



IN THE COURT OF CHANCERY OF THE STATE OF DELAWARE

IN RE TILE SHOP HOLDINGS, INC.
LITIGATION

Consol. C.A. No. 2019-0892-SG

PLAINTIFFS' UNOPPOSED MOTION FOR ADMINISTRATIVE ORDER

Plaintiffs, K-Bar Holdings LLC and Wynnefield Capital, Inc., by and through their attorneys, hereby move this Court for entry of the accompanying [Proposed] Administrative Order amending this Court's Administrative Order (Trans. ID 67591543) to allow payment to an additional Authorized Claimant.¹ In further support of this motion, Plaintiffs submit (i) the Affidavit of Luiggy Segura in Support of Plaintiffs' Unopposed Motion for Administrative Order (the "Segura Affidavit") submitted on behalf of the Court-approved Claims Administrator, JND Legal Administration ("JND"); (ii) Plaintiffs' Brief in Support of Unopposed Motion for Administrative Order; and (iii) all other papers and proceedings herein.

Among other things, the Administrative Order would: (i) approve the Claims Administrator's processing of the Claim submitted by Claimant Craig D. Findley ("Findley Claim"); (ii) approve the Claims Administrator's administrative determination to accept the Findley Claim; and (iii) direct payment from the Net

¹ All terms with initial capitalization not otherwise defined herein shall have the meanings ascribed to them in the Segura Affidavit or the Stipulation of Settlement dated as of August 7, 2020 (Trans. ID 65830861) (the "Stipulation").

Settlement Fund to Claimant Craig D. Findley, whose Claim is accepted by the Claims Administrator as valid and approved by the Court.

Pursuant to the terms of the Stipulation, Defendants take no position on this motion, and the motion is ripe for determination. As this matter is fully briefed before the Court, a hearing on this motion is not required. Lead Counsel respectfully requests that this motion be decided on the papers.

Dated: January 20, 2023

OF COUNSEL:

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Attorneys for Plaintiffs

WORD COUNT: 219

CERTIFICATE OF SERVICE

I, Gregory Varallo, hereby certify that, on January 20, 2023, the foregoing *Plaintiffs' Unopposed Motion for Administrative Order*, supporting *Plaintiffs' Brief*, and supporting *Affidavit of Luiggy Segura* were filed and served via File & ServeXpress upon the following counsel of record:

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IN THE COURT OF CHANCERY OF THE STATE OF DELAWARE

IN RE TILE SHOP HOLDINGS, INC.
LITIGATION

Consol. C.A. No. 2019-0892-SG

[PROPOSED] ADMINISTRATIVE ORDER

Plaintiffs moved this Court for an order amending the Distribution Plan for the Net Cash Settlement Fund in the above-captioned securities class action (the “Action”). Having reviewed and considered all the materials and arguments submitted in support of the motion, including Plaintiffs’ Brief in Support of Unopposed Motion for Administrative Order and the Affidavit of Luiggy Segura in Support of Plaintiffs’ Unopposed Motion for Administrative Order (“Segura Affidavit”),

NOW, THEREFORE, IT IS HEREBY ORDERED THAT:

1. This Order incorporates by reference the definitions in the Stipulation of Settlement dated as of August 7, 2020 (Trans. ID 65830861) (“Stipulation”), and the Segura Affidavit, and all capitalized terms used in this Order shall have the same meanings as defined in the Stipulation and the Segura Affidavit.
2. This Court has jurisdiction over the subject matter of the Action and over all parties to the Action, including all Settlement Class Members.

3. Plaintiffs’ motion to amend the Distribution Plan of the Net Cash Settlement Fund to allow payment to an additional Authorized Claimant is **APPROVED**. Accordingly:

(a) The Court-approved Claims Administrator, JND Legal Administration (“JND”), is directed to process the Claim submitted by Claimant Craig D. Findley (“Findley Claim”).

(b) JND’s administrative determination to accept the Findley Claim as an Authorized Claim is adopted.

(c) JND is directed to pay the distribution amount of the Findley Claim from the Net Settlement Fund on a *pro rata* basis that would bring the Findley Claim into parity with other Authorized Claimants who have cashed their prior distribution checks.

4. This Court retains jurisdiction to consider any further applications concerning the administration of the Settlement, and any other and further relief that this Court deems appropriate.

IT IS SO ORDERED this _____ day of _____ 2023.

Vice Chancellor Sam Glasscock III



IN THE COURT OF CHANCERY OF THE STATE OF DELAWARE

IN RE TILE SHOP HOLDINGS, INC.
LITIGATION

Consol. C.A. No. 2019-0892-SG

**PLAINTIFFS' BRIEF IN SUPPORT OF
UNOPPOSED MOTION FOR ADMINISTRATIVE ORDER**

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Attorneys for Plaintiffs

Dated: January 20, 2023

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Plaintiffs, K-Bar Holdings LLC and Wynnefield Capital, Inc. (“Plaintiffs”), respectfully move for entry of the proposed Administrative Order amending the Distribution Plan for the proceeds of the Settlement in the above-captioned securities class action (the “Action”) to allow payment to an additional Authorized Claimant.¹

If entered by the Court, the Administrative Order would, among other things, (i) approve the Claims Administrator’s processing of the Claim submitted by Claimant Craig D. Findley (“Findley Claim”); (ii) approve the Claims Administrator’s administrative determination to accept the Findley Claim; and (iii) direct payment from the Net Cash Settlement Fund to Claimant Craig D. Findley, whose Claim is accepted by the Claims Administrator as valid and approved by the Court.

Under the Stipulation, Defendants have no role in or responsibility for the administration of the Settlement Fund or processing of Claims, including determinations as to the validity of Claims or the distribution of the Net Cash Settlement Fund. *See* Stipulation ¶¶ 17, 19. Lead Counsel has communicated with counsel for Defendants, who take no position on this motion. As such, the motion is ripe for determination.

¹ Unless indicated otherwise, all capitalized terms not otherwise defined herein shall have the meanings ascribed to them in the Stipulation of Settlement dated as of August 7, 2020 (Trans. ID 65830861) (the “Stipulation”) and the accompanying Affidavit of Luiggy Segura in Support of Plaintiffs’ Unopposed Motion for Administrative Order (the “Segura Affidavit” or “Segura Aff.”).

