNAM JOSEPH	INO	BUY	30.00	\$16.6399	(499.45)	9/29/2020	SBL	Common Stock
9/25/2020	PUTNAM JOSEPH	INO	BUY	570.00	\$16.6450	(9,492.40)	9/29/2020	SBL	Common Stock
9/23/2020	PUTNAM JOSEPH	INO	BUY	610.00	\$16.3676	(9,989.24)	9/25/2020	SBL	Common Stock
9/21/2020	PUTNAM JOSEPH	INO	BUY	560.00	\$17.9417	(10,052.35)	9/23/2020	SBL	Common Stock
9/16/2020	PUTNAM JOSEPH	INO	BUY	370.00	\$14.4000	(5,329.04)	9/18/2020	SBL	Common Stock
9/16/2020	PUTNAM JOSEPH	INO	BUY	340.00	\$15.1823	(5,162.99)	9/18/2020	SBL	Common Stock
9/16/2020	PUTNAM JOSEPH	INO	BUY	310.00	\$16.3399	(5,066.36)	9/18/2020	SBL	Common Stock
9/16/2020	PUTNAM JOSEPH	INO	BUY	290.00	\$17.2623	(5,007.05)	9/18/2020	SBL	Common Stock
9/16/2020	PUTNAM JOSEPH	INO	BUY	200.00	\$17.9850	(3,597.71)	9/18/2020	SBL	Common Stock
9/16/2020	PUTNAM JOSEPH	INO	BUY	75.00	\$17.9998	(1,350.26)	9/18/2020	SBL	Common Stock
9/15/2020	PUTNAM JOSEPH	INO	BUY	750.00	\$13.5352	(10,154.76)	9/17/2020	SBL	Common Stock
9/15/2020	PUTNAM JOSEPH	INO	BUY	360.00	\$13.7575	(4,954.34)	9/17/2020	SBL	Common Stock
9/9/2020	PUTNAM JOSEPH	INO	BUY	475.00	\$10.6599	(5,068.45)	9/11/2020	SBL	Common Stock
9/3/2020	PUTNAM JOSEPH	INO	BUY	900.00	\$10.3448	(9,315.32)	9/8/2020	SBL	Common Stock
8/25/2020	PUTNAM JOSEPH	INO	BUY	400.00	\$12.7271	(5,095.84)	8/27/2020	SBL	Common Stock

8/14/2020	PUTNAM JOSEPH	INO	BUY	340.00	\$14.6400	(4,980.09)	8/18/2020	SBL	Common Stock
8/14/2020	PUTNAM JOSEPH	INO	BUY	325.00	\$15.4221	(5,014.69)	8/18/2020	SBL	Common Stock
8/5/2020	PUTNAM JOSEPH	INO	BUY	230.00	\$21.7760	(5,013.48)	8/7/2020	SBL	Common Stock
8/3/2020	PUTNAM JOSEPH	INO	BUY	250.00	\$20.3940	(5,103.50)	8/5/2020	SBL	Common Stock
7/30/2020	PUTNAM JOSEPH	INO	BUY	260.00	\$21.1000	(5,491.00)	8/3/2020	SBL	Common Stock
7/28/2020	PUTNAM JOSEPH	INO	BUY	235.00	\$21.4800	(5,052.80)	7/30/2020	SBL	Common Stock
7/17/2020	PUTNAM JOSEPH	INO	BUY	375.00	\$26.6208	(9,985.29)	7/21/2020	SBL	Common Stock
7/17/2020	PUTNAM JOSEPH	INO	BUY	368.00	\$27.3599	(10,070.95)	7/21/2020	SBL	Common Stock
7/16/2020	PUTNAM JOSEPH	INO	BUY	210.00	\$23.8573	(5,015.03)	7/20/2020	SBL	Common Stock
7/14/2020	PUTNAM JOSEPH	INO	BUY	200.00	\$26.1825	(5,241.50)	7/16/2020	SBL	Common Stock
7/13/2020	PUTNAM JOSEPH	INO	BUY	200.00	\$25.9858	(5,202.16)	7/15/2020	SBL	Common Stock
7/9/2020	PUTNAM JOSEPH	INO	BUY	200.00	\$24.4045	(4,885.90)	7/13/2020	SBL	Common Stock
7/7/2020	PUTNAM JOSEPH	INO	BUY	227.00	\$22.0150	(5,002.41)	7/9/2020	SBL	Common Stock
7/6/2020	PUTNAM JOSEPH	INO	BUY	250.00	\$20.0999	(5,029.98)	7/8/2020	SBL	Common Stock
7/2/2020	PUTNAM JOSEPH	INO	BUY	225.00	\$21.9384	(4,941.14)	7/7/2020	SBL	Common Stock
6/30/2020	PUTNAM JOSEPH	INO	BUY	365.00	\$27.0000	(9,860.00)	7/2/2020	SBL	Common Stock
6/29/2020	PUTNAM JOSEPH	INO	BUY	170.00	\$28.3000	(4,816.00)	7/1/2020	SBL	Common Stock
6/26/2020	PUTNAM JOSEPH	INO	BUY	160.00	\$31.3300	(5,017.80)	6/30/2020	SBL	Common Stock



