

UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF PENNSYLVANIA

WESTERN PENNSYLVANIA ELECTRICAL EMPLOYEES ) Civil Action No. 2:09-cv-04730-CMR  
PENSION FUND, Individually and on Behalf of All Others )  
Similarly Situated, ) CLASS ACTION  
 )  
Plaintiff, )  
 )  
vs. )  
 )  
DENNIS ALTER, et al., )  
 )  
Defendants. )

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**PROOF OF CLAIM AND RELEASE**

**I. GENERAL INSTRUCTIONS**

1. To recover as a member of the Class based on your claims in the action entitled *Western Pennsylvania Electrical Employees Pension Fund v. Dennis Alter, et al.*, Civil Action No. 2:09-cv-04730-CMR (the "Litigation"), you must complete and, on page 7 hereof, sign this Proof of Claim and Release form ("Proof of Claim"). If you fail to file a properly addressed (as set forth in paragraph 3 below) Proof of Claim, your claim may be rejected and you may be precluded from any recovery from the Net Settlement Fund created in connection with the Settlement of the Litigation.

2. Submission of this Proof of Claim, however, does not assure that you will share in the proceeds of the Settlement of the Litigation.

3. YOU MUST MAIL OR SUBMIT ONLINE YOUR COMPLETED AND SIGNED PROOF OF CLAIM ON OR BEFORE AUGUST 18, 2014, ADDRESSED AS FOLLOWS:

*Advanta Securities Litigation*  
Claims Administrator  
c/o Gilardi & Co. LLC  
P.O. Box 8040  
San Rafael, CA 94912-8040  
[www.AdvantaSecuritiesSettlement.com](http://www.AdvantaSecuritiesSettlement.com)

If you are NOT a member of the Class (as defined in the Notice of Proposed Settlement of Class Action ("Notice")) DO NOT submit a Proof of Claim.

4. If you are a member of the Class and you did not timely request exclusion, you are bound by the terms of any judgment entered in the Litigation, including the releases provided therein, WHETHER OR NOT YOU SUBMIT A PROOF OF CLAIM.

**II. CLAIMANT IDENTIFICATION**

If you purchased or otherwise acquired Advanta Corp. ("Advanta") Class A and/or Class B common stock between October 16, 2006 and January 30, 2008, inclusive, and held the certificate(s) in your name, you are the beneficial purchaser as well as the record purchaser. If, however, you purchased or otherwise acquired Advanta Class A and/or Class B common stock and the certificate(s) 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 Identification" to identify each purchaser of record ("nominee"), if different from the beneficial purchaser of Advanta common stock which 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 ADVANTA COMMON STOCK UPON WHICH THIS CLAIM IS BASED.

All joint purchasers must sign this claim. Executors, administrators, guardians, conservators, and trustees must complete and sign this claim 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.



### III. CLAIM FORM

Use Part II of this form entitled "Schedule of Transactions in Advanta Common Stock" to supply all required details of your transaction(s). 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 of the requested information with respect to all of your purchases and acquisitions of Advanta Class A and/or Class B common stock which took place between October 16, 2006 and April 28, 2008, inclusive, and all of your sales of Advanta Class A and/or Class B common stock which took place at any time between October 16, 2006 and April 28, 2008, inclusive, whether such transactions resulted in a profit or a loss. You must also provide all of the requested information with respect to all of the Advanta Class A and/or Class B common stock you held at the close of trading on October 15, 2006, January 30, 2008, and April 28, 2008. 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 Advanta Class A and/or Class B common stock. The date of a "short sale" is deemed to be the date of sale of Advanta Class A and/or Class B common stock.

Copies of broker confirmations or other documentation of your transactions in Advanta Class A and/or Class B common stock should be attached to your claim. Failure to provide this documentation could delay verification of your claim or result in rejection of your claim.

**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 manually signed paper Proof of Claim form whether or not they also submit electronic copies. If you wish to file your claim electronically, you must contact the Claims Administrator at 1-866-574-6743 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.



