

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

IN RE PENN WEST PETROLEUM LTD.
SECURITIES LITIGATION

Master File No. 14-cv-6046-JGK

SUPPLEMENTAL DECLARATION OF JOHN RIZIO-HAMILTON

I, John Rizio-Hamilton, declare as follows:

1. I am a partner at the law firm of Bernstein Litowitz Berger & Grossmann LLP (“BLB&G”). BLB&G and Glancy Prongay & Murray LLP are the Court-appointed Co-Lead Counsel for Lead Plaintiffs and the Settlement Class in the above-captioned action (the “Action”). I submit this Supplemental Declaration in further support of (i) Lead Plaintiffs’ Motion for Final Approval of Class Action Settlement and Plan of Allocation (*see* ECF No. 134); and (ii) Co-Lead Counsel’s Motion for an Award of Attorneys’ Fees and Reimbursement of Litigation Expenses (*see* ECF No. 136).

2. Attached hereto as Exhibit 1 is the Supplemental Declaration of Stephanie A. Thurin Regarding: (A) Mailing of the Notice and Proof of Claim Form; and (B) Report on Requests for Exclusion Received.

3. Attached hereto as Exhibit 2 is a copy of the objection submitted in this Action by Elaine and Philip Shapiro, on behalf of the Shapiro Family Trust UAD 12/10/93 (the “Shapiro Objection”). For privacy reasons, the Shapiro Objection has been redacted to remove personal information such as the objectors’ street address, email address, telephone numbers, brokerage account numbers, Social Security Number, and all transaction information not related to Penn West Securities.

4. Attached hereto as Exhibit 3 is a copy of the objection submitted in this Action by Jesse E. Thompson (the “Thompson Objection”). For privacy reasons, the Thompson Objection has been redacted to remove the objector’s email address.

I declare, under penalty of perjury, that the foregoing facts are true and correct. Executed on June 24, 2016.

/s/ John Rizio-Hamilton
John Rizio-Hamilton

EXHIBIT 1

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

IN RE PENN WEST PETROLEUM
LTD. SECURITIES LITIGATION

Master File No. 14-cv-6046-JGK

**SUPPLEMENTAL DECLARATION OF STEPHANIE A. THURIN REGARDING:
(A) MAILING OF THE NOTICE AND PROOF OF CLAIM FORM;
AND (B) REPORT ON REQUESTS FOR EXCLUSION RECEIVED**

I, Stephanie A. Thurin, declare and state as follows:

1. I am a Project Manager employed by Epiq Class Action & Claims Solutions, Inc. (“Epiq”). Pursuant to the Court’s March 1, 2016 Order Preliminarily Approving Settlement and Providing for Notice (ECF No. 124) (“Preliminary Approval Order”), Epiq was authorized to act as the Claims Administrator in connection with the Settlement of the above-captioned action.¹ I submit this Declaration as a supplement to my earlier declaration, the Declaration of Stephanie A. Thurin Regarding: (A) Mailing of the Notice and Proof of Claim Form; (B) Publication of the Summary Notice; and (C) Report on Requests for Exclusion Received to Date, dated June 2, 2016, that was attached as Exhibit 4 to the Joint Declaration of John Rizio-Hamilton and Lionel Z. Glancy filed with the Court on June 3, 2016 (ECF No. 138-4) (the “Mailing Declaration”). The following statements are based on my personal knowledge and information provided by other Epiq employees working under my supervision, and if called on to do so, I could and would testify competently thereto.

¹ Unless otherwise defined herein, all capitalized terms shall have the same meaning as set forth in the Stipulation and Agreement of Settlement dated February 12, 2016 (ECF No. 121-1) (the “Stipulation”).

2. Since the execution of the Mailing Declaration, Epiq has continued to disseminate copies of the Notice and Proof of Claim Form (together, the “Notice Packet”) in response to requests from potential Settlement Class Members, brokers and other nominees. Through June 23, 2016, Epiq has disseminated a total of 315,717 Notice Packets to potential Settlement Class Members and nominees.