I. BACKGROUND

Plaintiffs entered into the Stipulation with Defendants for a Settlement Amount of \$12,000,000 in cash for the benefit of the Settlement Class. *See* Stipulation ¶ 3(a). By its May 5, 2022 Administrative Order (Trans. ID 67591543), the Court approved the administrative determinations of the Claims Administrator, accepting and rejecting Claims filed in the litigation before April 20, 2022, and instructed the Claims Administrator to conduct an Initial Distribution of the Net Cash Settlement Fund. *See* Administrative Order ¶ 3. In the Initial Distribution of the Net Cash Settlement Fund and pursuant to the Administrative Order, the Claims Administrator distributed 1,176 payments by check and wire with an aggregate value of \$7,784,334.54. *See* Segura Aff. ¶ 6. After the Initial Distribution and the Claims Administrator's follow-up efforts, \$23,306.11 remained in the Net Cash Settlement Fund and \$409,701.85 remained from the 5% reserve that was held back at the time of the Initial Distribution. *See id.* ¶¶ 6, 7.

The Claims Administrator received one additional Claim, the Findley Claim, since the Court approved Plaintiffs' Unopposed Motion for Administrative Order approving the Distribution Plan. *See id.* ¶ 9. The Claims Administrator was unable to locate in the Settlement Database any Claim submitted by Mr. Findley. *See id.* ¶¶ 10, 11. Mr. Findley provided the Claims Administrator and Lead Counsel with a Claim Form dated December 14, 2021 [*sic*], three affidavits, and supplemental

documentation supporting a timely Claim filed by Mr. Findley. *See id.* ¶¶ 10, 12, 13. Counsel for Mr. Findley requested a review of Mr. Findley’s filing and a determination that Mr. Findley should be paid his *pro rata* share of the Net Cash Settlement Fund. *See id.* ¶ 12.

II. AMENDMENT OF DISTRIBUTION PLAN

The Court’s May 5, 2022 Administrative Order approving the Distribution Plan for the Net Cash Settlement Fund, in subparagraph 3(h) thereof, provides:

No new Claims may be accepted after April 20, 2022, and no further adjustments to Claims received on or before April 20, 2022, may be made for any reason after April 20, 2022.

However, pursuant to paragraph 7 of the Court’s Administrative Order, the Court:

...retains jurisdiction to consider any further applications concerning the administration of the Settlement, and any other and further relief that this Court deems appropriate.

The Claims Administrator recommended to Lead Counsel that Court approval be sought to permit the payment to one additional Authorized Claimant (*see Segura Aff.* ¶ 13) and submitted the accompanying Segura Affidavit in support of Plaintiffs’ motion.

III. SECOND AND ADDITIONAL DISTRIBUTIONS

In accordance with the Court’s May 5, 2022 Administrative Order approving the Distribution Plan for the Net Cash Settlement Fund, the Claims Administrator is

prepared to conduct the Second Distribution, pursuant to subparagraph 3(f), in which any amount remaining in the Net Cash Settlement Fund, including the Court-approved reserve, after deducting any unpaid fees and expenses incurred, will be distributed to all Authorized Claimants who cashed their Initial Distribution check and are entitled to receive at least \$5.00 from the Second Distribution based on their *pro rata* share of the remaining funds. *See Segura Aff.* ¶ 17. Additional distributions, after deduction of costs and expenses as described above and subject to the same conditions, may occur thereafter in six (6)-month intervals until Lead Counsel, in consultation with the Claims Administrator, determines that further distribution is not cost-effective. *See id.*

After its comprehensive review and evaluation of the authenticity of the documents and information submitted on behalf of Mr. Findley by his attorneys, the Claims Administrator has concluded that Mr. Findley made a good faith effort to file his Claim, but his Claim, which was mailed via the U.S. Postal service, was never received by the Claims Administrator. *See id.* ¶ 13. In the interest of fairness, both Lead Counsel and the Claims Administrator recommend that the Findley Claim be accepted and paid from the Net Cash Settlement Fund remaining from the Initial Distribution and the reserve. *See id.* Mr. Findley's Claim will be paid at the time of the Second Distribution, at which time his Claim will be brought into parity with other Court-approved Claimants who received payment in the First and Second

Distributions. *See id.* ¶ 18. At the time of this application, the Claims Administrator has received no additional Claims by any Claimant and Mr. Findley is the only Claimant who is the subject of this motion. *See id.* Provided Mr. Findley cashes the payments from the Initial and Second Distributions, he will be eligible to participated in any additional distributions pursuant to subparagraph 3(f) of the Court's May 5, 2022 Administrative Order. *See id.*

IV. CONCLUSION

The Administrative Order will amend the Distribution Plan to allow payment to one additional Authorized Claimant, and there should be no need for Plaintiffs or the Claims Administrator to request any further orders from the Court.

For the foregoing reasons, Plaintiffs respectfully submit that Plaintiffs' Unopposed Motion for Administrative Order should be granted, and the [Proposed] Administrative Order should be entered.

**BERNSTEIN LITOWITZ BERGER
& GROSSMANN LLP**

OF COUNSEL:

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Attorneys for Plaintiffs

WORD COUNT: 1,008

DATE: January 20, 2023

CLAIMS ADMINISTRATION

3. Plaintiffs entered into the Stipulation with Defendants for a Settlement Amount of \$12,000,000 in cash for the benefit of the Settlement Class. Stipulation ¶ 3(a). Pursuant to the Court’s August 12, 2020 Scheduling Order (Trans. ID 65843207) (“Scheduling Order”), JND was retained by Lead Counsel to serve as the Claims Administrator in connection with the Settlement of the Action. JND mailed the Notice of Proposed Settlement of Class and Derivative Action, Settlement Hearing, and Right to Appear (“Notice”) and the Proof of Claim (“Claim Form” and, collectively with the Notice, the “Notice Packet”) to potential Settlement Class Members, brokers, and other nominees.

4. Under the terms of the Scheduling Order and as set forth in the Notice, each Settlement Class Member who wished to be eligible to receive a distribution from the Net Cash Settlement Fund was required to complete and submit to JND a properly executed Claim Form postmarked no later than January 8, 2021, together with adequate supporting documentation for the transactions and holdings reported in the Claim Form. Each submission was scanned into and evaluated within a database dedicated to this Settlement (the “Settlement Database”). JND has received and fully processed claims received through April 20, 2022.

