

**Must be Received
No Later Than
11:59 PM (Eastern time)
on May 31, 2021**

**Canadian Solar Securities Class Action
c/o Epiq Class Action Services Canada Inc.
info@CanadianSolarSettlement.ca
P.O. Box 507 STN B
Ottawa ON K1P 5P6**

Claim Number:

CLAIM FORM

YOU MUST SUBMIT A CLAIM FORM TO THE ADDRESS ABOVE RECEIVED **NO LATER THAN 11:59 PM (EASTERN TIME) ON MAY 31, 2021, TO BE ELIGIBLE FOR COMPENSATION PURSUANT TO THE SETTLEMENT OBTAINED IN CONNECTION WITH THE CANADIAN SOLAR SECURITIES CLASS ACTION (THE “ACTION”).**

Please note, your rights under the *Personal Information Protection and Electronic Documents Act* (PIPEDA) require private-sector organizations, such as ours, to seek your consent to collect, use and disclose your personal information only for the purposes that are stated and reasonable.

To that end, we will collect, use or disclose your personal information in accordance with our privacy notice to determine whether you are an eligible claimant in the Action. We may share your personal information with our affiliated and third-party Canadian based companies in accordance with our privacy notice for purposes of determining your eligibility to receive an award in the Action. For more information concerning our collection, use or disclosure of your personal information, please review our privacy notice available at <https://www.epiqglobal.com/en-us/privacy-statement>.

Unless otherwise provided by federal or provincial law, you may withdraw your consent at any time and that such withdrawal shall be effective upon receipt by the Administrator, but will not have any effect on actions taken by the Administrator before it receives such revocation. If you choose to withdraw your consent the Administrator may be unable to determine your eligibility to receive an award in the Action.

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www.CanadianSolarSettlement.ca

Important - This form should be completed IN CAPITAL LETTERS using BLACK or DARK BLUE ballpoint/fountain pen. Characters and marks used should be similar in the style to the following:

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z 1 2 3 4 5 6 7 0

SECTION A – CLAIMANT IDENTIFICATION

Claimant or Representative Contact Information:

The Administrator will use this information for all communications relevant to this claim (including the cheque, if eligible for payment).

If this information changes, you **MUST** notify the Administrator in writing at the contact information noted on page 1.

Claimant Name(s) (as you would like the name(s) to appear on the cheque, if eligible for payment):

[illegible]**Account Number(s):**[illegible]**Street Address:**[illegible]

City:

[illegible]**Province/Territory/State:****Postal/Zip Code:**

Country:

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Name of the Person you would like the Claims Administrator to contact regarding this claim (if different from the Claimant Name(s) listed above):

[illegible]**Daytime Telephone Number:**

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Evening Telephone Number:

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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.)

[illegible]

NOTICE REGARDING ELECTRONIC FILES: Certain claimants with large numbers of transactions may request to, or may be requested to, submit information regarding their transactions in electronic files. To obtain the mandatory electronic filing requirements and file layout, please visit the Settlement website www.CanadianSolarSettlement.ca or you may email the Administrator's electronic filing department at info@CanadianSolarSettlement.ca. Any file not in accordance with the required electronic filing format will be subject to rejection. No electronic files will be considered to have been properly submitted unless the Administrator issues an email after processing your file with your claim numbers and respective account information. Do not assume that your file has been received or processed until you receive this email.

To view Epiq's Privacy Notice, please visit
<https://www.epiqglobal.com/en-us/privacy-statement>

SECTION B – GENERAL INSTRUCTIONS

- A. It is important that you completely read and understand the Notice of Settlement Approval Hearing in the Canadian Solar Corporation (“CSIQ”) Securities Class Action (the “Notice”), the Settlement Agreement and the Distribution Protocol, which contain the definitions of many of the defined terms (which are indicated by initial capital letters) used in this Claim Form.