3. As set forth in the Mailing Declaration, Epiq is maintaining a website (www.PennWestUSSecuritiesLitigation.com) dedicated to this Settlement (the “Settlement Website”). On March 29, 2016, the Notice, Claim Form, Stipulation, and Preliminary Approval Order, among other relevant documents, were made available for downloading from the Settlement Website. *See* Mailing Declaration ¶ 14. On June 5, 2016, copies of the papers filed in support of the motion for final approval of the Settlement and Plan of Allocation and the motion for an award of attorneys’ fees and expenses were posted to the Settlement Website.

4. Pursuant to the Court’s June 1, 2016 Order, the Settlement Fairness Hearing, which was originally scheduled for July 19, 2016, at 4:30 p.m., has been rescheduled for June 28, 2016, at 4:30 p.m. Notice of the new date for the Settlement Fairness Hearing was published on the Settlement Website on June 7, 2016 and transmitted over the *PR Newswire* on June 8, 2016. Attached hereto as Exhibit A is a print screen attesting to the transmittal over the *PR Newswire* on June 8, 2016.

5. The Notice informed potential Settlement Class Members that requests for exclusion were to be mailed or delivered to Epiq such that they are received no later than June 20, 2016. Epiq has been monitoring all mail delivered to our post office box.

6. As previously reported in the Mailing Declaration, as of June 2, 2016, Epiq had received 15 requests for exclusion. As of the date of this Declaration, Epiq has received 19

additional requests for exclusion from the Settlement Class, for a total of 34 requests for exclusion.

7. Attached hereto as Exhibit B is a list of the 34 persons and entities who submitted requests for exclusion or on whose behalf requests for exclusion were submitted. As identified on Exhibit B, 5 of the requests for exclusion are valid and 29 are invalid because the exclusion request (i) did not provide the information required by the Preliminary Approval Order and the Notice, (ii) indicated that the person or entity requesting exclusion was not a Settlement Class Member, or (iii) was received after the June 20, 2016 deadline.

I declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct to the best of my knowledge.

Executed on June 24, 2016, at Beaverton, Oregon.



Stephanie A. Thurin

Exhibit A

Settlement Fairness Hearing Date Rescheduled for June 28, 2016, in In re Penn West Petroleum Ltd. Securities Litigation, Master File No. 14-cv-6046-JGK (S.D.N.Y.)

Jun 08, 2016, 14:27 ET from Bernstein Litowitz Berger & Grossmann LLP and Glancy
Prongay & Murray LLP (<http://www.prnewswire.com/news/bernstein+litowitz+berger+%27and%27+grossmann+llp+and+glancy+prongay+%27and%27+murray+llp>)



NEW YORK, June 8, 2016 /PRNewswire/ --

UNITED STATES DISTRICT COURT SOUTHERN DISTRICT OF NEW YORK

IN RE PENN WEST PETROLEUM LTD. SECURITIES
LITIGATION

Master File No. 14-cv-6046-
JGK

NOTICE OF NEW DATE FOR SETTLEMENT FAIRNESS HEARING

TO: All persons or entities who or which (i) purchased or otherwise acquired Penn West Petroleum Ltd. ("Penn West") common stock or trust units on an open market located within the United States, including but not limited to the New York Stock Exchange ("NYSE") or another domestic exchange, or (ii) purchased or otherwise acquired Penn West call options, or sold or wrote Penn West put options, on an open market located within the United States, including but not limited to the NYSE or another domestic exchange, from February 18, 2010 through July 29, 2014, inclusive (the "Settlement Class Period"), and who were damaged thereby (the "Settlement Class"):

PLEASE READ THIS NOTICE CAREFULLY, YOUR RIGHTS WILL BE AFFECTED BY A CLASS ACTION LAWSUIT PENDING IN THIS COURT, AND YOU MAY BE ENTITLED TO SHARE IN THE SETTLEMENT.

As previously announced, Lead Plaintiffs in the above-captioned litigation (the "Action") have reached a proposed settlement of the Action for Can\$26,500,000 in cash (the "Settlement"), which equated to US\$19,759,282 on the day it was deposited into an escrow account. If the Settlement is approved, it will resolve all claims in the Action.