**STATUS REPORT ON COMPLETED DISTRIBUTION OF THE NET
SETTLEMENT FUND**

5. By its May 5, 2022 Administrative Order (Trans. ID 67591543), the Court approved the administrative determinations of JND accepting and rejecting Claims filed in the litigation before April 20, 2022, and instructed JND to conduct an Initial Distribution of the Net Cash Settlement Fund. *See* Administrative Order ¶ 3.

6. JND has completed the Initial Distribution of the Net Cash Settlement Fund. On July 15, 2022, JND distributed 1,176 payments by check and wire with a total value of \$7,784,334.54. To ensure that the maximum number of Initial Distribution checks were cashed, JND performed extensive follow-up with many of the Authorized Claimants whose checks were initially uncashed, either because those checks were returned to JND as undeliverable or because the Authorized Claimant simply had not cashed the check. JND implemented calling campaigns to urge Authorized Claimants with uncashed checks in the Initial Distribution to cash their checks. Those Authorized Claimants were informed that if they did not cash their checks, they risked forfeiture of their funds; where an Authorized Claimant lost or damaged the check or otherwise required a new check, JND performed check reissues.

7. After the Initial Distribution and JND's follow-up efforts, \$23,306.11 remains in the Net Cash Settlement Fund. Additionally, \$409,701.85 remains from

the 5% reserve that was held back at the time of the Initial Distribution to address any tax liability or claims administration-related contingencies that may arise. *See* Administrative Order ¶ 3(c).

8. To date \$7,761,028.95 has been negotiated from the July 15, 2022 Initial Distribution. As of December 15, 2022, a total of \$23,306.11 remains in the Net Cash Settlement Fund from the Initial Distribution. The Reserve currently totals \$433,583.00. Combined, approximately \$456,889.11 is available to conduct a Second Distribution of the Net Cash Settlement Fund.

ADDITIONAL CLAIMANT APPLICATION

9. JND has received one additional Claim since the Court approved Plaintiffs' Unopposed Motion for Administration Order approving the Distribution Plan. This Claim has been filed by Claimant Craig D. Findley ("Findley Claim") and is the subject of the pendant application to the Court requesting an Administrative Order permitting the acceptance and payment of an additional Authorized Claimant.

10. Specifically, on August 1, 2022, after his representative had been advised that JND had not received a Claim on his behalf, Mr. Findley called JND stating that he had timely mailed his Claim Form to JND and that he thought it was included with a batch of eight (8) Claims associated with another filer, a Tim Heckler. JND re-reviewed the claims submitted by Tim Heckler and still did not see any claims from Mr. Findley. After this call, Mr. Findley sent JND an electronic

copy of the Claim Form he claims to have submitted, via email to the inbox associated with this Settlement, info@TileShopStockholderLitigation.com. The emailed Claim Form indicated a signature date of December 14, 2021 [sic]. However, Mr. Findley submitted an affidavit attesting that the Claim Form was signed and submitted on or around December 14, 2020, not 2021. With this supplemental information, JND performed an additional thorough search yet was still unable to locate a Claim from Mr. Findley within the Settlement Database.

11. On August 18, 2022, Laurie Schoonmaker of Niehaus & Kalas LTD, counsel retained by Mr. Findley, called JND's contact center for an update. Upon receiving this call, JND reached out to Ms. Schoonmaker to advise her that JND was unable to locate a Claim filed by Mr. Findley. Ms. Schoonmaker inquired about options for obtaining recovery. JND consulted Lead Counsel and the Court documents concerning potential remediation.

12. On September 16, 2022, Charles Niehaus and Laurie Schoonmaker of Niehaus & Kalas LTD sent a memo to Lead Counsel and JND, along with three affidavits supporting a timely filed Claim by Mr. Findley, requesting the review of Mr. Findley's filing and a determination that Mr. Findley should be paid his *pro rata* share of the Net Cash Settlement Fund.

13. Thereafter, on October 5, 2022, JND requested that Mr. Findley's Claim Form, along with original broker confirmation statements and all original notarized

affidavits, be mailed to JND for further review. On October 19, 2022, JND received the requested materials for additional review. Attached hereto as Exhibits A through D are Mr. Findley's Claim Form, account statements from Charles Schwab, transaction confirmation communications from UBS, and the memo from Niehaus & Kalas LTD attaching the supporting notarized affidavits of Craig D. Findley, Melissa Estrich, and Tim Heckler. In light of the foregoing and JND's comprehensive review and evaluation of the authenticity of the documents and information submitted on behalf of Mr. Findley by his attorneys, JND has concluded that Mr. Findley made a good faith effort to file his Claim, but his Claim, which was mailed via the U.S. Postal Service, was never delivered to JND. In the interest of fairness, JND and Lead Counsel recommend that the Claim be accepted and paid from the Net Cash Settlement Fund remaining from the Initial Distribution and the reserve. The approximate payment amount, which is subject to change based upon variables, is \$149,000.

**ACCEPTANCE OF ADDITIONAL CLAIM REQUIRES COURT
APPROVAL**

14. The Court's May 5, 2022 Administrative Order, in subparagraph 3(h) thereof, provides:

No new Claims may be accepted after April 20, 2022, and no further adjustments to Claims received on or before April 20, 2022, may be made for any reason after April 20, 2022.

15. However, pursuant to paragraph 7 of the Court's Administrative Order:

This Court retains jurisdiction to consider any further applications concerning the administration of the Settlement, and any other and further relief that this Court deems appropriate.

16. JND has recommended to Lead Counsel that Court approval be sought to permit payment to one additional Authorized Claimant for the Findley Claim and is filing this Affidavit in support of Plaintiffs' motion.