**ORIGIN ID** LEYA  
**JORDANT. SHEWMAN**  
**DINSMORE & SHOHL LLP**

**SHIP DATE** 22NOV22  
**ACTWGHT** 0.50 LB  
**CAD** 253844769MSX13800

**BILL SENDER**

**TO** EXCLUSION REQUEST Re: Inovia Securities  
**C/O GILARDI & CO LLC**  
**1 MCINNIS PKWY, SUITE 250**  
*Litigation*

**SAN RAFAEL CA 94903**  
**(415) 461-0410**  
**REF 770922**

**PO** **DEPT**

**TRK#** 3909 7539 9459  
**0201**

**WED - 23 NOV 10:30A**  
**PRIORITY OVERNIGHT**

**XW SRFA**  
**94903**  
**CA-US OAK**





**RECEIVED**  
**NOV 23 2022**

FOLD on this line and place in shipping pouch with bar code and delivery address visible

1. Fold the first printed page in half and use as the shipping label.
2. Place the label in a waybill pouch and affix it to your shipment so that the barcode portion of the label can be read and scanned.
3. Keep the second page as a receipt for your records. The receipt contains the terms and conditions of shipping and information useful for tracking your package.

### Legal Terms and Conditions

Tendering packages by using this system constitutes your agreement to the service conditions for the transportation of your shipments as found in the applicable FedEx Service Guide, available upon request. FedEx will not be responsible for any claim in excess of the applicable declared value, whether the result of loss, damage, delay, non-delivery, misdelivery, or misinformation, unless you declare a higher value, pay an additional charge, document your actual loss and file a timely claim. Limitations found in the applicable FedEx Service Guide apply. Your right to recover from FedEx for any loss, including intrinsic value of the package, loss of sales, income interest, profit, attorney's fees, costs, and other forms of damage whether direct, incidental, consequential, or special is limited to the greater of 100 USD or the authorized declared value. Recovery cannot exceed actual documented loss. Maximum for items of extraordinary value is 500 USD, e.g. jewelry, precious metals, negotiable instruments and other items listed in our Service Guide. Written claims must be filed within strict time limits, see applicable FedEx Service Guide. FedEx will not be liable for loss or damage to prohibited items in any event or for your acts or omissions, including, without limitation, improper or insufficient packaging, securing, marking or addressing, or the acts or omissions of the recipient or anyone else with an interest in the package. See the applicable FedEx Service Guide for complete terms and conditions. To obtain information regarding how to file a claim or to obtain a Service Guide, please call 1-800-GO-FEDEX (1-800-463-3339).

 *IOV-EXCL00005*
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

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November 23, 2022  
Claims Center

## Exclusion Cover Page

Case Name: Inovio Securities Litigation

Case Code: IOV

Exclusion Deadline: November 23, 2022 (Must be received no later than)

Name of Person Filing Exclusion: Patrick Grandy

OPT OUT LETTER

Exclusion request

OPT OUT LETTER

To whom it may concern

Please opt me out of the litigation in the case mentioned below.

Patrick Grandy



class action 2:20-cv-01402-GJP

MCDermid v. Inovio Pharmaceuticals Inc , et al

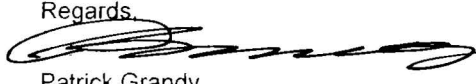
At the time in question I bought

2/14/20--8/10/20--14,316 shares

see attached

Total shares held at that time aprox 46,356 shares

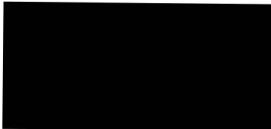
Regards,

 11/21/2022

Patrick Grandy

--

Pat Grandy



Sans Serif

Transactions Statements Confirmations Shareholder Library

Type: All transaction types

Symbol(s): ino  
(separate symbols with commas)

View range: Month-to-date | 1 day 7 days 14 days 30 days 60 days

View year: 2022 2021 2020 2019 2018 2017 2016 2015 Show More...

View dates: Feb 14 2020 to: Aug 10 2020  
You can search a date range of up to one year.

Sweeps: Hide sweeps  
Sweeps are uninvested cash transactions that move in and out of cash alternatives.

Account Balances	
2/14/2020 Cash balance	\$0.00
8/10/2020 Cash balance	\$0.00
Net change	\$0.00
2/14/2020 Cash alternatives balance	\$617.79
8/10/2020 Cash alternatives balance	\$416.09
Net change	-\$201.70

Looking for tax documents?

To find 1099s and other tax documents, [go to the Tax Center](#).