The Court had previously scheduled a hearing on July 19, 2016 at 4:30 p.m., before the Honorable John G. Koeltl in Courtroom 12B of the United States District Court for the Southern District of New York, Daniel Patrick Moynihan United States Courthouse, 500 Pearl St., New York, NY 10007-1312, to determine (i) whether the proposed Settlement should be approved as fair, reasonable, and adequate; (ii) whether the Action should be dismissed with prejudice against Defendants, and the Releases specified and described in the Stipulation and Agreement of Settlement dated February 12, 2016 ("Stipulation") and in the Notice should be granted; (iii) whether the proposed Plan of Allocation should be approved as fair and reasonable; and (iv) whether Co-Lead Counsel's application for an award of attorneys' fees and reimbursement of Litigation Expenses should be approved. **THE DATE OF THE HEARING HAS CHANGED, AND IT HAS NOW BEEN RESCHEDULED FOR JUNE 28, 2016 AT 4:30 P.M. The location of the hearing remains the same. All remaining dates, including the claims filing deadline, remain the same. If you are planning on attending the Settlement Fairness Hearing, you should confirm the date and time with Co-Lead Counsel.**

Additional information concerning the Settlement and the relevant dates may be found on the settlement website,
www.PennWestUSSecuritiesLitigation.com.

If you have not yet received the Notice of (I) Pendency of Class Action and Proposed Settlement; (II) Settlement Fairness Hearing; and (III) Motion for an Award of Attorneys' Fees and Reimbursement of Litigation Expenses (the "Notice"), which more completely describes the Settlement and your rights thereunder, and Claim Form, you may obtain copies of these documents, as well as a copy of the Stipulation (which, among other things, contains definitions for the defined terms used in this notice) by contacting the Claims Administrator at Penn West U.S. Securities Litigation, c/o Epiq, P.O. Box 3967, Portland, OR 97208-3967, (877) 835-0545, or Info@PennWestUSSecuritiesLitigation.com. Copies of the Notice, Claim Form and Stipulation can also be downloaded from the website maintained by the Claims Administrator,
www.PennWestUSSecuritiesLitigation.com.

Please do not contact the Court, the Clerk's office, Penn West, any other Defendant, or their counsel, regarding this notice. All questions about this notice, the proposed Settlement, or your eligibility to participate in the Settlement should be directed to Co-Lead Counsel or the Claims Administrator.

Inquiries, other than requests for the Notice and Claim Form, should be made to Co-Lead Counsel:

BERNSTEIN LITOWITZ BERGER & GROSSMANN LLP	or	GLANCY PRONGAY & MURRAY LLP
John Rizio-Hamilton, Esq.		Peter A. Binkow, Esq.
1251 Avenue of the Americas, 44th Floor		1925 Century Park East, Suite 2100
New York, New York 10020		Los Angeles, California 90067
(800) 380-8496		(888) 773-9224

Please note that there is a separate settlement for persons who acquired the securities of Penn West on the Toronto Stock Exchange, on an alternative trading market in Canada, or otherwise in Canada from March 17, 2011 through July 29, 2014, inclusive, and/or July 30, 2014 through September 18, 2014, inclusive, and held some or all of those securities at the close of trading on July 29, 2014 or September 18, 2014 (the "Canadian Class"). This notice only pertains to the Settlement Class (defined above). If you are a member of the Canadian Class, you can learn more about your rights and options at the website dedicated to the Canadian cases: www.PennWestCanadianClassAction.com.



