

PROOF OF CLAIM AND RELEASE FORM

UNITED STATES DISTRICT COURT FOR THE DISTRICT OF COLORADO
Tao Wang and Synworld Technologies Corp. v. Ampio Pharmaceuticals, Inc., et al.,
Case No. 1:22-cv-02105-WJM-MEH

Ampio Pharmaceuticals Securities Settlement
P.O. Box 25226
Santa Ana, CA 92799

833-602-5027
info@AmpioSecuritiesSettlement.com
www.AmpioSecuritiesSettlement.com

THIS PROOF OF CLAIM AND RELEASE FORM (“CLAIM FORM”) APPLIES TO PERSONS WHO PURCHASED OR OTHERWISE ACQUIRED AMPIO’S COMMON STOCK BETWEEN DECEMBER 29, 2020, AND AUGUST 2, 2022, INCLUSIVE, AND WHO SUFFERED DAMAGES THEREBY.¹

I. GENERAL INSTRUCTIONS

1. To recover as a member of the Settlement Class based on your claims in the action entitled *Tao Wang and Synworld Technologies Corp. v. Ampio Pharmaceuticals, Inc., et al.*, Case No. 1:22-cv-02105-WJM-MEH (D. Colo.) (the “Action”), you must complete and, on page 8 hereof, sign this Claim Form. If you fail to submit a timely and properly addressed (as set forth in paragraph 3 below) Claim Form along with the requested supporting documentation, your claims may be rejected and you may not receive any recovery from the Settlement Fund created in connection with the proposed Settlement of the Action.
2. Submission of this Claim Form, however, does not assure that you will share in proceeds of the Settlement of the Action.
3. YOU MUST SUBMIT YOUR COMPLETED AND SIGNED CLAIM FORM AND THE SUPPORTING DOCUMENTS REQUESTED HEREIN NO LATER THAN **JANUARY 13, 2025**, TO THE CLAIMS ADMINISTRATOR, BY ONE OF THE FOLLOWING METHODS:

Via email to: info@AmpioSecuritiesSettlement.com

By mail to: *Ampio Pharmaceuticals Securities Settlement*
Claims Administrator
P.O. Box 25226
Santa Ana, CA 92799

If you are NOT a member of the Settlement Class (as defined in the Notice), DO NOT submit a Claim Form. Also, NOTE THAT CLAIMS CALCULATING TO AN AWARD AMOUNT OF LESS THAN \$10.00 WILL NOT BE PAID.

4. If you are a member of the Settlement Class and you did not timely request exclusion from the Settlement Class, you will be bound by the terms of any judgment entered in the Action, including the releases provided herein, WHETHER OR NOT YOU SUBMIT A CLAIM FORM.

¹ All capitalized terms not otherwise defined in this document shall have the meaning provided in the Stipulation of Settlement dated May 13, 2024 (the “Stipulation”).

II. CLAIMANT IDENTIFICATION

You are a Settlement Class Member if you purchased or otherwise acquired Ampio common stock between December 29, 2020, and August 2, 2022, inclusive, and suffered damages thereby. Excluded from the Settlement Class are (i) Defendants; (ii) members of the Immediate Family of each of the Individual Defendants; (iii) all subsidiaries and affiliates of Ampio and the current and former directors and officers of Ampio and its subsidiaries or affiliates; (iv) any firm, trust, partnership, corporation, or entity in which any Defendant has a controlling interest; (v) the legal representatives, agents, affiliates, heirs, successors-in-interest or assigns of all such excluded parties; and (vi) any persons or entities who properly exclude themselves by filing a valid and timely request for exclusion.

If you purchased or otherwise acquired Ampio common stock and held the certificate(s) in your name, you are the beneficial purchaser as well as the record purchaser. If, however, the certificate(s) was/were registered in the name of a third party, such as a nominee or brokerage firm, you are the beneficial purchaser, and the third party is the record purchaser.