SECOND AND ADDITIONAL DISTRIBUTIONS

17. In accordance with the Court's May 5, 2022 Administrative Order approving the Distribution Plan for the Net Cash Settlement Fund, JND is prepared to conduct the Second Distribution, in which any amount remaining in the Net Cash Settlement Fund, including the Court-approved reserve, after deducting any unpaid fees and expenses incurred, will be distributed to all Authorized Claimants who cashed their Initial Distribution check and are entitled to receive at least \$5.00 from the Second Distribution based on their *pro rata* share of the remaining funds. *See* Administrative Order ¶ 3(f). Additional distributions, after deduction of costs and expenses as described above and subject to the same conditions, may occur thereafter in six (6)-month intervals until Lead Counsel, in consultation with JND, determines that further distribution is not cost-effective. *Id.*

18. JND recommends that the Findley Claim is accepted by the Court as a valid, timely Claim and that Mr. Findley be paid at the time of the Second Distribution, at which time his Claim will be brought into parity with other Court-

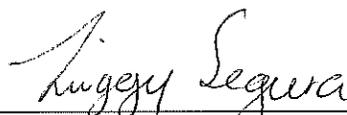
approved Claimants who received payment in the First and Second Distributions. At the time of this application, JND has received no additional Claims by any other Claimant, and Mr. Findley is the only Claimant who is the subject of this motion. Provided Mr. Findley cashes the payments from the Initial and Second Distributions, he will be eligible to participated in any additional distributions in accordance with the Court's May 5, 2022 Administrative Order. *See* Administrative Order ¶ 3 (f).

CONCLUSION

19. JND respectfully requests that the Court enter the Administrative Order amending the Distribution Plan to allow payment to an additional Authorized Claimant.

I declare under penalty of perjury under the laws of the State of New York that the foregoing is true and correct to the best of my knowledge.

Executed in New Hyde Park, New York, on January 20, 2023.



Luiggy Segura

Sworn to and subscribed before me this 20th day of January 2023.



NOTARY PUBLIC

WILLIAM A. O'LOUGHLIN
Notary Public, State of New York
No. 01OL5084336
Qualified in Suffolk County

WILLIAM A. O'LOUGHLIN
Notary Public, State of New York
No. 01OL5084336
Qualified in Suffolk County
Commission Expires SEPTEMBER 2, 2025

My commission expires:

Commission Expires SEPTEMBER 2, 2025

EXHIBIT A

PROOF OF CLAIM

To be potentially eligible to receive a share of the Net Cash Settlement Fund in connection with the Settlement of this Action, you must complete and sign this Proof of Claim ("Claim Form") and mail it by first-class mail to the address below, with supporting documentation, **postmarked no later than JANUARY 8, 2021**.

**Mail to: Tile Shop Stockholder Litigation
c/o JND Legal Administration
P.O. Box 91376
Seattle, WA 98111**

Failure to submit your Claim Form by the date specified will subject your claim to rejection and may preclude you from being eligible to receive a payment from the Settlement.

Do not mail or deliver your Claim Form to the Court, Lead Counsel, Defendants' Counsel, or any of the Parties to the Action. Submit your Claim Form only to the Claims Administrator at the address set forth above.

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- 03 PART II – GENERAL INSTRUCTIONS
- 05 PART III – SCHEDULE OF HOLDINGS AND TRANSACTIONS IN TILE SHOP COMMON STOCK
- 06 PART IV – CERTIFICATION AND SIGNATURE

PART I – CLAIMANT INFORMATION

The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above. Complete names of all persons and entities must be provided.

Beneficial Owner's First Name

Craig D. Findley

Beneficial Owner's Last Name

Findley

Joint Beneficial Owner's First Name (if applicable)

Joint Beneficial Owner's Last Name (if applicable)

If this claim is submitted for an IRA, and if you would like any check that you MAY be eligible to receive made payable to the IRA, please include "IRA" in the "Last Name" box above (e.g., Jones IRA).

Entity Name (if the Beneficial Owner is not an individual)

Name of Representative, if applicable (e.g., executor, administrator, trustee, c/o, etc.), if different from Beneficial Owner

Last 4 digits of Social Security Number or Taxpayer Identification Number

Street Address

City

State/Province

OH

Zip Code

Foreign Postal Code (if applicable)

Foreign Country (if applicable)

Telephone Number (Day)

Telephone Number (Evening)

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)

Account Number (where securities were traded)¹

Type of Beneficial Owner:

Specify one of the following:

Individual(s)

Corporation

UGMA Custodian

IRA

Partnership

Estate

Trust

Other (describe): _____

¹ If the account number is unknown, you may leave blank. If filing for more than one account for the same legal entity, you may write "multiple." Please see ¶ 7 of the General Instructions below for more information on when to file separate Claim Forms for multiple accounts.

PART II – GENERAL INSTRUCTIONS

1. It is important that you completely read and understand the Notice of Proposed Settlement of Class and Derivative Action, Settlement Hearing, and Right to Appear (the “Notice”) that accompanies this Claim Form, including the Plan of Allocation of the Net Cash Settlement Fund set forth in the Notice. The Notice describes the proposed Settlement, how Class Members are affected by the Settlement, and the manner in which the Net Cash Settlement Fund will be distributed if the Settlement and Plan of Allocation are approved by the Court. The Notice also contains the definitions of many of the defined terms (which are indicated by initial capital letters) used in this Claim Form. By signing and submitting this Claim Form, you will be certifying that you have read and that you understand the Notice, including the terms of the releases described therein.

2. By submitting this Claim Form, you will be making a request to receive a payment from the Settlement described in the Notice. **IF YOU ARE NOT A CLASS MEMBER** (see the definition of the Settlement Class in the Notice, which sets forth who is included in and who is excluded from the Settlement Class), **DO NOT SUBMIT A CLAIM FORM. YOU MAY NOT, DIRECTLY OR INDIRECTLY, PARTICIPATE IN THE SETTLEMENT IF YOU ARE NOT A CLASS MEMBER. THUS, IF YOU ARE EXCLUDED FROM THE SETTLEMENT CLASS, ANY CLAIM FORM THAT YOU SUBMIT, OR THAT MAY BE SUBMITTED ON YOUR BEHALF, WILL NOT BE ACCEPTED.**

3. Submission of this Claim Form does not guarantee that you will be eligible to receive a payment from the Settlement. The distribution of the Net Cash Settlement Fund will be governed by the Plan of Allocation set forth in the Notice, if it is approved by the Court, or by such other plan of allocation as the Court approves.