TO BE ELIGIBLE TO RECEIVE A PAYMENT FROM THE SETTLEMENT FUND CREATED BY THE SETTLEMENT, YOU MUST SUBMIT YOUR COMPLETED AND SIGNED CLAIM FORM TO THE ADMINISTRATOR, RECEIVED ON OR BEFORE 11:59 PM (EASTERN TIME) ON MAY 31, 2021, ADDRESSED AS FOLLOWS:

Canadian Solar Securities Class Action Settlement
c/o Epiq Class Action Services Canada Inc.
info@CanadianSolarSettlement.ca
P.O. Box 507 STN B
Ottawa ON K1P 5P6

- B. The Claim Form is directed to the following Class Members:

All persons, wherever they may reside or be domiciled, **who acquired securities of Canadian Solar in the secondary market during the period from the opening of trading on the NASDAQ on October 15, 2009 to the close of trading on the NASDAQ on June 1, 2010**, and who continued to hold some or all of those securities at the close of trading on the NASDAQ on June 1, 2010 (this group of individuals is known as the “Misrepresentation Class”), other than Excluded Persons, defined below, and those who validly opted out pursuant to the notice of certification by January 15, 2016;

-and-

All persons, wherever they may reside or be domiciled, **who were registered or beneficial security holders of Canadian Solar at any time during the period from the opening of trading on the NASDAQ on May 26, 2009, to the close of trading on the NASDAQ on June 1, 2010**, and who continued to hold securities of Canadian Solar at the close of trading on the NASDAQ on June 1, 2010 (this group of individuals is known as the “Oppression Class”), other than Excluded Persons, defined below, and those who validly opted out pursuant to the notice of certification by January 15, 2016.

The Misrepresentation Class and the Oppression Class are defined collectively as the “Class.”

Canadian Solar ticker symbol is **CSIQ**, its shares trade on the **NASDAQ**; the CUSIP number is **136635109**.

- C. If you are a member of the Class, you are bound by the outcome of the Action, including the terms of the settlement if approved, **WHETHER OR NOT YOU SUBMIT A CLAIM FORM**.
- D. Submission of this Claim Form, however, does not ensure that you will share in the proceeds of the Settlement Fund created in the Action. Distribution of the Settlement Fund will be governed by the Distribution Protocol, as approved.
- E. Use Sections C and D of this Claim Form to supply **all** required details of your transaction(s) in Canadian Solar securities. On the schedules provided, please provide **all** of the information requested below with respect to **all** of your holdings, purchases, acquisitions for sales and dispositions of Canadian Solar common shares, whether such transactions resulted in a profit or a loss. Failure to report **all** transactions during the requested periods may result in the rejection of your claim.
- F. **You are required to submit genuine and sufficient documentation** for all of your transaction(s) in and holdings of Canadian Solar securities, as requested in Sections C and D of this Claim Form. Documentation may consist of copies of broker confirmation slips, broker account statements or an authorized statement from your broker containing the transactional information found in a broker confirmation slip. The Releasees and the Administrator do not independently have information about your investments in Canadian Solar securities. **IF SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN COPIES OR EQUIVALENT CONTEMPORANEOUS DOCUMENTS FROM YOUR BROKER. FAILURE TO SUPPLY THIS DOCUMENTATION COULD DELAY VERIFICATION OF YOUR CLAIM OR COULD RESULT IN REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL DOCUMENTS. Please keep a copy of all documents that you send to the Administrator.**

SECTION B – GENERAL INSTRUCTIONS (CONTINUED)