Use Part I of this form entitled “Claimant Information” to identify yourself and each owner of record (“nominee”) if different from the beneficial owner of the Ampio stock that forms the basis of this claim. **THIS CLAIM MUST BE FILED BY THE ACTUAL BENEFICIAL PURCHASER(S) OR ACQUIRER(S), OR THE LEGAL REPRESENTATIVE OF SUCH PURCHASER(S) OR ACQUIRER(S) OF THE AMPIO COMMON STOCK UPON WHICH THIS CLAIM IS BASED.**

All joint purchasers or acquirers must sign this Claim Form. Executors, administrators, guardians, conservators, and trustees must complete and sign this Claim Form on behalf of Persons represented by them and their authority must accompany this claim and their titles or capacities must be stated. The Social Security (or taxpayer identification) number and telephone number of the beneficial owner may be used in verifying the claim. Failure to provide the foregoing information could delay verification of your claim or result in rejection of the claim.

If you are acting in a representative capacity on behalf of a member of the Settlement Class (for example, as an executor, administrator, trustee, or other representative), you must submit evidence of your current authority to act on behalf of that member of the Settlement Class. Such evidence would include, for example, letters testamentary, letters of administration, or a copy of the trust documents.

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. All Claimants **MUST** submit a signed Claim Form listing all their transactions whether or not they also submit electronic copies. If you wish to file your claim electronically, you must contact the Claims Administrator at info@AmpioSecuritiesSettlement.com or visit their website at www.AmpioSecuritiesSettlement.com to obtain the required file layout. No electronic files will be considered to have been properly submitted unless the Claims Administrator issues to the Claimant a written acknowledgment of receipt and acceptance of electronically submitted data.

III. CLAIM FORM

Use Part II of this form entitled “Schedule of Transactions in Ampio Common Stock,” to supply all required details of your transaction(s) in Ampio common stock. If you need more space or additional schedules, attach separate sheets giving all of the required information in substantially the same form. Sign and print or type your name on each additional sheet.

On the schedules, provide all the requested information with respect to: (1) all of your transactions in Ampio common stock that took place between December 29, 2020 and October 31, 2022, inclusive; (2) the number of shares of Ampio common stock that you held at the close of trading on December 28, 2020; and (3) the number of shares of Ampio common stock that you held at the close of trading on October 31, 2022. Failure to report all such transactions may result in the rejection of your claim.

List each transaction separately and in chronological order, by trade date, beginning with the earliest. You must accurately provide the month, day, and year of each transaction you list.

The date of covering a "short sale" is deemed to be the date of purchase of Ampio common stock. The date of a "short sale" is deemed to be the date of sale of Ampio common stock.

For each transaction, you must provide, together with this Claim Form, copies of stockbroker confirmations slips, stockbroker statements, or other documents adequately evidencing your transactions in Ampio common stock. If any such documents are not in your possession, please obtain a copy or equivalent documents from your broker because these documents are necessary to prove and process your claim. Failure to provide this documentation could delay verification of your claim or result in rejection of your claim.

PART I. CLAIMANT INFORMATION

Please complete Part I in its entirety. The Claims Administrator will use this information for all communications regarding this Proof of Claim and Release Form. If this information changes, please notify the Claims Administrator by emailing info@AmpioSecuritiesSettlement.com or by writing to *Ampio Pharmaceuticals Securities Settlement*, Claims Administrator, P.O. Box 25226, Santa Ana, CA 92799.

Beneficial Owner's First Name	MI	Beneficial Owner's Last Name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Co-Beneficial Owner's First Name	MI	Co-Beneficial Owner's Last Name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Entity Name (if Beneficial Owner is not an individual)

Representative or Custodian Name (if different from Beneficial Owner)

Last four digits of Social Security Number or Taxpayer Identification Number (if U.S. resident)

Account Number (where securities were traded)

Claimant Account Type (check appropriate box)

Individual	Joint	Corporation	IRA/401K	Pension Plan	Estate	Trust
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Other (please specify)

(continued on next page)

Address 1 (street name and number)