Search results for 2/14/2020 to 8/10/2020

Date/Time	Description	Amount	Commission	Reg.Fee	Details
04/21/2020 10:12:11	Bought 1000 INO @ 10.22	10,220.00	0.00	0.00	
05/12/2020 15:26:26	Bought 2788 INO @ 12.9499	36,104.32	0.00	0.00	
05/12/2020 15:26:26	Bought 1058 INO @ 12.949	13,700.04	0.00	0.00	
05/19/2020 12:16:28	Bought 3000 INO @ 14.775	44,325.00	0.00	0.00	
06/29/2020 11:48:59	Bought 371 INO @ 30.7	11,389.70	0.00	0.00	
06/29/2020 11:48:59	Bought 550 INO @ 30.69	-16,879.50	0.00	0.00	
06/29/2020 11:48:59	Bought 329 INO @ 30.68	10,093.72	0.00	0.00	
06/29/2020 11:48:59	Bought 300 INO @ 30.65	9,195.00	0.00	0.00	
07/01/2020 15:43:28	Bought 850 INO @ 19.7999	16,829.92	0.00	0.00	
07/01/2020 15:43:28	Bought 1270 INO @ 19.797	25,142.19	0.00	0.00	
07/01/2020 15:43:28	Bought 400 INO @ 19.79	-7,916.00	0.00	0.00	
07.21/2020 10:10:07	Bought 2400 INO @ 25.1	-60,240.00	0.00	0.00	



INOVIO Securities  
KCC Class Action Service  
1 Mcinnis Parkway  
Suite 250  
SAN Rafael.

94903

Exclusion Request  
c/o Gilardi + Co LLC,  
PO. Box 5100  
Larkspur, CA.

94977-5100.

NO overnight  
service to po. box  
Alternate address from  
vicki@gilardi

RECEIVED  
NOV 23 2022

NEW Package  
US AirbillFedEx  
Tracking  
Number

8048 6272 8433

Form  
ID No.

0200

## 1 From

Date

Sender's  
Name

Phone

Company

Address

Dept./Floor/Suite/Room

City

State

ZIP

## 2 Your Internal Billing Reference

## 3 To

Recipient's  
Name

Phone

Company

Address

We cannot deliver to P.O. boxes or P.O. ZIP codes

Dept./Floor/Suite/Room

Address

Use this line for the HOLD location address or for continuation of your shipping address

City

State

## HOLD Weekday

FedEx location address  
REQUIRED NOT available for  
FedEx First Overnight.

## HOLD Saturday

FedEx location address  
REQUIRED Available ONLY for  
FedEx Priority Overnight and  
FedEx 2Day to select locations

## 4 Express Package Service

\* To most locations.

NOTE: Service order has changed. Please select carefully.

Packages up to 150 lbs.  
For packages over 700 lbs., use the new  
FedEx Express Freight US Airbill

## Next Business Day



FedEx First Overnight

Earliest next business morning delivery to select  
locations. Friday shipments will be delivered on  
Monday unless SATURDAY Delivery is selected

FedEx Priority Overnight

Next business morning. \* Friday shipments will be  
delivered on Monday unless SATURDAY Delivery  
is selected

FedEx Standard Overnight

Next business afternoon.  
Saturday Delivery NOT available

## 2 or 3 Business Days



FedEx 2Day A.M.

Second business morning.\*  
Saturday Delivery NOT available

FedEx 2Day

Second business afternoon.\* Thursday shipments  
will be delivered on Monday unless SATURDAY  
Delivery is selected

FedEx Express Saver

Third business day.\*  
Saturday Delivery NOT available

## 5 Packaging

\* Declared value limit \$500.



FedEx Envelope\*



FedEx Pak\*

FedEx  
BoxFedEx  
Tube

Other

## 6 Special Handling and Delivery Signature Options



SATURDAY Delivery

NOT available for FedEx Standard Overnight, FedEx 2Day A.M., or FedEx Express Saver



No Signature Required

Package may be left without  
obtaining a signature for delivery

Direct Signature

Someone at recipient's address  
may sign for delivery. *Fee applies.*

Indirect Signature

If no one is available at recipient's  
address, someone at a neighboring  
address may sign for delivery. For  
residential deliveries only. *Fee applies.*

## Does this shipment contain dangerous goods?

One box must be checked



No

Yes  
As per attached  
Shipper's DeclarationYes  
Shipper's Declaration  
not requiredDry Ice  
Dry Ice, 3 UN 1845

x kg

Dangerous goods (including dry ice) cannot be shipped in FedEx packaging  
or placed in a FedEx Express Drop Box.☐ Cargo Aircraft Only

## 7 Payment Bill to:

Enter FedEx Acct. No. or Credit Card No. below

Obtain recip  
Acct. No ☐Sender  
Account Section

Recipient



Third Party



Credit Card



Cash/Check

Total Packages

Total Weight

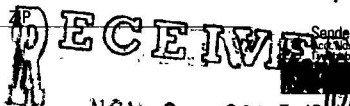
Credit Card Auth

\*Our liability is limited to US\$100 unless you declare a higher value. See the current FedEx Service Guide for details.