4. Use the Schedule of Transactions in Part III of this Claim Form to supply all required details of your holdings of, and transaction(s) in, Tile Shop Holdings, Inc. (“Tile Shop”) common stock. On this schedule, provide all of the requested information with respect to your holdings and sales of Tile Shop common stock (including free transfers and deliveries). Failure to report all required holding and transaction information during the requested time periods may result in the rejection of your claim.

5. You are required to submit genuine and sufficient documentation for all of your holdings of and transactions in Tile Shop common stock set forth in the Schedule of Transactions in Part III of this Claim Form. Documentation may consist of copies of monthly brokerage account statements or an authorized statement from your broker containing the holding and transactional information found in an account statement. The Parties and the Claims Administrator do not independently have information about your investments in Tile Shop common stock. **IF SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN COPIES OF THE DOCUMENTS OR EQUIVALENT DOCUMENTS FROM YOUR BROKER. FAILURE TO SUPPLY THIS DOCUMENTATION MAY RESULT IN THE REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL DOCUMENTS.** Please keep a copy of all documents that you send to the Claims Administrator. Also, do not highlight any portion of the Claim Form or any supporting documents.

6. Use Part I of this Claim Form entitled “CLAIMANT INFORMATION” to identify the beneficial owner(s) of Tile Shop common stock. The complete name(s) of the beneficial owner(s) must be entered. If you held the stock in your own name, you were the beneficial owner as well as the record owner. If, however, your shares were registered in the name of a third party, such as a nominee or brokerage firm, you were the beneficial owner of these shares, but the third party was the record owner. The beneficial owner, not the record owner, must sign this Claim Form to be eligible to participate in the Settlement. If there were joint beneficial owners, each must sign this Claim Form and their names must appear as “Claimants” in Part I of this Claim Form.

7. One Claim should be submitted for each separate legal entity. Separate Claim Forms should be submitted for each separate legal entity (e.g., a claim from joint owners should not include separate holdings or transactions of just one of the joint owners, and an individual should not combine his or her 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 holdings or 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 holdings and transactions made in all accounts on one Claim Form).

8. 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, Social Security Number (or Taxpayer Identification 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 Tile Shop common stock; and
- (c) furnish herewith evidence of their authority to bind to the Claim Form 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 securities in another person's accounts.)

9. By submitting a signed Claim Form, you will be swearing that you:

- (a) own(ed) the Tile Shop common stock you have listed in the Claim Form; or
- (b) are expressly authorized to act on behalf of the owner thereof.

10. By submitting a signed Claim Form, you will be swearing to the truth of the statements contained therein and the genuineness of the documents attached thereto, subject to penalties of perjury under the laws of the United States of America. The making of false statements, or the submission of forged or fraudulent documentation, will result in the rejection of your claim and may subject you to civil liability or criminal prosecution.

11. If the Court approves the Settlement, payments to eligible Authorized Claimants pursuant to the Plan of Allocation (or such other plan of allocation as the Court approves) will be made after any appeals are resolved, and after the completion of all claims processing. The claims process will take substantial time to complete fully and fairly. Please be patient.

12. **PLEASE NOTE:** As set forth in the Plan of Allocation, each Authorized Claimant shall receive his, her, or its allocated *pro rata* share of the Net Cash Settlement Fund. If the prorated payment to any Authorized Claimant calculates to less than \$5.00, it will not be included in the calculation and no distribution will be made to that Authorized Claimant.

13. If you have questions concerning the Claim Form, or need additional copies of the Claim Form or the Notice, you may contact the Claims Administrator, JND Legal Administration, at the above address, by email at info@TileShopStockholderLitigation.com, or by toll-free phone at 1-877-313-0184, or you can visit the Settlement website, www.TileShopStockholderLitigation.com, where copies of the Claim Form and Notice are available for downloading.

14. **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. To obtain the **mandatory** electronic filing requirements and file layout, you may visit the Settlement website at www.TileShopStockholderLitigation.com or you may email the Claims Administrator's electronic filing department at TILSecurities@JNDLA.com. **Any file not in accordance with the required electronic filing format will be subject to rejection.** Only one claim should be submitted for each separate legal entity (see ¶ 7 above) and the **complete** name of the beneficial owner of the securities must be entered where called for (see ¶ 6 above). No electronic files will be considered to have been submitted unless the Claims Administrator issues an email to that effect. **Do not assume that your file has been received until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at TILSecurities@JNDLA.com to inquire about your file and confirm it was received.**

IMPORTANT: PLEASE NOTE

YOUR CLAIM IS NOT DEEMED FILED UNTIL YOU RECEIVE AN ACKNOWLEDGEMENT POSTCARD. THE CLAIMS ADMINISTRATOR WILL ACKNOWLEDGE RECEIPT OF YOUR CLAIM FORM BY MAIL, WITHIN 60 DAYS OF YOUR SUBMISSION. IF YOU DO NOT RECEIVE AN ACKNOWLEDGEMENT POSTCARD WITHIN 60 DAYS, CONTACT THE CLAIMS ADMINISTRATOR TOLL FREE AT 1-877-313-0184 OR BY EMAIL AT INFO@TILESHOPSTOCKHOLDERLITIGATION.COM.

PART III – SCHEDULE OF HOLDINGS AND TRANSACTIONS IN TILE SHOP COMMON STOCK

Please be sure to include proper documentation with your Claim Form as described in detail in Part II – General Instructions, Paragraph 5, above. Do not include information regarding securities other than Tile Shop common stock.

