

**UNITED STATES DISTRICT COURT  
WESTERN DISTRICT OF PENNSYLVANIA**

MARTIN HOWARD, Individually and on	)	Civ. Action No. 2:17-cv-01057-MRH
Behalf of All Others Similarly Situated,	)	(Consolidated)
	)	
Plaintiff,	)	<u>CLASS ACTION</u>
	)	
vs.	)	
	)	
ARCONIC INC., KLAUS KLEINFELD,	)	
WILLIAM F. OPLINGER, ROBERT S.	)	
COLLINS, ARTHUR D. COLLINS, JR.,	)	
KATHRYN S. FULLER, JUDITH M.	)	
GUERON, MICHAEL G. MORRIS, E.	)	
STANLEY O’NEAL, JAMES W. OWENS,	)	
PATRICIA F. RUSSO, SIR MARTIN	)	
SORRELL, RATAN N. TATA, ERNESTO	)	
ZEDILLO, MORGAN STANLEY & CO.	)	
LLC, CREDIT SUISSE SECURITIES (USA)	)	
LLC, CITIGROUP GLOBAL MARKETS	)	
INC., GOLDMAN SACHS & CO., J.P.	)	
MORGAN SECURITIES LLC, BNP	)	
PARIBAS SECURITIES CORP.,	)	
MITSUBISHI UFJ SECURITIES (USA),	)	
INC., RBC CAPITAL MARKETS, LLC, and	)	
RBS SECURITIES INC.	)	
	)	
Defendants.	)	
	)	

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**PLAINTIFFS’ UNOPPOSED MOTION FOR PRELIMINARY  
APPROVAL OF CLASS ACTION SETTLEMENT**

Lead Plaintiffs Iron Workers Local 580 – Joint Funds and Ironworkers Locals 40, 361 & 417 – Union Security Funds (“Ironworkers”) and Janet L. Sullivan (“Sullivan”), collectively referred to as “Plaintiffs,” through their undersigned counsel, on behalf of themselves and the Settlement Class (as defined below), respectfully move the Court under Federal Rule of Civil

Procedure 23 for the entry of an order (the “Proposed Order”), substantially in the form attached as Exhibit A to the Stipulation of Settlement dated April 21, 2023 (the “Stipulation”):

- (1) preliminarily approving the proposed settlement as set forth in the Stipulation, attached as Exhibit 1 to the Declaration of Emma Gilmore in support of this motion (“Gilmore Declaration”)<sup>1</sup>, resolving this action against all Defendants in exchange for the payment of \$74 million for the benefit of the Settlement Class;
  - (2) preliminarily certifying a class (the “Settlement Class”), for settlement purposes only, of all persons or entities who purchased or otherwise acquired: (i) Arconic securities between November 4, 2013 and June 27, 2017, both dates inclusive; and (ii) Arconic Depository Shares, each representing a 1/10<sup>th</sup> interest in a share of 5.375% Class B Mandatory Convertible Preferred Stock, Series 1, par value \$1 per share, liquidation preference \$500 per share pursuant to and/or traceable to the Registration Statement and Prospectus issued in connection with Arconic’s September 18, 2014 initial public preferred stock offering (subject to certain exclusions set forth in the Stipulation);
  - (3) appointing Plaintiffs as Settlement Class Representatives and Lead Counsel as Class Counsel;
  - (4) appointing A.B. Data, Ltd. as Claims Administrator;
  - (5) approving the form and manner of disseminating notice to the Settlement Class;
- and

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<sup>1</sup> Unless otherwise defined, all capitalized terms herein have the same meanings as set forth in the Stipulation, attached as Exhibit 1 to the Gilmore Declaration which is filed concurrently herewith.

- (6) setting deadlines for the dissemination of notice, the submission of proofs of claim and requests for exclusion, the filing of objections, and the filing of Lead Counsel's motion for final approval of the Settlement and applications for attorneys' fees and expenses and a compensatory award to Plaintiffs.

Plaintiffs base this unopposed motion on the Gilmore Declaration, the Stipulation and all exhibits attached thereto, and Plaintiffs' supporting Memorandum of Law, all filed contemporaneously herewith, and all pleadings, records, and papers on file herein.

The Defendants do not oppose the relief Plaintiffs seek. Accordingly, Plaintiffs request that the Court enter the Proposed Order.

Dated: April 21, 2023

Respectfully submitted,

**POMERANTZ LLP**

/s/ Emma Gilmore

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*Additional Plaintiffs' Counsel*

**CERTIFICATE OF SERVICE**

I hereby certify that on the 21<sup>st</sup> day of April, 2023, I served the attached document, Plaintiffs' Unopposed Motion for Preliminary Approval of Class Action Settlement, via the CM/ECF system to all counsel of record.

/s/ Emma Gilmore  
Emma Gilmore