

# Electronic Filing Instructions



## STRATEGIC CLAIMS SERVICES

MAKING COMPLEX  
SETTLEMENTS SIMPLE

**Case Name:** *In re DiDi Global Inc. Securities Litigation*

**Case No.:** 1:21-cv-05807-LAK-VF

**Eligible Securities:** American Depositary Shares of DiDi Global Inc.

**Class Period:** June 30, 2021 through July 21, 2021, both dates inclusive

**Lookback Period:** July 22, 2021 through October 20, 2021

**Claims Filing Deadline:** 11:59 PM ET April 6, 2026

## Eligible Purchasers and Class Member Definition

All persons and/or entities that purchased DiDi Global Inc. American Depositary Shares (DiDi ADSs) during the period June 30, 2021 through July 21, 2021, inclusive.

For avoidance of doubt, if a Class Member acquired DiDi ADSs during the Class Period by way of gift, inheritance or operation of law, under federal law you are not a purchaser of the DiDi ADSs and are not a Class Member, and thus you may not file a claim or share in the distribution of the Settlement Amount. In addition, receipt of DiDi ADSs during the Class Period in exchange for securities of any other corporation or entity shall not be deemed a purchase or sale of DiDi ADSs; this includes swaps.

Excluded from the Class are (a) all present and former officers and directors of DiDi, all Defendants, all underwriters in the IPO, Softbank Group, Corp., Uber Technologies, Inc, Alibaba Group Holding Limited, Tencent Holdings Limited, Boyu Capital and at all relevant times; such excluded persons' affiliates, subsidiaries, members of such excluded persons' immediate families and their legal representatives, heirs, successors, or assigns and (b) any entity that any Defendant, or any excluded person under (a) controlled or has or had a majority ownership interest.

# Filing Summary

The Strategic Claims Services (“SCS”) Electronic Filing Template (“EFT”) is only available to financial institutions, nominees, and approved third-party filers that submit claims on behalf of themselves or their clients. All EFT submissions must be made through [efile@strategicclaims.net](mailto:efile@strategicclaims.net). EFT submissions sent to a different email address will not be processed nor confirmed by SCS. For security purposes, SCS does not accept EFT submissions made through removable media devices such as USB drives or CDs.

SCS strongly encourages filers to submit their EFTs several days prior to the claims filing deadline to allow for additional administrative requests or to account for complications which may occur during the filing process. EFTs submitted past the claims filing deadline will be marked late and may not be accepted for processing. EFTs that do not follow the court approved filing requirements and instructions may also be subject to rejection. SCS does not accept placeholder EFT submissions.

For DiDi Global Inc., no claims submitted in electronic spreadsheet format will be considered to have been properly submitted unless SCS issues to the claimant a written acknowledgment of receipt and acceptance of electronically submitted data. Do not assume that your file has been received until you receive that email. If you do not receive such an email within ten (10) days of your submission, you should contact the electronic filing department at [efile@strategicclaims.net](mailto:efile@strategicclaims.net) to confirm whether your file was received.

## Filing Instructions

The DiDi Global Inc. EFT can be found on the SCS website alongside a copy of these instructions at [www.DiDiSettlement.com/RepresentativeFilers](http://www.DiDiSettlement.com/RepresentativeFilers). Filers may also request a copy of the EFT through [efile@strategicclaims.net](mailto:efile@strategicclaims.net). Once a copy of the EFT has been obtained, the filer should fill out all relevant fields to the best of their ability and submit the completed EFT, prior to the claims filing deadline, to [efile@strategicclaims.net](mailto:efile@strategicclaims.net) along with a signed umbrella claim form and authorization forms from the underlying clients.

To allow for flexibility in filing, filers may modify the names of the headers to align with their internal software systems, however the order and number of the columns may not be adjusted in any way. Changes to the order or number of columns will result in a request from SCS to resubmit the data regardless of the timeliness, magnitude, or frequency of claims filed for.

The required documentation for completing a filing is as follows:

- (1) The signed umbrella claim form.
- (2) A completed EFT.
- (3) A self-prepared authorization between the client and filer to file claims on their behalf
- (4) Wire Instructions (where applicable).

If SCS requires additional administrative documentation, we will send a notice to the email address listed in the submitted EFT.