By Order of the Court

SOURCE Bernstein Litowitz Berger & Grossmann LLP and Glancy Prongay & Murray LLP

Related Links

<http://www.pennwestussecuritieslitigation.com>



(<http://www.prnewswire.com/news-releases/bernstein-litowitz-berger--grossmann-llp-and-glancy-prongay--murray-llp-announce-pendency-and-proposed-settlement-of-in-re-penn-west-petroleum-ltd-securities-litigation-master-file-no-14-cv-6046-jgk-sdny-300249442.html>)

Read More

APR 12, 2016, 07:59 ET

**Bernstein Litowitz
Berger & Grossmann
LLP and Glancy
Prongay &...**

(<http://www.prnewswire.com/news-releases/bernstein-litowitz-berger-grossmann-llp-and-glancy-prongay-murray-llp-announce-pendency-and-proposed-settlement-of-in-re-penn-west-petroleum-ltd-securities-litigation-master-file-no-14-cv-6046-jgk-sdny-300249442.html>)


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Exhibit B

Exhibit B

Valid Requests for Exclusion

1. Vicki L. Brescia
San Marcos, CA
2. Margaret Collins
Oceanside, CA
3. Richmond B. Ellis and Toni L. Ellis
Currituck, NC
4. Michael N. Georgas
Bayonne, NJ
5. Toyn Nelson
Lake Stevens, WA

Invalid Requests for Exclusion

1. Geoffrey A. Bayer
Madison, WI
2. Deborah D. Brockney, Co-Trustee
Dutschke Rev. Trust U/A Dtd 2/5/1993
Stockton, CA
3. Deborah D. Brockney and Lyle Brockney
Stockton, CA
4. Doris E. Chiaroni
Santa Rosa, CA
5. Donald DuWaine Christensen
Lake City, FL
6. Sharon L. Christensen
Lake City, FL
7. Marilyn Ora Chulack
Glendale, CA
8. Patricia S. Clauser
Dunwoody, GA
9. Marion F. Dick, Trustee
Marion Fries Dick Living Trust UA Nov. 18, 2005
Birmingham, AL
10. Peter Alex Dunkailo
Grand Lake, CO

11. Barbara L. Hartmann
Walnut Creek, CA
12. Michael Kalena, Jr.
Randolph, NJ
13. Dorothy S. Legum, on behalf of
The Southside Investment Club
Jacksonville, FL
14. Velma R. Miller, Individually and on Behalf of the Estate of Jewel Miller
West Monroe, LA
15. William R. Olien
Winnipeg, Manitoba CANADA
16. Terry G. Petrash and Jennifer M. Petrash
Plant City, FL
17. Charles E. Presley
Hiltons, VA
18. Larry Ridgway
Bradenton, FL
19. Reginald Thatcher
Gulf Shores, AL
20. Phonyin Tim
Victoria, BC
21. Alexandra Watt
Hamilton, BERMUDA
22. Kent J. Weinkauff
Tulsa, OK
23. John C. Winn
Sun City West, AZ
24. Bridget Woodbury
Auburn, WA
25. Patrick F. Swift
Bronx, NY
26. Sylvia Walker
Carrollton, GA
27. Peter Duncker and Deborah Duncker
St. Catharines, Ontario CANADA
28. Holly M. Gray
Mission Viejo, CA
29. Bruce Njust and Ruth Njust
Beaverton, OR

EXHIBIT 2

From: info <info@PennWestUSSecuritiesLitigation.com>

To: [REDACTED]

Subject: RE: Objection to be given to Judge before or on July 19, 2016

Date: Tue, Jun 7, 2016 9:01 am

Dear Elaine Shapiro,

Thank you for your email.

To object to the Settlement, the Plan of Allocation, or the request for attorneys' fees or Litigation Expenses, you will need to submit a written objection so that it is received no later than **June 20, 2016**.

You must file any written objection, together with copies of all other papers and briefs supporting the objection, with the Clerk's Office at the United States District Court for the Southern District of New York at the address set forth below on or before June 20, 2016. You must also serve the papers on Co-Lead Counsel and on Representative Defendants' Counsel at the address set forth below so that the papers are received on or before June 20, 2016.