644



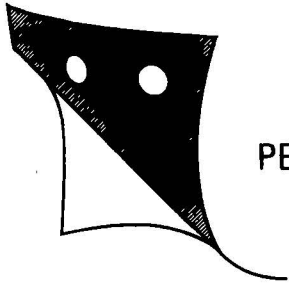
8048 6272 8433




NOV 23 2022

## **Peel-and-Stick FedEx Express Package US Airbill**

1. Complete front page of the Airbill.
2. Retain "Sender's Copy" for your records.
3. Remove label backing.
4. Adhere Airbill to front of package.  
Please DO NOT remove "FedEx Copy."



**PEEL FROM THIS CORNER.**

 *IOV-EXCL00006*
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██
██

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November 23, 2022  
Claims Center

## Exclusion Cover Page

Case Name: Inovio Securities Litigation

Case Code: IOV

Exclusion Deadline: November 23, 2022 (Must be received no later than)

Name of Person Filing Exclusion: Tanner Gudeman

Tanner Gudeman



November 22, 2022

Inovio Securities Litigation  
ATTN: EXCLUSION REQUEST  
c/o Gilardi & Co. LLC  
P.O. Box 5100  
Larkspur, CA 94977-5100

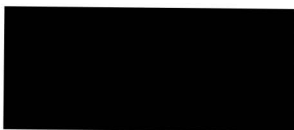
**REQUEST TO BE EXCLUDED FROM CLASS IN MCDERMID V. INOVIO  
PHARMACEUTICALS, INC., ET AL., NO. 2:20-CV-01402-GJP**

Dear Gilardi & Co. LLC:

Pursuant to the exclusion request/opt-out instructions and procedures outlined in the Notice of Pendency and Proposed Settlement of Class Action dated August 31, 2022, this letter serves as written notice of my request to be excluded from the proposed settlement in *McDermid v. Inovio Pharmaceuticals, Inc., et al.*, No. 2:20-cv-01402-GJP.

I am requesting exclusion from the Class and my identifying information is as follows:

Tanner Gudeman



Information regarding the number of shares of Inovio common stock that I: (i) owned as of the opening of trading on February 14, 2020; and (ii) purchased, acquired and/or sold from February 14, 2020 through August 10, 2020, inclusive, as well as the number of shares, dates and prices for each such purchase, acquisition and sale is attached hereto as Exhibit 1.

Sincerely,

A handwritten signature in black ink, appearing to be "Tanner Gudeman", written over a horizontal line.

Tanner Gudeman

**EXHIBIT 1**

<b>Date</b>	<b>Client Group Name</b>	<b>Symbol</b>	<b>Activity</b>	<b>Quantity</b>	<b>Price</b>	<b>Amount</b>	<b>Settle Date</b>	<b>Asset Class</b>	<b>Security Type</b>
4/19/2022	GUDEMAN TANNER	INO	BUY	1,750.00	\$2.9771	(5,214.93)	4/21/2022	SBL	Common Stock
10/6/2021	GUDEMAN TANNER	INO	BUY	3,750.00	\$6.4269	(24,105.88)	10/8/2021	SBL	Common Stock
1/22/2021	GUDEMAN TANNER	INO	BUY	2,000.00	\$8.9685	(17,942.00)	1/26/2021	SBL	Common Stock
9/16/2020	GUDEMAN TANNER	INO	BUY	18.00	\$16.8998	(304.21)	9/18/2020	SBL	Common Stock
9/16/2020	GUDEMAN TANNER	INO	BUY	56.00	\$16.8700	(944.76)	9/18/2020	SBL	Common Stock
9/16/2020	GUDEMAN TANNER	INO	BUY	926.00	\$16.8800	(15,631.62)	9/18/2020	SBL	Common Stock
9/16/2020	GUDEMAN TANNER	INO	BUY	5,000.00	\$17.6284	(88,146.21)	9/18/2020	SBL	Common Stock
9/15/2020	GUDEMAN TANNER	INO	BUY	995.00	\$13.5869	(13,523.95)	9/17/2020	SBL	Common Stock
9/15/2020	GUDEMAN TANNER	INO	BUY	5.00	\$13.5850	(67.95)	9/17/2020	SBL	Common Stock
8/14/2020	GUDEMAN TANNER	INO	BUY	900.00	\$14.8098	(13,333.32)	8/18/2020	SBL	Common Stock
8/14/2020	GUDEMAN TANNER	INO	BUY	100.00	\$14.8015	(1,480.65)	8/18/2020	SBL	Common Stock
8/6/2020	GUDEMAN TANNER	INO	BUY	490.00	\$20.3820	(9,989.68)	8/10/2020	SBL	Common Stock
8/6/2020	GUDEMAN TANNER	INO	BUY	500.00	\$19.9000	(9,952.50)	8/10/2020	SBL	Common Stock
8/5/2020	GUDEMAN TANNER	INO	BUY	460.00	\$21.7760	(10,021.96)	8/7/2020	SBL	Common Stock
7/30/2020	GUDEMAN TANNER	INO	BUY	200.00	\$22.0399	(4,409.43)	8/3/2020	SBL	Common Stock
7/30/2020	GUDEMAN TANNER	INO	BUY	250.00	\$22.0400	(5,511.82)	8/3/2020	SBL	Common Stock
7/30/2020	GUDEMAN TANNER	INO	BUY	250.00	\$20.9271	(5,233.51)	8/3/2020	SBL	Common Stock