## Backup and Supporting Documentation Requests

Prior to final notices expiring, SCS may request additional information and documentation regarding the data contained within the EFT for auditing and quality assurance purposes. The information requested may include, but is not limited to, backup documentation issued by the brokerage firm or institution on behalf of transactions conducted for the beneficial owners, or such comparable backup documentation as SCS may accept. For DiDi Global Inc., supporting documentation may consist of copies of brokerage confirmation slips or monthly brokerage/custodian account statements, or an authorized statement from your broker/custodian containing the transactional and holding information found in a broker confirmation slip or account statement.

Third-party filers that utilize the EFT will be expected to provide back-up documentation upon request for any claims within their filing. This request also applies to assigned or purchased claims.

Supporting/back-up documentation and audit requests are not optional. Failure to provide sufficient documentation detailing holdings and transactions through relevant time periods, as well as other requested information, as deemed necessary for processing by SCS, will result in a full rejection of the claim and possibly the entire submission.

## Account Combination

Separate claims should be submitted for each separate legal entity (e.g., a claim from joint owners should not include separate transactions through an account that is in the name of just one of the joint owners, and an individual should not combine his or her IRA transactions with transactions made through an account in the individual's name). Conversely, a single claim 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., a corporation with multiple brokerage accounts should include all transactions made in all accounts on one claim).

SCS reserves the right to combine a legal entity's accounts into a single claim prior to processing if a legal entity's accounts are divided across multiple claims when submitted by a single or multiple representative filers.

## Receive/Deliver & Miscellaneous Transfers

It is the responsibility of the filer to pair receive and deliver transactions to reflect the accurate transfer of shares between accounts. Any purchases that are transferred from one account to another should be reflected in the receiving account with the original cost basis and trade date. For balancing purposes, the originating account may still reflect the original purchase amount, but the price should be zeroed out and the transaction code should be reported as "R" so that the shares are not double counted in the recognized loss calculation.

Transfer transactions (receive & delivers) should not be removed from the submitted trade data unless they are considered a true wash and do not affect the recognized loss calculation (e.g., movement of shares from cash to margin or vice versa is acceptable to remove from the data set). If the filer is unsure what should be reported as a receive as opposed to a purchase, please contact SCS directly.

# Field Descriptions – DiDi Global Inc. Filing Template

**Beneficial Owner 1 (Check Field 1)** – This field is for the name of the fund/beneficial owner. If you are a third-party filer filing on behalf of the beneficial owner, please put the necessary language that will allow your firm to cash the check on behalf of the underlying beneficial owner (i.e. “Strategic FBO John Smith”). For DiDi Global Inc. the full unabbreviated name of the fund/beneficial owner must be provided.

**Beneficial Owner 2 (Check Field 1)** – This field is for a second fund/beneficial owner or additional room for the Beneficial Owner 1 field.

**Account Number** – This field is for the brokerage/custodian account number.

**Attention, Address 1, Address 2, City, State, Zip Code, Province, Country** – These fields are where the checks will be sent if wiring is not an option.

**SSN or EIN (Last Four Digits)** – This field is for the fund/beneficial owner’s TIN. If not providing or foreign, leave blank.

**Filer’s Email** – This field is where all correspondence will be sent, such as deficiency notices, inquiries, or claim status notices. For security purposes, SCS can only accept one email address per claim

**Security Identifier (CUSIP, SEDOL or ISIN)** – This field is for the Didi Global Inc. security identifier. A complete list of eligible security identifiers can be found alongside the instructions on the SCS website.

**Transaction Type (BB, P, R, S, D, EB)** – This field is to designate the type of transaction. Do not deviate from the listed transaction types. Any transfer or corporate action can be designated with the “R” and “D” type.

**Trade Date** – This field is for the positions and date of trade execution (not settle date). All dates should be reported in MM/DD/YYYY format.

**Share Quantity** – This field is for the number of shares per each buy/sale transaction and/or the beginning balance and ending balance holdings.

**Execution Price (Per Share in USD)** – This field is for the execution price per share in USD. Currency must be reported in USD. The execution price should not include commissions, fees, or taxes.

**Option A/E** – This field is for designating trades that are a result of an option assignment “A” or exercise “E”.

**Filer Comment** – This field is for additional filer comments.

**Failure to follow filing and formatting requirements may result in a processing delay or complete rejection of your EFT submission.**