1. HOLDINGS AS OF OCTOBER 18, 2019 – State the total number of shares of Tile Shop common stock held on October 18, 2019. (Must be documented.)		Confirm Proof of Position Enclosed <input checked="" type="checkbox"/>
<div style="border: 1px solid black; padding: 5px; display: inline-block; margin: 5px;">427,120 shares</div>		
2. SALES FROM OCTOBER 22, 2019 THROUGH NOVEMBER 8, 2019 – Separately list each and every sale or disposition (including free deliveries) of Tile Shop common stock from after the opening of trading on October 22, 2019 through and including the close of trading on November 8, 2019. (Must be documented.)		IF NONE, CHECK HERE <input type="checkbox"/>
<i>N/A</i>		
Date of Sale (List Chronologically) (Month/Day/Year)	Number of Shares Sold	Confirm Proof of Sale Enclosed
/ /	0 shares sold 10/22 - 11/8/19	<input type="checkbox"/>
/ /		<input type="checkbox"/>
3. HOLDINGS AS OF JUNE 30, 2020 – State the total number of shares of Tile Shop common stock held on June 30, 2020. (Must be documented.) If none, write "zero" or "0."		Confirm Proof of Position Enclosed <input checked="" type="checkbox"/>
<div style="border: 1px solid black; padding: 5px; display: inline-block; margin: 5px;">427,120 shares</div>		

IF YOU REQUIRE ADDITIONAL SPACE FOR THE SCHEDULE ABOVE, ATTACH EXTRA SCHEDULES IN THE SAME FORMAT. PRINT THE BENEFICIAL OWNER'S FULL NAME AND LAST FOUR DIGITS OF SOCIAL SECURITY/TAXPAYER IDENTIFICATION NUMBER ON EACH ADDITIONAL PAGE. IF YOU DO ATTACH EXTRA SCHEDULES, CHECK THIS BOX.

PART IV - CERTIFICATION AND SIGNATURE

YOU MUST READ THE FOLLOWING CERTIFICATION AND SIGN ON PAGE 7 OF THIS CLAIM FORM.

CERTIFICATION

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

1. that that I (we) have read and understand the contents of the Notice and this Claim Form, including the releases provided for in the Settlement and the terms of the Plan of Allocation;

2. that the claimant(s) is a (are) Class Member(s), as defined in the Notice, and is (are) not excluded by definition from the Settlement Class as set forth in the Notice;

3. that I (we) own(ed) the Tile Shop common stock identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Released Defendants' Persons to another, or that, in signing and submitting this Claim Form, I (we) 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 holdings or transactions in Tile Shop common stock and knows (know) of no other person having done so on the claimant's (claimants') behalf;

5. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim;

6. that I (we) agree to furnish such additional information with respect to this Claim Form as Lead Counsel, the Claims Administrator, or the Court may require;

7. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the determination by the Court of the validity or amount of this claim, and waives any right of appeal or review with respect to such determination;

8. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and

9. that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (i) the claimant(s) is (are) exempt from backup withholding or (ii) the claimant(s) has (have) not been notified by the IRS that he, she, or it is subject to backup withholding as a result of a failure to report all interest or dividends or (iii) the IRS has notified the claimant(s) that he, she, or it is no longer subject to backup withholding. **If the IRS has notified the claimant(s) that he, she, it, or they is (are) subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding in the certification above.**

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.

Craig D Findley
Signature of claimant

12/14/21
Date

CRAIG D. FINDLEY
Print claimant name here

Signature of joint claimant, if any

Date

Print joint claimant name here

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

Print name of person signing on behalf of claimant 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 ¶ 8 on page 6 of this Claim Form.)

REMINDER CHECKLIST



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



2. Attach only **copies** of acceptable supporting documentation as these documents will not be returned to you.



3. Do not highlight any portion of the Claim Form or any supporting documents.

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

5. The Claims Administrator will acknowledge receipt of your Claim Form by mail, within 60 days of your submission. 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 1-877-313-0184.**



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

7. If you have any questions or concerns regarding your claim, contact the Claims Administrator at the address below, by email at info@TileShopStockholderLitigation.com, or by toll-free phone at 1-877-313-0184, or you may visit www.TileShopStockholderLitigation.com. DO NOT call Tile Shop or its counsel with questions regarding your claim.



THIS CLAIM FORM MUST BE MAILED TO THE CLAIMS ADMINISTRATOR BY FIRST-CLASS MAIL, POSTMARKED NO LATER THAN JANUARY 8, 2021, ADDRESSED AS FOLLOWS:

**Tile Shop Stockholder Litigation
c/o JND Legal Administration
P.O. Box 91376
Seattle, WA 98111**

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if a postmark date on or before January 8, 2021 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.

EXHIBIT B



Schwab One® Account of
CRAIG D FINDLEY

Pgs 7 & 8

(Question # 1 - proof)

Account Number
[Redacted]

Statement Period
October 1-31, 2019

Need help reading this statement?
Visit www.schwab.com/StatementUserGuide for more information.

Market Monitor

Rates	Yield
Bank Sweep: Interest Rate as of 10/31 ^Z	0.10%

Your Independent Investment Manager and/or Advisor

[Redacted]

The custodian of your brokerage account is: Charles Schwab & Co., Inc.
This report is provided by Schwab. Except as noted in the terms and conditions, your Investment Manager and/or Advisor is independently owned and operated and not an affiliate with Schwab. For questions about this statement, or if there is a change in your financial situation, investment objectives, or risk profile, please contact your Independent Investment Manager and/or Advisor.

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Investment Detail.....	6
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CRAIG D FINDLEY

[Redacted]



Your Independent Investment Advisor is not affiliated with or an agent of Schwab and Schwab does not supervise or endorse your Advisor.



Schwab One® Account of
CRAIG D FINDLEY

Account Number
5205-6425

Statement Period
October 1-31, 2019

Terms and Conditions

This Account statement is furnished solely by Charles Schwab & Co., Inc. ("Schwab") for your Account at Schwab ("Account"). Schwab Institutional is a division of Charles Schwab & Co., Inc., and provides back office brokerage and related services to investment advisors and retirement plan providers. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement. Schwab is a registered broker-dealer and is not affiliated with your Investment Advisor whose name appears on this statement ("Advisors") except in the case of Charles Schwab Investment Advisory, Inc. ("CSIA"), Schwab Private Client Investment Advisory, Inc. ("SPCIA"), or an affiliated company that may act as the investment advisor on a fund. Advisors are independently owned and operated. Schwab neither endorses nor recommends any particular Advisor or its investment strategy and has no responsibility to monitor trading by any Advisor in your Account. Schwab has not verified any statement accompanying any Advisor's logo appearing on this statement. Advisors provide investment advisory services for your Account. Schwab provides brokerage and custody services for your Account. Schwab has agreements with Advisors under which Schwab provides Advisors with institutional trading, custody and related services, and products. Not all of these products and services may benefit your Account, and Schwab may provide them to Advisors on the Advisor's commitment to place a certain amount of its clients' assets in brokerage accounts at Schwab within a certain period of time. This commitment could influence an Advisor's recommendation or requirement that its clients establish brokerage accounts at Schwab.