ORIGIN ID: LEXA  
JORDAN SHEWMAKER  
DINSMORE & SHOHL LLP

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CAD: 2081815/NET4530

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TO

GILARDI & CO., LLC  
1 MCINNIS PKWY, SUITE 250

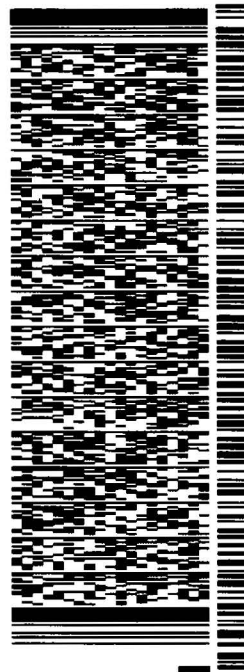
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(415) 461-0900

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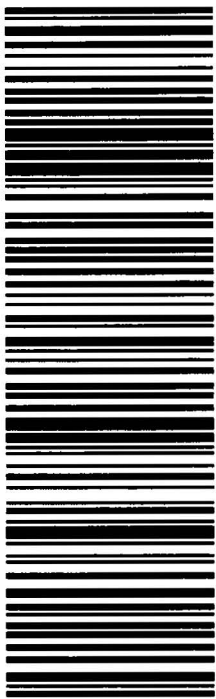


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Use of this system constitutes your agreement to the service conditions in the current FedEx Service Guide, available on [fedex.com](http://fedex.com). FedEx will not be responsible for any claim in excess of \$100 per package, whether the result of loss, damage, delay, non-delivery, misdelivery, or misinformation, unless you declare a higher value, pay an additional charge, document your actual loss and file a timely claim. Limitations found in the current FedEx Service Guide apply. Your right to recover from FedEx for any loss, including intrinsic value of the package, loss of sales, income interest, profit, attorney's fees, costs, and other forms of damage whether direct, incidental, consequential, or special is limited to the greater of \$100 or the authorized declared value. Recovery cannot exceed actual documented loss. Maximum for items of extraordinary value is \$1,000, e.g. jewelry, precious metals, negotiable instruments and other items listed in our Service Guide. Written claims must be filed within strict time limits, see current FedEx Service Guide

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## Exclusion Cover Page

Case Name: Inovio Securities Litigation

Case Code: IOV

Exclusion Deadline: November 23, 2022 (Must be received no later than)

Name of Person Filing Exclusion: John Hoff



Mr. John W. Hoff, JD, MPA

## Consultant, Fourth Amendment



November 12, 2022

Dear Inovio Securities Litigation Claims Administrator,

I wish to exclude myself from the class (opt out) by submitting this written statement prior to November 23, 2022. I would like my statement to be part of the record.

Though I am not required to state a reason why I want to opt out, I will, in fact, state a reason for purposes of urging changes in policy, law, and procedure as follows:

It seems like I get some kind of "notice of class action" every couple months concerning some stock I hold or have held in the past. In every single instance, I am required to "prove" my current or previous ownership, a tedious and time-consuming process and for what? For some very minor amount of money, assuming the settlement even gets finalized? In some instances, I am no longer active on the trading platform where I once held that stock, and I have no way to pull up that information from, say, Robinhood or TDAMeritrade.

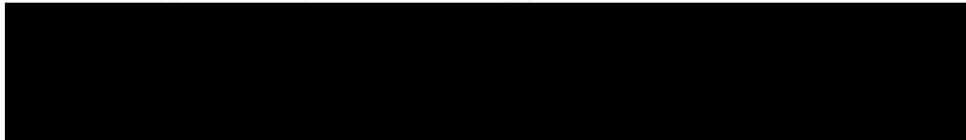
Yet the defendant and the plaintiff have knowledge, or constructive knowledge, of my stock ownership. If there wasn't a record of my owning this stock at one time or another, I would not get notified by mail in the first place. So why should I have to "prove" what is already known and recorded? Why should any burden be shifted to me, whatsoever, to "prove" my ownership interest? Rather, I should be sent a form confirming my contact information and then just go ahead and mail me what, if anything, I am due.

It is my intention to just keep "opting out" of these notices of class action, every blessed time, by sending this same exact letter. You have shifted a burden to me, so I now shift it right back to you.

Sincerely,

John Hoff

A handwritten signature in cursive script that reads "John Hoff".