Grid for Address 1

Address 2 (apartment, unit, or box number)

Grid for Address 2

City

Grid for City

State

Grid for State

ZIP Code / Postal Code

Grid for ZIP Code

Country

Grid for Country

Email Address

Grid for Email Address

Phone Number

Grid for Phone Number

PART II. SCHEDULE OF TRANSACTIONS

A. Beginning Holdings: State the total number of shares of Ampio common stock owned at the close of trading on December 28, 2020, long or short (must be documented):

Grid for Beginning Holdings

B. Purchases: Separately list each and every share you purchased or acquired of Ampio common stock during the period from December 29, 2020, to October 31, 2022, inclusive, and provide the following information (must be documented):^2

Table with 4 columns: Purchase Date (List Chronologically) (MM/DD/YY), Number of Shares Purchased, Purchase Price per Share, Total Cost (Excluding Commissions, Taxes, and Fees). Includes 5 rows of grids for data entry.

^2 Please note: Information requested with respect to your purchase or acquisition of Ampio common stock from August 3, 2022 through and including October 31, 2022 is needed in order to calculate your claim; purchases during this period, however, are not eligible under the Settlement.

C. **Sales:** Separately list each and every sale of Ampio publicly traded common stock during the period between **December 29, 2020, and October 31, 2022, inclusive**, and provide the following information (must be documented):

Sale Date (List Chronologically) (MM/DD/YY)	Number of Shares Sold	Sale Price per Share	Total Proceeds (Excluding Commissions, Taxes, and Fees)
<input type="text"/>	<input type="text"/>	<input type="text"/> . <input type="text"/>	<input type="text"/> . <input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/> . <input type="text"/>	<input type="text"/> . <input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/> . <input type="text"/>	<input type="text"/> . <input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/> . <input type="text"/>	<input type="text"/> . <input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/> . <input type="text"/>	<input type="text"/> . <input type="text"/>

D. **Ending Holdings:** State the total number of shares of Ampio publicly traded common stock owned at the close of trading on October 31, 2022, long or short (*must be documented*):

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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If additional space is needed, attach separate, numbered sheets, giving all required information, substantially in the same format, and print your name and Social Security or Taxpayer Identification Number at the top of each sheet. **NOTE THAT CLAIMS CALCULATING TO AN AWARD AMOUNT LESS THAN \$10.00 WILL NOT BE PAID.**

YOU MUST READ THE RELEASE AND SIGN BELOW. FAILURE TO SIGN MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.

PART III. SUBSTITUTE FORM W-9

Request for Taxpayer Identification Number: Enter taxpayer identification number below for the Beneficial Owner(s). For most individuals, this is your Social Security Number. The Internal Revenue Service (“I.R.S.”) requires such taxpayer identification number. If you fail to provide this information, your claim may be rejected.

Social Security Number
(for Individuals)

<input type="text"/>	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>
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Taxpayer Identification Number
(for estates, trusts, corporations, etc.)

<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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or

PART IV. SUBMISSION TO JURISDICTION OF COURT AND ACKNOWLEDGMENTS

I (We) submit this Claim Form under the terms of the Stipulation described in the Notice. I (We) also submit to the jurisdiction of the Court, with respect to my (our) claim as a Settlement Class Member and for purposes of enforcing the releases set forth herein. I (We) further acknowledge that I am (we are) bound by and subject to the terms of any judgment that may be entered in the Action. I (We) agree to furnish additional information to the Claims Administrator to support this claim if requested to do so. I (We) have not submitted any other claim covering the same purchases, acquisitions, or sales of Ampio common stock during the relevant period and know of no other person having done so on my (our) behalf.