GENERAL INFORMATION AND KEY TERMS:

If you receive any other communication from any source other than Schwab which purports to represent your holdings at Schwab (including balances held at a Depository Institution) you should verify its content with this statement.

AIP (Automatic Investment Plan) Customers: Schwab receives remuneration in connection with certain transactions effected through Schwab. If you participate in a systematic investment program through Schwab, the additional information normally detailed on a trade confirmation will be provided upon request.

Average Daily Balance: Average daily composite of all cash balances that earn interest and all loans from Schwab that are charged interest.

Bank Sweep and Bank Sweep for Benefit Plans Features: Schwab acts as your agent and custodian in establishing and maintaining your Bank Sweep and Bank Sweep for Benefit Plans features as a Schwab Cash feature for your brokerage account. Deposit accounts constitute direct obligations of banks affiliated with Schwab and are not obligations of Schwab. Bank deposit accounts are insured by the FDIC within applicable limits. The balance in the bank deposit accounts can be withdrawn on your order and the proceeds returned to your securities account or remitted to you as provided in your Account Agreement. For information on FDIC insurance and its limits, as well as other important disclosures about the Bank Sweep and Bank Sweep for Benefit Plans features, please refer to the Cash Features Disclosure Statement available online or from a Schwab representative.

Cash: Any Free Credit Balance owed by us to you payable upon demand which, although accounted for on our books of record, is not

segregated and may be used in the conduct of this firm's business.

Current Yield: Annual dividend paid on an equity divided by the current market price.

Dividend Reinvestment Customers: Dividend reinvestment transactions were effected by Schwab acting as a principal for its own account, except for the reinvestment of Schwab dividends, for which an independent broker-dealer acted as the buying agent. Further information on these transactions will be furnished upon written request.

Estimated Annual Income: Estimated annual income is derived from information provided by outside parties. Schwab cannot guarantee the accuracy of such information. Since the interest and dividends are subject to change at any time, they should not be relied upon exclusively for making investment decisions.

Fees and Charges: For those fees described in the statement as "Fee to Advisor", as authorized by you, Schwab debited your Account to pay the fees as instructed by your Advisor. It is your responsibility, and not Schwab's, to verify the accuracy of the fees. Margin interest charged to your Account during the statement period is included in this section of the statement.

Interest: For the Schwab One Interest, Bank Sweep, and Bank Sweep for Benefit Plans features, interest is paid for a period that differs from the Statement Period. Balances include interest paid as indicated on your statement by Schwab or one or more of its affiliated banks. These balances do not include interest that may have accrued during the Statement Period after interest is paid. The interest paid may include interest that accrued in the prior Statement Period. For the Schwab One Interest feature, interest accrues daily from the second-to-last business day of the prior month and is posted on the second-to-last business day of the current month. For the Bank Sweep feature, interest accrues daily from the 16th day of the prior month and is credited/posted on the first business day after the 15th of the current month.

If, on any given day, the interest that Schwab calculates for the Free Credit Balances in the Schwab One Interest feature in your brokerage account is less than \$.005, you will not accrue any interest on that day. For balances held at banks affiliated with Schwab in the Bank Sweep and Bank Sweep for Benefit Plans features, interest will accrue even if the amount is less than \$.005.

Margin Account Customers: This is a combined statement of your margin account and special memorandum account maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account as required by Regulation T is available for your inspection. Securities purchased on margin are Schwab's collateral for the loan to you. It is important that you fully understand the risks involved in trading securities on margin. These risks include:

- You can lose more funds than you deposit in the margin account.
- Schwab can force the sale of securities or other assets in any of your account(s) to maintain the required account equity without contacting you.
- You are not entitled to choose which assets are liquidated nor are you entitled to an extension of time on a margin call.
- Schwab can increase its "house" maintenance margin requirements at any time without advance written notice to you.

Market Price: The most recent price evaluation available to Schwab on the last business day of the report period, normally the last trade

price or bid as of market close. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. Schwab shall have no responsibility for the accuracy or timeliness of any such valuations. Pricing of assets not held at Schwab is for informational purposes only. Some securities, especially thinly traded equities in the OTC market or foreign markets, may not report the most current price and are indicated as Stale Priced. For Limited Partnerships and Real Estate Investment Trust (REIT) securities, you may see that the value reflected on your monthly account statement for this security is unpriced. NASD rules require that certain Limited Partnerships (direct participation programs) and Real Estate Investment Trust (REIT) securities, that have not been priced within 18 months, must show as unpriced on customer statements. Note that these securities are generally illiquid, the value of the securities will be different than its purchase price, and, if applicable, that accurate valuation information may not be available.

Market Value: The Market Value is computed by multiplying the Market Price by the Quantity of Shares. This is the dollar value of your present holdings in your specified Schwab Account or a summary of the Market Value summed over multiple accounts.

Non-Publicly Traded Securities: All assets shown on this statement, other than certain direct investments which may be held by a third party, are held in your Account. Values of certain Non-Publicly Traded Securities may be furnished by a third party as provided by Schwab's Account Agreement. Schwab shall have no responsibility for the accuracy or timeliness of such valuations. The Securities Investor Protection Corporation (SIPC) does not cover many limited partnership interests.

Option Customers: Be aware of the following: 1) Commissions and other charges related to the execution of option transactions have been included in confirmations of such transactions previously furnished to you and will be made available promptly upon request 2) You should advise us promptly of any material changes in your investment objectives or financial situation 3) Exercise assignment notices for the option contracts are allocated among customer short positions pursuant to an automated procedure which randomly selects from among all customer short option positions those contracts which are subject to exercise, including positions established on the day of assignment 4) Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options. Please consult your tax advisor or IRS publication 550, Investment Income and Expenses, for additional information on Options.