Clerk's Office:

United States District Court for the Southern District of New York
Clerk of the Court
Daniel Patrick Moynihan
U.S. Courthouse
500 Pearl Street
New York, NY 10007

Co-Lead Counsel:

Bernstein Litowitz Berger & Grossmann LLP
John Rizio-Hamilton, Esq.
1251 Avenue of the Americas, 44th Floor
New York, NY 10020

Glancy Prongay & Murray LLP

Peter A. Binkow, Esq.
1925 Century Park East Suite 2100
Los Angeles, California 90067

Representative Defendants' Counsel:

Sullivan & Cromwell LLP
Robert J. Giuffra, Jr., Esq.
125 Broad Street
New York, New York 10004

Any objection (a) must state the name, address and telephone number of the person or entity objecting and must be signed by the objector; (b) must contain a statement of the Settlement Class Member's objection or objections, and the specific reasons for each objection, including any legal and evidentiary

support the Settlement Class Member wishes to bring to the Court's attention; and (c) must include documents sufficient to prove the objector's membership in the Settlement Class, such as the number of shares of Penn West Common Stock, trust units, call options, and/or put options purchased, acquired and sold during the Settlement Class Period, as well as the dates and prices of each such purchase, acquisition, and sale. You may not object to the Settlement, the Plan of Allocation or Co-Lead Counsel's motion for attorneys' fees and reimbursement of Litigation Expenses if you exclude yourself from the Settlement Class or if you are not a member of the Settlement Class.

Very Truly Yours,

Christine N.
Penn West U.S. Securities Litigation
Claims Administrator

----- Original Message -----



PART I - CLAIMANT INFORMATION

(Please read General Instructions below before completing this page.)

The Claims Administrator will use this information for all communications regarding this Claim Form. If this changes, you MUST notify the Claims Administrator in writing at the address above.

Beneficial Owner's First Name MI Beneficial Owner's Last Name
 PHILIP SHAPIRO

Co-Beneficial Owner's First Name MI Co-Beneficial Owner's Last Name
 ELAINE L SHAPIRO

Entity Name (if Beneficial Owner is not an individual)
 SHAPIRO FAMILY TRUST UAD 121093

Representative or Custodian Name (if different from Beneficial Owner(s) listed above)
 [Redacted]

Address 1 (street name and number)
 [Redacted]

Address 2 (apartment, unit or box number)
 [Redacted]

City State ZIP Code / Postal Code (if outside the United States)
 ENCINO CA 91436-3111

Country
 UNITED STATES OF AMERICA

Last four digits of Social Security Number or Taxpayer Identification Number
 [Redacted]

Telephone Number (home) Telephone Number (work)
 [Redacted] [Redacted]

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 related to this claim.)
 [Redacted]

Account Number (account(s) through which the securities were traded)¹
 [Redacted]

Claimant Account Type (check appropriate box):
 Individual (includes joint owner accounts) Pension Plan Trust
 Corporation Estate
 IRA/401K Other _____ (please specify)

¹ If the account number is unknown, you may leave blank. If the same legal entity traded through more than one account you may write "multiple." Please refer to paragraph 10 of the General Instructions for more information on when to file separate Claim Forms for multiple accounts, i.e., when you are filing on behalf of distinct legal entities.

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

Date 05 - 25 - 16
MM DD YY

Print your name here *Philip Shapiro*

Signature of joint claimant, if any *Elaine Shapiro*

Date 05 - 25 - 16
MM DD YY

Print your name here *Elaine Shapiro*

If the claimant is other than an individual, or is not the person completing this form, the following also must be provided:

Signature of person signing on behalf of claimant

Date MM - DD - YY

Print your name here

Capacity of person signing on behalf of claimant, if other than an individual, e.g., executor, president, trustee, custodian, etc. (Must provide evidence of authority to act on behalf of claimant - see paragraph 12 on page 4 of this Claim Form.)

REMINDER CHECKLIST:

Please sign the above release and certification. If this Claim Form is being made on behalf of joint claimants, then both must sign.

Remember to attach only copies of acceptable supporting documentation as these documents will not be returned to you.

Please do not highlight any portion of the Claim Form or any supporting documents.

Do not send original security certificates or documentation. These items cannot be returned to you by the Claims Administrator.

Keep copies of the completed Claim Form and documentation for your own records.