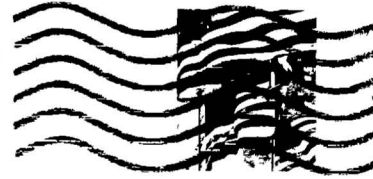




John Hoff



15 NOV 2022 PM 2 L




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Inovio Securities Litigation  
Claims Administrator  
C/o Gilardi & Co. LLC  
P.O. Box 6162  
Novato, CA

94948-616262

94948-6162

 *IOV-EXCL80001*
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## Exclusion Cover Page

Case Name: Inovio Securities Litigation

Case Code: IOV

Exclusion Deadline: November 23, 2022 (Must be received no later than)

Name of Person Filing Exclusion: Carter Brown  
c/o Damian Brown

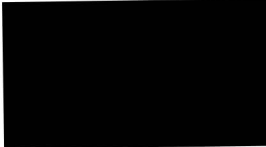
Inovio Securities Litigation

ATTN: EXCLUSION REQUEST,

c/o Gilardi & Co. LLC,

P.O Box 5100, Larkspur, CA 94977-5100

Carter Brown c/o Damian Brown



October 26, 2022

To Whom It May Concern:

I Damian Brown is requesting on behalf Carter Brown (Beneficial Purchaser) to be excluded from the Class in *McDermid v. Inovio Pharmaceuticals, Inc.*, et al., No. 2:20-cv-01402-GJP.

Damian Brown

A handwritten signature in black ink, consisting of stylized, overlapping loops and a long horizontal stroke extending to the right.



Schwab One® Custodial Account of  
**DAMIAN BROWN CUST FOR  
 CARTER BROWN UNYUTMA  
 UNTIL AGE 21**

Account Number  
 [REDACTED]

## Trade Confirmation

### **SOLD Cronos Group Inc** (Symbol: CRON)

Security No./CUSIP: 22717L-10-1

Type: Cash

Trade: 10/14/20

Settle: 10/16/20

Quantity	Price (\$)	Principal (\$)	Charges and/or Interest (\$)	Total Amount (\$)
----------	------------	----------------	------------------------------	-------------------

#### For this security:

- The cost basis method requested was FIFO. Please view the Cost Basis Disclosure Statement for additional information on cost basis method choices and how Schwab reports adjusted cost basis information to the IRS.
- Schwab acted as your agent.

Internal Use Only 2, E

### **SOLD Inovio Pharma** (Symbol: INO)

Security No./CUSIP: 45773H-20-1

Type: Cash

Trade: 10/14/20

Settle: 10/16/20

Quantity	Price (\$)	Principal (\$)	Charges and/or Interest (\$)	Total Amount (\$)
5	12.1922	60.96	N/A	60.96

#### For this security:

- The cost basis method requested was FIFO. Please view the Cost Basis Disclosure Statement for additional information on cost basis method choices and how Schwab reports adjusted cost basis information to the IRS.
- Schwab acted as your agent.

Internal Use Only 2, E



Schwab One® Custodial Account of  
**DAMIAN BROWN CUST FOR  
 CARTER BROWN UNYUTMA  
 UNTIL AGE 21**

Account Number

Statement Period

August 1-31, 2020

## Investment Detail - Equities

Equities	Quantity Units Purchased	Market Price Cost Per Share	Market Value Cost Basis	% of Account Assets Acquired	Unrealized Gain or (Loss)	Estimated Yield Holding Days	Estimated Annual Income Holding Period
<b>CRONOS GROUP INC</b> F							N/A
SYMBOL: CRON							
<b>INOVIO PHARMA</b>	<b>5.0000</b>	<b>11.99000</b>	<b>59.95</b>	<b>15%</b>	<b>(9.10)</b>	<b>N/A</b>	<b>N/A</b>
SYMBOL: INO	5.0000	13.8100	69.05	04/29/20	(9.10)	124	Short-Term
<b>MATTEL INC.</b> °							N/A
SYMBOL: MAT							

### Cost Basis

<b>Total Equities</b>	<b>42.0000</b>		<b>405.77</b>	<b>100%</b>	<b>14.52</b>		<b>N/A</b>
	<b>Total Cost Basis:</b>		<b>391.25</b>				

Estimated Annual Income ("EAI") and Estimated Yield ("EY") calculations are for informational purposes only. The actual income and yield might be lower or higher than the estimated amounts. EY is based upon EAI and the current price of the security and will fluctuate. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a prior rate.

<b>Total Investment Detail</b>	<b>344.52</b>
<b>Total Account Value</b>	<b>344.52</b>
<b>Total Cost Basis</b>	<b>391.25</b>



Schwab One® Custodial Account of  
**DAMIAN BROWN CUST FOR  
 CARTER BROWN UNYUTMA  
 UNTIL AGE 21**

Account Number  
 [REDACTED]

## Trade Confirmation

### **BOUGHT** Inovio Pharma (Symbol: INO)

Security No./CUSIP: 45773H-20-1

Type: Cash

Trade: 04/29/20

Settle: 05/01/20

Quantity	Price (\$)	Principal (\$)	Charges and/or Interest (\$)	Total Amount (\$)
5	13.81	69.05	N/A	69.05