- G.** Please note: A Claimant **must have sustained a Net Loss** in order to be eligible to receive a payment from the Net Settlement Amount. A Claimant that has not suffered a Net Loss as calculated under the Distribution Protocol will not be entitled to receive any portion of the Net Settlement Amount.
- H.** Separate Claim Forms should be submitted for each **legal entity** (e.g., a claim from joint owners should not include separate transactions of just one of the joint owners, and an individual should not combine his or her RRSP or IRA transactions with transactions made solely in the individual's name). Conversely, a single Claim Form should be submitted on behalf of one legal entity including all transactions made by that entity on one Claim Form, no matter how many separate accounts that entity has (e.g., an individual shareholder with multiple accounts should include all transactions made in all accounts on one Claim Form).
- I.** All joint beneficial owners must sign this Claim Form. If you purchased or acquired Canadian Solar securities in your name, you are the beneficial owner as well as the record owner. If, however, you purchased or acquired Canadian Solar securities and the securities were registered in the name of a third party, such as a nominee or brokerage firm, you are the beneficial owner of the securities, but the third party is the record owner.
- J.** 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, address and telephone number of the beneficial owner of (or other person or entity on whose behalf they are acting with respect to) the Canadian Solar securities; and
 - c.** furnish herewith evidence of their authority to bind 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 stock in another person's accounts.)
- K.** If you are a **Nominee (institution) submitting a claim on your own behalf or on behalf of other beneficial owners or a claim preparer** submitting on behalf of beneficial owners, you **must** provide the following five (5) documents:
- a.** One (1) Claim Form
 - b.** One (1) Signature Verification Document
 - c.** One (1) Data Verification Document
 - d.** One (1) Authorization Document (if filing on behalf of clients or customers)
 - e.** One (1) Excel Spreadsheet Containing Transactions and Holdings

Visit **www.CanadianSolarSettlement.ca** and see our FAQ page for more information.

- L.** By submitting a signed Claim Form, you will be swearing that you:
- a.** Own(ed) the Canadian Solar securities you have listed in the Claim Form; or
 - b.** Are expressly authorized to act on behalf of the owner thereof.
- M.** The Administrator will acknowledge receipt of your Claim Form by email to the email address provided with the claim submission or by mail, should there not be an email address available.
- N.** If your address changes in the future, or if the Claim Form was sent to an old or incorrect address, please send the Administrator written notification of your new address. If you change your name, please inform the Administrator.

If you have questions concerning the Claim Form, or need additional copies of the Claim Form or Notice, you may contact the Administrator, at the above contact information or by toll-free phone at **1-833-683-5858** or you may download the documents from **www.CanadianSolarSettlement.ca**

SECTION C – SCHEDULE OF TRANSACTIONS IN CANADIAN SOLAR COMMON SHARES

This page refers to account number _____ only
Please complete this only if the same beneficial owner has multiple accounts

1. **MAY 2009 BEGINNING HOLDINGS:** State the total number of Canadian Solar common shares you held as of the opening of trading on the NASDAQ on **May 26, 2009**.
(Must be documented.)

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2. **OCTOBER 2009 BEGINNING HOLDINGS:** State the total number of Canadian Solar common shares you held as of the opening of trading on the NASDAQ on **October 15, 2009**.
(Must be documented.)

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3. **PURCHASES/ACQUISITIONS:** Separately list each and every purchase and/or acquisition of Canadian Solar common shares from **May 26, 2009 to June 15, 2010**. (Must be documented.)

Trade Date(s) List Chronologically (MM/DD/YY)	Number of Shares Purchased or Acquired	Price Per Share (\$)	Aggregate Cost (\$) (Including brokerage commissions)	Currency Type CAD/USD/Other "OTH"
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4. **SALES/DISPOSITIONS:** Separately list each and every sale or disposition of Canadian Solar common shares from **May 26, 2009 to June 15, 2010**. (Must be documented.)