PART V. RELEASES

1. I (We) hereby acknowledge full and complete satisfaction of, and do hereby fully, finally, and forever settle, release, and discharge from the Released Claims each and all of the Releasees as provided in the Stipulation of Settlement.
2. “Released Claims” means all Released Defendants’ Claims and all Released Plaintiffs’ Claims.
3. “Released Defendants’ Claims” means all claims and causes of action of every nature and description, whether known or Unknown Claims, whether arising under federal, state, local, common, statutory, administrative, or foreign law, or any other law, rule, or regulation, at law or in equity, whether fixed or contingent, whether foreseen or unforeseen, whether accrued or unaccrued, whether liquidated or unliquidated, whether matured or unmatured, whether direct, representative, class, or individual in nature, that arise out of or relate in any way to the institution, prosecution, or settlement of the claims against Defendants, which Defendants will release as against Plaintiffs’ Releasees upon the Effective Date. Released Defendants’ Claims shall not include: (1) any claims relating to the enforcement of the Settlement; or (2) any claims against any Person or entity who or which submits a request for exclusion from the Settlement Class that is accepted by the Court.
4. “Released Plaintiffs’ Claims” means all claims, rights, causes of action, duties, obligations, demands, actions, debts, sums of money, suits, contracts, agreements, promises, damages and liabilities, of every nature and description, whether known or Unknown Claims, whether arising under federal, state, local, common, statutory, administrative, or foreign law, or any other law, rule, or regulation, at law or in equity, whether fixed or contingent, whether foreseen or unforeseen, whether accrued or unaccrued, whether liquidated or unliquidated, whether matured or unmatured, whether indirect, representative, direct, class or individual in nature, whether suspected or unsuspected, whether foreign or domestic, that have been asserted, could have been asserted or could in the future be asserted against Defendants or any of the Defendants’ Releasees that arise out of or relate in any way to (i) the allegations, transactions, acts, facts, events, matters, occurrences, representations or omissions involved, set forth, alleged or referred to in this Action, and (ii) the purchase, acquisition, sale or disposition of Ampio common stock during the Class Period. The following claims are explicitly excluded from release: (1) all claims related to the enforcement of the Settlement; and (2) any claims of any Person or entity who or which submits a request for exclusion from the Settlement that is accepted by the Court.
5. “Releasee(s)” means each and any of the Defendants’ Releasees and each and any of the Plaintiffs’ Releasees.
6. “Defendants’ Releasees” means Defendants, and any and all of their related parties in any forum, including, without limitation, any and all of their current, former, or future parents, subsidiaries, affiliates, predecessors, successors, divisions, investment funds, joint ventures and general or limited partnerships, and each of their respective current or former officers, directors, trustees, partners, shareholders, owners, members, contractors, subcontractors, auditors, principals, agents, managing agents, employees, attorneys, accountants, advisors, investment bankers, underwriters, co-insurers, reinsurers, insurers or assigns, in their capacities as such, as well as each of the Individual Defendants’ and Michael Macaluso’s Immediate Family members, heirs, trusts, trustees, executors, administrators,

personal or legal representatives, estates, beneficiaries, agents, attorneys, accountants, insurers, co-insurers, reinsurers, advisors, and assigns, in their capacities as such.

7. "Plaintiffs' Releasees" means (i) Lead Plaintiffs, their attorneys, and all other Settlement Class Members; (ii) affiliates, current and former parents, subsidiaries, successors, predecessors, assigns, executors, administrators, representatives, attorneys, and agents of each of the foregoing in (i); and (iii) the current and former officers, directors, Immediate Family members, heirs, trusts, trustees, executors, estates, administrators, beneficiaries, agents, affiliates, insurers, reinsurers, predecessors, successors, assigns, and advisors of each of the persons or entities listed in (i) and (ii), in their capacities as such.
8. "Unknown Claims" means any Released Plaintiffs' Claims which any Lead Plaintiff or any other Settlement Class Member does not know or suspect to exist in his, her, or its favor at the time of the release of such claims, and any Released Defendants' Claims that any Defendant does not know or suspect to exist in his, her, or its favor at the time of the release of such claims, which, if known by him, her, or it, might have materially affected his, her, or its decision(s) with respect to this Settlement. With respect to any and all Released Claims, the Parties stipulate and agree that, upon the Effective Date of the Settlement, Lead Plaintiffs and Defendants shall expressly waive, and each of the other Settlement Class Members shall be deemed to have waived, and by operation of the Judgment or the Alternate Judgment, if applicable, shall have expressly waived, any and all provisions, rights, and benefits conferred by any law of any state or territory of the United States, or principle of common law or foreign law, which is similar, comparable, or equivalent to California Civil Code §1542, which provides:

A general release does not extend to claims that the creditor or releasing party does not know or suspect to exist in his or her favor at the time of executing the release and that, if known by him or her, would have materially affected his or her settlement with the debtor or released party.