**For this security:**

- Schwab acted as your agent

Internal Use Only 2, E

### **BOUGHT** Mattel Inc. Dividends reinvested (Symbol: MAT)

Security No./CUSIP: 577081-10-2

Type: Cash

Trade: 04/29/20

Settle: 05/01/20

Quantity	Price (\$)	Principal (\$)	Charges and/or Interest (\$)	Total Amount (\$)

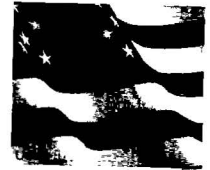
**For this security:**

- Schwab acted as your agent

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CARTER BROWN C/O DAMIAN BROWN

NOV 28 2022



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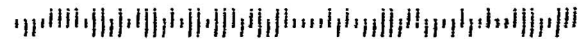
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ATTN:

EXCLUSION REQUEST, C/O GILARDI & CO LLC,  
P.O. BOX 5100,  
LARKSPUR, CA 94977-5100

94977-510000





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## Exclusion Cover Page

Case Name: Inovio Securities Litigation

Case Code: IOV

Exclusion Deadline: November 23, 2022 (Must be received no later than)

Name of Person Filing Exclusion: Tanner Gudeman

Tanner Gudeman

November 22, 2022

Inovio Securities Litigation  
ATTN: EXCLUSION REQUEST  
c/o Gilardi & Co. LLC  
P.O. Box 5100  
Larkspur, CA 94977-5100

**REQUEST TO BE EXCLUDED FROM CLASS IN MCDERMID V. INOVIO  
PHARMACEUTICALS, INC., ET AL., NO. 2:20-CV-01402-GJP**

Dear Gilardi & Co. LLC:

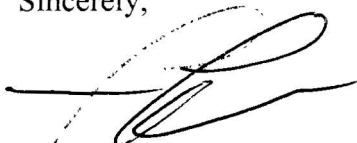
Pursuant to the exclusion request/opt-out instructions and procedures outlined in the Notice of Pendency and Proposed Settlement of Class Action dated August 31, 2022, this letter serves as written notice of my request to be excluded from the proposed settlement in *McDermid v. Inovio Pharmaceuticals, Inc., et al.*, No. 2:20-cv-01402-GJP.

I am requesting exclusion from the Class and my identifying information is as follows:

Tanner Gudeman

Information regarding the number of shares of Inovio common stock that I: (i) owned as of the opening of trading on February 14, 2020; and (ii) purchased, acquired and/or sold from February 14, 2020 through August 10, 2020, inclusive, as well as the number of shares, dates and prices for each such purchase, acquisition and sale is attached hereto as Exhibit 1.

Sincerely,



Tanner Gudeman

**EXHIBIT 1**

<b>Date</b>	<b>Client Group Name</b>	<b>Symbol</b>	<b>Activity</b>	<b>Quantity</b>	<b>Price</b>	<b>Amount</b>	<b>Settle Date</b>	<b>Asset Class</b>	<b>Security Type</b>
4/19/2022	GUDEMAN TANNER	INO	BUY	1,750.00	\$2.9771	(5,214.93)	4/21/2022	SBL	Common Stock
10/6/2021	GUDEMAN TANNER	INO	BUY	3,750.00	\$6.4269	(24,105.88)	10/8/2021	SBL	Common Stock
1/22/2021	GUDEMAN TANNER	INO	BUY	2,000.00	\$8.9685	(17,942.00)	1/26/2021	SBL	Common Stock
9/16/2020	GUDEMAN TANNER	INO	BUY	18.00	\$16.8998	(304.21)	9/18/2020	SBL	Common Stock
9/16/2020	GUDEMAN TANNER	INO	BUY	56.00	\$16.8700	(944.76)	9/18/2020	SBL	Common Stock
9/16/2020	GUDEMAN TANNER	INO	BUY	926.00	\$16.8800	(15,631.62)	9/18/2020	SBL	Common Stock
9/16/2020	GUDEMAN TANNER	INO	BUY	5,000.00	\$17.6284	(88,146.21)	9/18/2020	SBL	Common Stock
9/15/2020	GUDEMAN TANNER	INO	BUY	995.00	\$13.5869	(13,523.95)	9/17/2020	SBL	Common Stock
9/15/2020	GUDEMAN TANNER	INO	BUY	5.00	\$13.5850	(67.95)	9/17/2020	SBL	Common Stock
8/14/2020	GUDEMAN TANNER	INO	BUY	900.00	\$14.8098	(13,333.32)	8/18/2020	SBL	Common Stock
8/14/2020	GUDEMAN TANNER	INO	BUY	100.00	\$14.8015	(1,480.65)	8/18/2020	SBL	Common Stock
8/6/2020	GUDEMAN TANNER	INO	BUY	490.00	\$20.3820	(9,989.68)	8/10/2020	SBL	Common Stock
8/6/2020	GUDEMAN TANNER	INO	BUY	500.00	\$19.9000	(9,952.50)	8/10/2020	SBL	Common Stock
8/5/2020	GUDEMAN TANNER	INO	BUY	460.00	\$21.7760	(10,021.96)	8/7/2020	SBL	Common Stock
7/30/2020	GUDEMAN TANNER	INO	BUY	200.00	\$22.0399	(4,409.43)	8/3/2020	SBL	Common Stock
7/30/2020	GUDEMAN TANNER	INO	BUY	250.00	\$22.0400	(5,511.82)	8/3/2020	SBL	Common Stock
7/30/2020	GUDEMAN TANNER	INO	BUY	250.00	\$20.9271	(5,233.51)	8/3/2020	SBL	Common Stock