The Claims Administrator will acknowledge receipt of your Claim Form by mail, within 60 days. Your claim is not deemed filed until you receive an acknowledgement postcard. If you do not receive an acknowledgement postcard within 60 days, please call the Claims Administrator toll free at (877) 835-0545.

If your address changes in the future, or if this Claim Form was sent to an old or incorrect address, please send the Claims Administrator written notification of your new address. If you change your name, please inform the Claims Administrator.

If you have any questions or concerns regarding your claim, please contact the Claims Administrator at the address below, by email at info@PennWestUSSecuritiesLitigation.com, or toll-free at (877) 835-0545, or visit www.PennWestUSSecuritiesLitigation.com. Please DO NOT call Penn West or any of the other Defendants or their counsel with questions regarding your claim.

THIS CLAIM FORM MUST BE MAILED TO THE CLAIMS ADMINISTRATOR BY FIRST-CLASS MAIL, POSTMARKED NO LATER THAN AUGUST 26, 2016, ADDRESSED AS FOLLOWS:

Penn West U.S. Securities Litigation
c/o Epiq
P.O. Box 3967
Portland, OR 97208-3967

Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if a postmark date on or before August 26, 2016 is indicated on the envelope and it is mailed First Class, 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 fully process all of the Claim Forms. Please be patient and notify the Claims Administrator of any change of address.

6/4/2016

The following message was just emailed to info@PennWestUSSecuritiesLitigation.com

My husband and I filed a claim for the Penn West Class Action Suit a few weeks ago. I will be sending/mailling additional sheets and copies of my original application re this file so please add these new items showing more proof of purchase to my original file.

I do have a **very, serious objection**. According to the information in the folder that we received, you had to have bought this stock from Feb. 18, 2010 and owned it through Nov. 5, 2013 to be included in this suit.

The following is our history:

10/04/07 Purchased Penn West 592 shares at total price of \$34,819.00 (Crowell Weedon)

09/30/2010 584 shares transferred from Crowell Weedon to Sagepoint-different financial advisor

8/07/13 sold 584 shares @ \$12.074 per share value \$7051.22(transaction, service and commission fees of \$84.13 deducted) received \$6,967.09

We suffered a loss of \$27,852.00 and because my agent recognized the huge devaluation of this stock and sold it three months before the November date above, we are excluded from this class action suit. I want this objection to respectfully be given to the judge presiding over this suit on July 19, 2016 and I hope he will see the injustice of the exclusion date, which resulted in our loss of almost \$28,000.00. We are both seniors and this was a tragic huge loss for us.

Elaine Shapiro

Elaine Shapiro

Philip Shapiro

Philip Shapiro

[REDACTED]
Encino, CA 91436
[REDACTED]

One Wilshire Boulevard, Los Angeles, CA 90017
 (213) 620-1850 www.crowellwooden.com

Established 1932

CONFIRMATION

Dated: 10/07/2010

YOUR FINANCIAL ADVISOR #EN84



14 14 4
 PHILIP SHAPIRO &
 ELAINE SHAPIRO TTEES
 SHAPIRO FAMILY TR
 UA DTD 12/10/1993
 [REDACTED]
 ENCINO CA 91436-3119

ACCOUNT: [REDACTED]

SELL CANCEL	QUANTITY 600	SYMBOL PWE	PRICE 20.0411	ACCOUNT TYPE CASH	TRADE DATE 09/30/2010	SETTLEMENT DATE 10/05/2010
SECURITY DESCRIPTION:		ADDITIONAL REMARKS:			TAX LOTS SOLD	
PENN WEST ENERGY TRUST UNIT		TO CANCEL TRADE OF 09/30/2010 CAPACITY: AS AGENT FOREIGN SECURITY SUBJECT TO TAX UNSOLICITED AVERAGE PRICE INFO AVAILABLE UPON REQUEST SALE VS PURCHASE TRADE			10/04/2007 592 SHARES 01/16/2008 8 SHARES	
CUSIP: 707885109 SECURITY#: 3022817						
ORDER NUMBER 054132611	PRINCIPAL AMOUNT 12,024.66	INTEREST 0.00	COMMISSION 150.00	TRANSACTION FEES 0.00	FEES 0.21	NET AMOUNT 11,874.45

sent previously?