Official  
Office  
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Only

UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF PENNSYLVANIA

*Western Pennsylvania Electrical Employees  
Pension Fund v. Dennis Alter, et al.*

Civil Action No. 2:09-cv-04730-CMR

PROOF OF CLAIM AND RELEASE

Please Type or Print in the Boxes Below  
Do NOT use Red Ink, Pencil, or Staples

Must Be Postmarked or  
Submitted Online  
No Later Than  
August 18, 2014

**ADVANTA**



**PART I: CLAIMANT IDENTIFICATION**

Last Name

M.I.

First Name

Last Name (Co-Beneficial Owner)

M.I.

First Name (Co-Beneficial Owner)

IRA       Joint Tenancy       Employee       Individual       Other \_\_\_\_\_

Company Name (Beneficial Owner - If Claimant is not an Individual) or Custodian Name if an IRA

(specify)

Trustee/Asset Manager/Nominee/Record Owner's Name (If Different from Beneficial Owner Listed Above)

Account#/Fund# (Not Necessary for Individual Filers)

Social Security Number

or

Taxpayer Identification Number

Telephone Number (Primary Daytime)

Telephone Number (Alternate)

Email Address

**MAILING INFORMATION**

Address

Address

City

State

Zip Code

Foreign Province

Foreign Postal Code

Foreign Country Name/Abbreviation

FOR CLAIMS  
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FOR CLAIMS  
PROCESSING  
ONLY





**PART II. SCHEDULE OF TRANSACTIONS IN ADVANTA COMMON STOCK (CONT.)  
CLASS B**

F. Number of shares of Advanta Class B common stock held at the close of trading on October 15, 2006: Proof Enclosed?  Y  N

G. Purchases or acquisitions (October 16, 2006 – April 28, 2008, inclusive) of Advanta Class B common stock:

PURCHASES				Total Purchase or Acquisition Price (Excluding Commissions, Taxes and Fees) Please round off to the nearest whole dollar	Proof of Purchase Enclosed?									
Trade Date(s) of Shares (List Chronologically)		Number of Shares Purchased or Acquired												
M	M	D	D	Y	Y	Y								
1.								\$						<input type="checkbox"/> Y <input type="checkbox"/> N
2.								\$						<input type="checkbox"/> Y <input type="checkbox"/> N
3.								\$						<input type="checkbox"/> Y <input type="checkbox"/> N
4.								\$						<input type="checkbox"/> Y <input type="checkbox"/> N
5.								\$						<input type="checkbox"/> Y <input type="checkbox"/> N

IMPORTANT: If any purchase listed covered a "short sale," please mark Yes:  Yes

H. Sales (October 16, 2006 – April 28, 2008, inclusive) of Advanta Class B common stock:

SALES				Total Sales Price (Excluding Commissions, Taxes and Fees) Please round off to the nearest whole dollar	Proof of Sales Enclosed?									
Trade Date(s) of Shares (List Chronologically)		Number of Shares Sold												
M	M	D	D	Y	Y	Y								
1.								\$						<input type="checkbox"/> Y <input type="checkbox"/> N
2.								\$						<input type="checkbox"/> Y <input type="checkbox"/> N
3.								\$						<input type="checkbox"/> Y <input type="checkbox"/> N
4.								\$						<input type="checkbox"/> Y <input type="checkbox"/> N
5.								\$						<input type="checkbox"/> Y <input type="checkbox"/> N

I. Number of shares of Advanta Class B common stock held at the close of trading on January 30, 2008: Proof Enclosed?  Y  N

J. Number of shares of Advanta Class B common stock held at the close of trading on April 28, 2008: Proof Enclosed?  Y  N

IF YOU NEED MORE SPACE TO LIST YOUR TRANSACTIONS YOU MAY PHOTOCOPIY THIS PAGE OR DOWNLOAD ADDITIONAL PAGES AT THE CASE WEBSITE, WRITE YOUR NAME ON ADDITIONAL PAGES AND FILL THE CIRCLE:  IF YOU DO NOT FILL THE CIRCLE THESE ADDITIONAL PAGES MAY NOT BE REVIEWED.