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**Date Accepted (MM/DD/YY)** 11/22/22 **Scheduled Delivery Time** ☐ 10:30 AM ☒ 3:00 PM ☐ 12 NOON **Insurance Fee** \$ **COD Fee** \$

**Time Accepted** 3:30 ☐ AM ☒ PM **10:30 AM Delivery Fee** \$ **Return Receipt Fee** \$ **Live Animal Transportation Fee** \$

**Special Handling/Fragile** \$ **Sunday/Holiday Premium Fee** \$ **Total Postage & Fees** \$ 27.90

**Weight** ☐ Flat Rate ☒ Retail Rate **Acceptance Employee Initials** PO

**DELIVERY (POSTAL SERVICE USE ONLY)**

**Delivery Attempt (MM/DD/YY)** **Time** ☐ AM ☐ PM **Employee Signature**

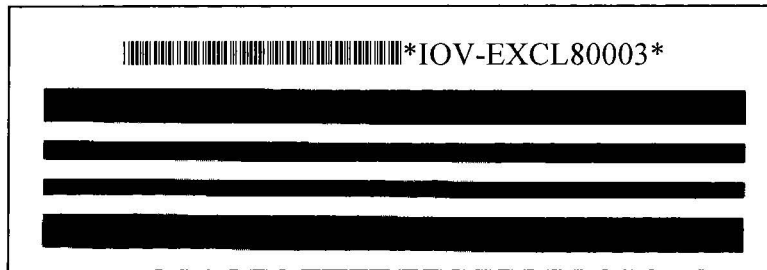
**Delivery Attempt (MM/DD/YY)** **Time** ☐ AM ☐ PM **Employee Signature**

LABEL 11-B, MARCH 2019

PSN 7690-02-000-9996



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## Exclusion Cover Page

Case Name: Inovio Securities Litigation

Case Code: IOV

Exclusion Deadline: November 23, 2022 (Must be received no later than)

Name of Person Filing Exclusion: James A Laite



November 21, 2022

Hello,

I do not want to be part of the class action law suit.

If you have any questions, please feel free to contact me at [REDACTED]

James Andrew Laite



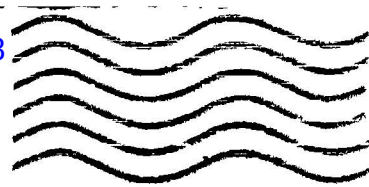
McDermid v. Inovio Pharmaceuticals, et al., No. 2:20-cv-01402-GJP

Thanks,  
  
James A Laite



James A Laite

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ATTN: Exclusion Request


C/O Gilardi + Co. LLC

P.O. Box 5100

Markspur, CA 94977-5100

94977-510000



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## Exclusion Cover Page

Case Name: Inovio Securities Litigation

Case Code: IOV

Exclusion Deadline: November 23, 2022 (Must be received no later than)

Name of Person Filing Exclusion: Anna Allen



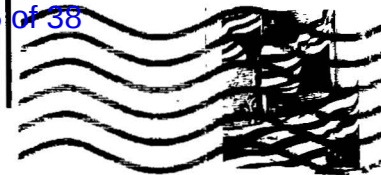
I never OK  
this and I  
want to opt  
out.

Signed  
Cima 4  
Allen



Anna Allen

30 NOV 2022 PM 2 L



*Inovio Securities Litigation*  
Claims Administrator  
c/o Gilardi & Co. LLC  
P.O. Box 6162  
Novato, CA 94948-6162

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Merry Christmas 2016




AMERICAN LUNG ASSOCIATION

Season's Greetings 2016



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## Exclusion Cover Page

Case Name: Inovio Securities Litigation

Case Code: IOV

Exclusion Deadline: November 23, 2022 (Must be received no later than)

Name of Person Filing Exclusion: Richard L and Linda C Browett Trustee  
Browett Family Trust DTD 04/23/2014



2 December 2022

Inovio Securities Administration Litigation  
c/o Gilardi & Co. LLC  
PO Box 6162  
Novato, CA 94948-6162

To Whom It May Concern:

By our signatures below, I, we, are writing to you to inform you that I, we, wish to be excluded from the class action law suit Civ. Action No 2-20-cv-01402-GJP. Our shares were bought by and owned by the Browett Family Trust dated April 23, 2014, Trustees Richard L. Browett and Linda C. Browett. The address of the Browett Family Trust is stated above on this letterhead.

  
Richard L. Browett, Trustee

  
Linda C. Browett, Trustee

RICHARD BROWETT

DEC 05 2022 PM 7 11

*Inovio Securities Litigation*  
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