Investigation
help line
877-835 0545

Over →



SagePoint Financial, Inc.
2800 N. Central Avenue, Suite 2100
Phoenix, AZ 85064
602.744.3000

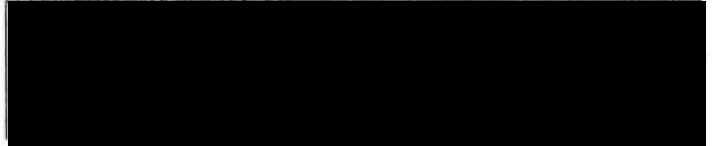


Brokerage Account Statement

THE SHAPIRO FAMILY TRUST
UAD 12/10/93
PHILIP SHAPIRO & ELAINE SHAPIRO
TTEES
ENCINO CA 91436-3119

Account Number: [REDACTED]
Statement Period: 10/01/2010 - 10/31/2010
Valuation at a Glance

This Period



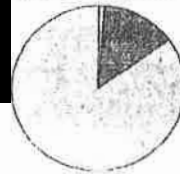
Your Investment Professional:



Asset Allocation

Last Period This Period % Allocation

[REDACTED TABLE CONTENTS]



Asset Allocation percentages are rounded to the nearest whole percentage.
Pie Chart allocation excludes all asset classes which net to a liability.



over →



Customer Service Information

Your Investment Professional: EXY	Contact Information
[Redacted]	[Redacted]

Transactions in Date Sequence

Process/ Settlement Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	CCY
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]
10/25/10	YOUR ASSET TRANSFERRED PWE	PENN WEST ENERGY TR TR UNIT ISIN#CA7078851093 0574 CROWELL, WEEDON & CO. A/C [Redacted]	584.000			0.00	USD

Total Value of all Transactions [Redacted]
 The price and quantity displayed may have been rounded.

Money Market Fund Detail

Date	Activity Type	Description	Amount	Balance
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]



SagePoint Financial, Inc.
2800 N. Central Avenue, Suite 2100
Phoenix, AZ 85004
602.744.3000

Brokerage
Account Statement

Statement Period: 10/01/2010 - 10/31/2010

Portfolio Holdings

Quantity	Description	Opening Balance	Closing Balance	Accrued Income	Income This Year	30-day Yield
[REDACTED]						

Quantity	Description	Market Price	Market Value	Estimated Annual Income	Estimated Yield
Equities 14.00% of Portfolio					
Common Stocks					
584.000	PENN WEST ENERGY TR TR UNIT ISIN#CA7078851093 Dividend Option: Cash Security Identifier: PWE	22.8000	13,315.20		
Total Common Stocks			\$13,315.20	\$0.00	
[REDACTED]					
Total Preferred Stocks					
Total Equities					

Quantity	Description	Market Price	Market Value	Estimated Annual Income	Estimated Yield
[REDACTED]					
[REDACTED]					
[REDACTED]					





SagePoint Financial, Inc.
 2800 N. Central Avenue, Suite 2100
 Phoenix, AZ 85004
 602.744.3000

CONFIRMATION

MAIL TO:

THE SHAPIRO FAMILY TRUST
 UAD 12/10/93
 PHILIP SHAPIRO & ELAINE SHAPIRO
 TTEES
 [REDACTED]
 ENCINO CA 91436-3119

For the account of:

THE SHAPIRO FAMILY TRUST
 UAD 12/10/93

Account Number: [REDACTED]
 Account Type: 1
 Your Investment Professional: [REDACTED]
 Your Investment Professional Number: [REDACTED]

For additional information, please see the reverse side.

You Sold:

PENN WEST PETE LTD NEW COM ISIN#CA7078871059

Trade Date: 08-02-13
 Process Date: 08-02-13
 Settlement Date: 08-07-13
 Cusip: 707887-10-5
 Symbol: PWE

We confirm the below trade, subject to the terms and conditions set forth on this confirmation.