#### IV. SUBMISSION TO JURISDICTION OF COURT AND ACKNOWLEDGMENTS

I (We) submit this Proof of Claim under the terms of the Stipulation of Settlement described in the Notice. I (We) also submit to the jurisdiction of the United States District Court for the Eastern District of Pennsylvania with respect to my (our) claim as a Class Member and for purposes of enforcing the release 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 Litigation. 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 Advanta Class A and/or Class B common stock and know of no other person having done so on my (our) behalf.

#### V. RELEASE

1. I (We) for myself (ourselves) and my (our) Releasing Persons 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 "Released Persons," defined as each and all of Advanta, the Defendants, and the Dismissed Defendants and their respective Related Parties. "Related Parties" means Advanta's and each Defendant's or Dismissed Defendant's spouses, heirs, beneficiaries, foundations, executors, estates, administrators, personal or legal representatives, family members, partners, principals, employees, directors, officers, insurers, co-insurers, reinsurers, attorneys, accountants or auditors, advisors, predecessors, successors, agents, assigns, related or affiliated entities, indemnitors, indemnitees, any entity in which Advanta, a Defendant or Dismissed Defendant has a controlling interest, any trust of which any Defendant or Dismissed Defendant is the settlor or which is for the benefit of any Defendant or Dismissed Defendant or his or her family, any other representative of these Persons, or any other Person claiming by, through or on behalf of Advanta or any Defendant or Dismissed Defendant.

2. "Released Claims" means any and all claims, debts, demands, disputes, rights, causes of action, suits, matters, damages, losses, or liabilities of any kind, nature, and character whatsoever (including, but not limited to, any claims for damages, interest, attorneys' fees, expert or consulting fees, and any and all other costs, expenses, losses, or liabilities whatsoever), whether at law or in equity, fixed or contingent, accrued or unaccrued, liquidated or unliquidated, matured or unmatured, foreseen or unforeseen, known or unknown, suspected or unsuspected, contingent or non-contingent, class or individual in nature, arising under federal, state, local, statutory, or common law, or any other law, rule or regulation, whether foreign or domestic, based upon, arising out of, or relating in any way to both (a) the purchase or acquisition of Advanta Class A and/or Class B common stock during the Class Period and (b) the acts, facts, circumstances, statements, or omissions that were asserted or could have been asserted by Lead Plaintiff or any Class Member against any of the Released Persons in this Litigation. It is expressly understood and agreed that Released Claims include Unknown Claims. Released Claims also include claims on behalf of any Class Member described in Section 3.5 of the Settlement Agreement approved by the Court in *In re Advanta Corp. ERISA Litigation*, Civil Action No. 2:09-04974-CMR (E.D. Pa.).

3. "Releasing Persons" means Lead Plaintiff and all Class Members and any other Person claiming by, through, or on behalf of any of them, including but not limited to each of their present or past heirs, executors, estates, administrators, predecessors, successors, assigns, parents, subsidiaries, associates, affiliates, employers, employees, agents, insurers, reinsurers, directors, managing directors, officers, partners, principals, members, managing members, attorneys, financial and other advisors, investment bankers, underwriters, and lenders.

4. "Unknown Claims" means any Released Claims which Lead Plaintiff or any Class Member does not know or suspect to exist in his, her, or its favor at the time of the release of the Released Persons which, if known by him, her, or it, might have affected his, her, or its settlement with and release of the Released Persons, or might have affected his, her, or its decisions with respect to this Settlement. With respect to any and all Released Claims, the Settling Parties stipulate and agree that, upon the Effective Date, Lead Plaintiff shall expressly waive and relinquish, and each of the Class Members shall be deemed to have, and by operation of the Judgment shall have, expressly waived and relinquished, the provisions, rights, and benefits of California Civil Code §1542, which provides:

**A general release does not extend to claims which the creditor does not know or suspect to exist in his or her favor at the time of executing the release, which if known by him or her must have materially affected his or her settlement with the debtor.**