Lead Plaintiffs, other Settlement Class Members, any of Plaintiffs' Releasees, Defendants, or any of Defendants' Releasees may hereafter discover facts, legal theories, or authorities in addition to or different from those which any of them now knows or believes to be true with respect to the subject matter of the Released Claims, but Lead Plaintiffs and Defendants shall expressly, fully, finally, and forever waive, compromise, settle, discharge, extinguish, and release, and each Settlement Class Member shall be deemed to have waived, compromised, settled, discharged, extinguished, and released, and upon the Effective Date and by operation of the Judgment or Alternative Judgment shall have waived, compromised, settled, discharged, extinguished, and released, fully, finally, and forever, any and all Released Claims, known or unknown, suspected or unsuspected, contingent or absolute, accrued or unaccrued, apparent or unapparent, which now exist, or heretofore existed, or may hereafter exist, without regard to the subsequent discovery or existence of such different or additional facts, legal theories, or authorities. Lead Plaintiffs and Defendants acknowledge, and each of the other Settlement Class Members shall be deemed by operation of law to have acknowledged, that the foregoing waiver was separately bargained for and a material element of the Settlement.

9. These releases shall be of no force or effect unless and until the Court approves the Stipulation and the Settlement becomes effective on the Effective Date.
10. I (We) hereby warrant and represent that I (we) have not assigned or transferred or purported to assign or transfer, voluntarily or involuntarily, any claim or matter released pursuant to this release or any other part or portion thereof.
11. I (We) hereby warrant and represent that I (we) have included all the information requested (including supporting documentation) about all of my (our) transactions and positions in Ampio common stock between December 28, 2020, and October 31, 2022, inclusive. I (we) agree to furnish additional information to the Claims Administrator to support this claim if requested to do so.

Print Name of person signing on behalf of Claimant (Beneficial Owner)

Grid of boxes for printing the name.

Signature of person signing on behalf of Claimant (Beneficial Owner)

Large rectangular box for the signature.

MM DD YY date entry boxes.

Part VI. IMPORTANT REMINDERS

THE CLAIM FORM AND SUPPORTING DOCUMENTATION MUST BE SUBMITTED ON OR BEFORE JANUARY 13, 2025, TO THE CLAIMS ADMINISTRATOR BY ONE OF THE FOLLOWING METHODS:

Via email to: info@AmpioSecuritiesSettlement.com

By mail to: Ampio Pharmaceuticals Securities Settlement
Claims Administrator
P.O. Box 25226
Santa Ana, CA 92799

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if mailed by JANUARY 13, 2025 and if a postmark is indicated on the envelope and it is mailed and addressed in accordance with the above instructions. In all other cases, a Claim Form shall be deemed to have been submitted when actually received by the Claims Administrator.

You should be aware that it will take a significant amount of time to process fully all of the Claim Forms and to administer the Settlement. This work will be completed as promptly as time permits, given the need to investigate and tabulate each Claim Form. Please notify the Claims Administrator of any change of address.

REMINDER CHECKLIST

- Please be sure to sign this Claim Form on page 8. If this Claim Form is submitted on behalf of Joint Claimants, then both Claimants must sign.
- Please remember to attach supporting documents. Do NOT send originals of stock certificates. Keep copies of everything you submit.
- Do NOT use highlighter on the Claim Form or any supporting documents.
- If you move after submitting this Claim Form, please notify the Claims Administrator of the change in your address.