TRADE NUMBER	QUANTITY	PRICE	PRINCIPAL	INTEREST	COMMISSION COMM EQUIV	SERVICE CHARGE	TRANS. FEE	NET AMOUNT USD	CAPACITY
1ZVHOX	584	12.074	7,051.22		80.00	4.00	0.13	6,967.09	8

Solicited Order Pershing LLC Makes A Mkt In This Sec & Acted As Principal

Default Tax Lot Disposition Method : FIRST IN FIRST OUT

Tax lot information will only be displayed for partial dispositions. Full dispositions will use all the available tax lots. You may change the disposition method or tax lots applied to this trade before the earlier of settlement date or three business days. For more cost basis information, please contact your investment professional.

Sagepoint Financial, Inc. is a registered broker-dealer and SEC registered investment adviser, member FINRA and SIPC.

THIS CONFIRMATION IS AN ADVICE NOT AN INVOICE. REMITTANCE OR SECURITIES ARE DUE ON OR BEFORE SETTLEMENT DATE.

Search Results

Page 1

Date	Acct	Action	Security	M	Cat	Xfer Acct	Amount
1/17/2008	PE SHAPIRO FAMILY TR...	Added	PENN WEST ENERGY T...			PE SHAPIRO FAMILY TRUST II	34,819.00
2/15/2008	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		351.22
3/15/2008	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		346.33
4/15/2008	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		335.14
5/15/2008	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		341.19
6/15/2008	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		332.34
7/15/2008	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		340.95
8/15/2008	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...	i...	DivInc		320.99
9/15/2008	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		319.91
10/15/2008	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		289.20
11/15/2008	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		278.44
12/15/2008	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		276.97
1/15/2009	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
2/15/2009	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		186.45
3/15/2009	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
4/15/2009	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
5/15/2009	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
6/15/2009	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
7/15/2009	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
8/15/2009	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
9/15/2009	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
10/15/2009	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
11/15/2009	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
12/15/2009	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
1/15/2010	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
2/15/2010	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
3/15/2010	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
4/15/2010	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
5/15/2010	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
6/15/2010	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
7/15/2010	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
8/15/2010	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
9/15/2010	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
10/15/2010	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
11/15/2010	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
12/15/2010	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		269.92
12/18/2010	PE SHAPIRO FAMILY TR...	Sold	PENN WEST ENERGY T...		Rtld...		0.00
12/30/2010	PE SHAPIRO FAMILY TR...	Rem...	PENN WEST ENERGY T...	Xf	from	PE SHAPIRO FAMILY TRUST II	0.00
8/18/2011	PE SHAPIRO FAMILY TR...	Added	PENN WEST ENERGY T...	Xf	to	PE SHAPIRO FAMILY TRUST I	34,819.00
10/15/2011	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		131.85
1/15/2012	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		130.25
4/15/2012	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		133.65
7/16/2012	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		131.46
10/15/2012	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		136.31
1/15/2013	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		135.49
4/15/2013	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		130.18
7/15/2013	PE SHAPIRO FAMILY TR...	Div	PENN WEST ENERGY T...		DivInc		127.94
8/2/2013	PE SHAPIRO FAMILY TR...	Sold	PENN WEST ENERGY T...		Rtld...		6,967.09

Quicken

EXHIBIT 3

Thurin, Stephanie

From: [REDACTED]
Sent: Tuesday, June 07, 2016 7:03 AM
To: info_pennwestussecuritieslitigation
Subject: PennWest Petroleum Litigation

I have received your Notice and to the best of my recollection I have never owned Penn West.

Further I completely object to this litigation where the attorneys receive 25% of a settlement on an issue which is probably fictitious anyway.

In my opinion Lawyers who engage in this false type of litigation where no one has any complaint is only showing attorneys to be the type of people who go around the battle field after everything is over and strip the bodies and kill any unfortunate survivors. Your just a bunch of parasites.

Jesse E Thompson