Trade Date(s) List Chronologically (MM/DD/YY)			Number of Shares Sold or Disposed of			Price Per Share (\$)			Aggregate Cost (\$) (Including brokerage commissions)			Currency Type CAD/USD/Other “OTH”		
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IF YOU NEED ADDITIONAL SPACE TO LIST YOUR TRANSACTIONS YOU MUST PHOTOCOPY THIS PAGE AND CHECK THIS BOX ☐ IF YOU DO NOT CHECK THIS BOX THESE ADDITIONAL PAGES WILL NOT BE REVIEWED

SECTION C – SCHEDULE OF TRANSACTIONS IN CANADIAN SOLAR COMMON SHARES (CONTINUED)

This page refers to account number _____ only
Please complete this only if the same beneficial owner has multiple accounts

5. ENDING HOLDINGS: State the total number of Canadian Solar common shares you held as of the opening of trading on the NASDAQ on **June 16, 2010**. (Must be documented.)

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6. POST-JUNE 15, 2010 SALES: Separately list each and every sale or disposition of Canadian Solar common shares held as of the opening of trading on the NASDAQ on **June 16, 2010**. (Must be documented)

Trade Date(s) List Chronologically (MM/DD/YY)			Number of Shares Sold or Disposed of			Price Per Share (\$)			Aggregate Cost (\$) (Including brokerage commissions)			Currency Type CAD/USD/Other "OTH"		
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SECTION D – RELEASE OF CLAIMS

YOU MUST READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON THE NEXT PAGE.

I (we) acknowledge that, as of the Effective Date (as that term is defined in the Settlement Agreement), I am releasing certain claims and agreeing to restrictions on further litigation of certain claims in accordance with the terms of the Settlement Agreement and the Orders of the Ontario Superior Court of Justice.

SECTION E – CERTIFICATION

By signing and submitting this Claim Form, the Claimant(s) or the person(s) who represents the Claimant(s) certifies (certify), as follows:

1. That I (we) have read the Notices, the Distribution Protocol and the Claim Form, including the releases provided for in the Settlement;
2. That the Claimant(s) is (are) members of the Class, as defined in the Notices, and is (are) not one of the individuals or entities excluded from the Class (as set forth in the Notice and above in Section B, paragraph C)
3. That the Claimant(s) owns(ed) the Canadian Solar securities identified in the Claim Form and (has) have not assigned the claim against the Releasees to another, or that, in signing and submitting this Claim Form, the Claimant(s) has (have) the authority to act on behalf of the owner(s) thereof;
4. That the Claimant(s) has (have) not submitted any other claim covering the same purchases, acquisitions, sales, or holdings of Canadian Solar securities and knows of no other person having done so on his/her/its/their behalf;
5. That the Claimant(s) submits (submit) to the jurisdiction of the Court with respect to his/her/its/their claim and for purposes of enforcing the releases set forth herein; **AND**
6. That I (we) agree to furnish such additional information with respect to this Claim Form as the Administrator or the Court may require.

SECTION E – CERTIFICATION (CONTINUED)

UNDER THE PENALTIES OF PERJURY, I (WE) CERTIFY THAT ALL OF THE INFORMATION PROVIDED BY ME (US) ON THIS 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

Print Name of Claimant

Date

Signature of Joint Claimant, if any

Print Name of Joint Claimant, if any

Date

Important: If Claimant is other than an individual, or is not the person completing this form, the following MUST also be provided:

Signature of Person Completing Form

Print Name of Person Completing Form

Date

Capacity of person signing on behalf of Claimant, if other than an Individual (e.g., executor, president, trustee, custodian, etc.)

Proof of Authority to file ☐ YES ☐ NO

THIS CLAIM FORM MUST BE SUBMITTED TO THE ADMINISTRATOR, **RECEIVED NO LATER THAN 11:59 PM (EASTERN TIME) ON MAY 31, 2021** AS FOLLOWS:

Canadian Solar Securities Class Action Settlement
c/o Epiq Class Action Services Canada Inc.
info@CanadianSolarSettlement.ca
P.O. Box 507 STN B
Ottawa ON K1P 5P6

A Claim Form shall be deemed to have been submitted when actually received by the Administrator.

PLEASE NOTE: Accurate claims processing can take a significant amount of time. We appreciate your patience.