Lead Plaintiff shall expressly waive and relinquish, and each of the Class Members shall be deemed to have, and by operation of the Judgment shall have, expressly waived and relinquished, 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, which is similar, comparable or equivalent to California Civil Code §1542. Lead Plaintiff and Class Members may hereafter discover facts in addition to or different from those which he, she or it now knows or believes to be true with respect to the subject matter of the Released Claims, but Lead Plaintiff upon the Effective Date shall expressly, fully, finally, and forever settle and release and each Class Member, upon the Effective Date, shall be deemed to have, and by operation of the Judgment shall have, fully, finally, and forever settled and released any and all Released Claims, known or unknown, suspected or unsuspected, contingent or non-contingent, whether or not concealed or hidden, which now exist,



or heretofore have existed, upon any theory of law or equity now existing or coming into existence in the future, including, but not limited to, conduct which is negligent, intentional, with or without malice, or a breach of any duty, law or rule, without regard to the subsequent discovery or existence of such different or additional facts. Lead Plaintiff acknowledges, and the Class Members shall be deemed by operation of the Judgment to have acknowledged, that the foregoing waiver was separately bargained for and a key element of the Settlement of which this release is a part.

5. I (We) hereby warrant and represent that I (we) have not assigned or transferred or purported to assign or transfer, voluntarily or involuntarily, any matter released pursuant to this release or any other part or portion thereof.

6. I (We) hereby warrant and represent that I (we) have included information about all of my (our) transactions in Advanta Class A and/or Class B common stock between October 16, 2006 and April 28, 2008, inclusive, as well as the number of shares of Advanta Class A and/or Class B common stock held by me (us) at the close of trading on October 15, 2006, January 30, 2008 and April 28, 2008.

7. I (We) certify that I am (we are) not subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code.

NOTE: IF YOU HAVE BEEN NOTIFIED BY THE INTERNAL REVENUE SERVICE THAT YOU ARE SUBJECT TO BACKUP WITHHOLDING, PLEASE STRIKE OUT THE LANGUAGE THAT YOU ARE NOT SUBJECT TO BACKUP WITHHOLDING IN THE CERTIFICATION ABOVE AND FILL THE CIRCLE.

I declare under penalty of perjury under the laws of the United States of America that the foregoing information supplied by the undersigned is true and correct.

Executed this \_\_\_\_\_ day of \_\_\_\_\_ in \_\_\_\_\_  
(Month/Year) (City/State/Country)

\_\_\_\_\_  
(Sign your name here)

\_\_\_\_\_  
(Sign your name here)

\_\_\_\_\_  
(Type or print your name here)

\_\_\_\_\_  
(Type or print your name here)

\_\_\_\_\_  
(Capacity of person(s) signing, e.g.,  
Beneficial Purchaser, Executor or Administrator)

\_\_\_\_\_  
(Capacity of person(s) signing, e.g.,  
Beneficial Purchaser, Executor or Administrator)

**ACCURATE CLAIMS PROCESSING TAKES A SIGNIFICANT AMOUNT OF TIME.  
THANK YOU FOR YOUR PATIENCE.**

Reminder Checklist:

- 1. Please sign the above release and declaration.
- 2. If this Claim is being made on behalf of Joint Claimants, then both must sign.
- 3. Remember to attach copies of supporting documentation, if available.
- 4. **Do not send** originals of certificates or other documentation as they will not be returned.
- 5. Keep a copy of your claim form and all supporting documentation for your records.
- 6. If you desire an acknowledgment of receipt of your claim form please send it Certified Mail, Return Receipt Requested.
- 7. If you move, please send your new address to:  
*Advanta Securities Litigation*  
Claims Administrator  
c/o Gilardi & Co. LLC  
P.O. Box 8040  
San Rafael, CA 94912-8040
- 8. **Do not use red pen or highlighter** on the Proof of Claim form or supporting documentation.

**THIS PROOF OF CLAIM MUST BE SUBMITTED ONLINE OR MAILED NO LATER THAN AUGUST 18, 2014,  
ADDRESSED AS FOLLOWS:**

*Advanta Securities Litigation*  
Claims Administrator  
c/o Gilardi & Co. LLC  
P.O. Box 8040  
San Rafael, CA 94912-8040  
[www.AdvantaSecuritiesSettlement.com](http://www.AdvantaSecuritiesSettlement.com)



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