Schwab Sweep Money Funds: Includes the primary money market funds into which Free Credit Balances may be automatically invested pursuant to your Account Agreement. Schwab or an affiliate acts and receives compensation as the Investment Advisor, Transfer Agent, Shareholder Service Agent and Distributor for the Schwab Sweep Money Funds. The amount of such compensation is disclosed in the prospectus. The yield information for Schwab Sweep Money Funds is the current 7-day yield as of the statement period. Yields vary. If on any given day, the accrued daily dividend for your selected sweep money fund as calculated for your account is less than 1/2 of 1 cent (\$.0005), your account will not earn a dividend for that day. In addition, if you do not accrue at least 1 daily dividend of \$0.01 during

Terms and Conditions (continued)

a pay period, you will not receive a money market dividend for that period. Schwab and the Schwab Sweep Money Funds investment advisor may be voluntarily reducing a portion of a Schwab Sweep Money Fund's expenses. Without these reductions, yields would have been lower.

Securities Products and Services: Securities products and services are offered by Charles Schwab & Co., Inc., Member SIPC. Securities products and services, including unswept intraday funds and net credit balances held in brokerage accounts are not deposits or other obligations of, or guaranteed by, any bank, are not FDIC insured, and are subject to investment risk and may lose value. SIPC does not cover balances held at banks affiliated with Schwab in the Bank Sweep and Bank Sweep for Benefit Plans features.

Short Positions: Securities sold short will be identified through an "S" in Investment Detail. The market value of these securities will be expressed as a debit and be netted against any long positions in Total Account Value.

Yield to Maturity: This is the actual average annual return on a note if held to maturity.

Gain (or Loss): Unrealized Gain or (Loss) and Realized Gain or (Loss) sections ("Gain/Loss Section(s)") contain a gain or a loss summary of your Account. This information has been provided on this statement at the request of your Advisor. This information is not a solicitation or a recommendation to buy or sell. It may, however, be helpful for investment and tax planning strategies. Schwab does not provide tax advice and encourages you to consult with your tax professional. Please view the Cost Basis Disclosure Statement for additional information on how gain (or loss) is calculated and how Schwab reports adjusted cost basis information to the IRS.

Accrued Income: Accrued Income is the sum of the total accrued interest and/or accrued dividends on positions held in your Account, but the interest and/or dividends have not been received into your account. Schwab makes no representation that the amounts shown (or any other amount) will be received. Accrued amounts are not covered by SIPC account protection until actually received and held in the Account.

IN CASE OF ERRORS OR DISCREPANCIES: If you find an error or discrepancy relating to your brokerage activity (other than an electronic fund transfer) you must notify us promptly, but no later than 10 days after this statement is sent or made available to you. If this statement shows that we have mailed or delivered security certificate(s) that you have not received, notify Schwab immediately. You may call us at 800-515-2157. Any oral communications should be re-confirmed in writing to further protect your rights, including rights under the Securities Investor Protection Act (SIPA). If you do not so notify us, you agree that the statement activity and Account balance are correct for all purposes with respect to those brokerage transactions.

IN CASE OF COMPLAINTS: If you have a complaint regarding your Schwab statement, products or services, please write to the Client Advocacy Team at Charles Schwab & Co., Inc., Attention: Client Advocacy Team, 211 Main St., San Francisco, CA 94105, USA, or call Schwab Signature Alliance at 800-515-2157.

Address Changes: If you fail to notify Schwab in writing of any change of address or phone number, you may not receive important notifications about your Account, and trading or other restrictions might be placed on your Account.

Additional Information:

We are required by law to report to the Internal Revenue Service adjusted cost basis information (if applicable), certain payments to you and credits to your Account during the calendar year. Retain this statement for income tax purposes. A financial statement for your inspection is available at Schwab's offices or a copy will be mailed to you upon written request. Any third party trademarks appearing herein are the property of their respective owners. Schwab and Charles Schwab Bank are affiliates of each other and subsidiaries of the Charles Schwab Corporation.

(1017-7MAX)



Schwab One® Account of
CRAIG D FINDLEY

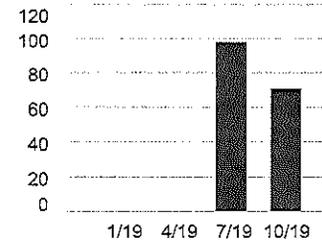
Account Number

Statement Period
October 1-31, 2019

Account Value as of 10/31/2019: \$ 7,147,127.29

Change in Account Value	This Period	Year to Date
Starting Value	\$ 7,502,697.42	\$ 0.00
Credits	8.80	98,857.88
Debits	(4,727.73)	(3,310,848.46)
Transfer of Securities (In/Out)	0.00	10,055,792.50
Income Reinvested	0.00	0.00
Change in Value of Investments	(350,851.20)	303,325.37
Ending Value on 10/31/2019	\$ 7,147,127.29	\$ 7,147,127.29
Total Change in Account Value	\$ (355,570.13)	\$ 7,147,127.29

Account Value [in Hundred
Thousands]



Asset Composition	Market Value	% of Account Assets
Bank Sweep ^{xz}	\$ 74,908.42	1%
Equities	7,076,946.60	99%
Total Assets Long	\$ 7,151,855.02	
Cash (Debits) ⁿ	(4,727.73)	
Total Assets Short^s	\$ (4,727.73)	
Total Account Value	\$ 7,147,127.29	100%



Your Independent Investment Advisor is not affiliated with or an agent of Schwab and Schwab does not supervise or endorse your Advisor.



Schwab One® Account of
CRAIG D FINDLEY

Account Number

Statement Period
October 1-31, 2019

Gain or (Loss) Summary	Realized Gain or (Loss) This Period		Unrealized Gain or (Loss)
	Short Term	Long Term	
All Investments	\$0.00	\$0.00	\$74,186.04

Values may not reflect all of your gains/losses.

Income Summary	This Period		Year to Date	
	Federally Tax-Exempt	Federally Taxable	Federally Tax-Exempt	Federally Taxable
Bank Sweep Interest	0.00	8.80	0.00	150.20
Cash Dividends	0.00	0.00	0.00	40,980.00
Total Income	0.00	8.80	0.00	41,130.20

Cash Transactions Summary	This Period	Year to Date
Starting Cash*	\$ 74,899.62	\$ 0.00
Deposits and other Cash Credits	0.00	56,399.80
Investments Sold	0.00	3,740,625.15
Dividends and Interest	8.80	41,130.20
Withdrawals and other Debits	0.00	(3,300,645.00)
Investments Purchased	0.00	(458,453.88)
Fees and Charges	(4,727.73)	(8,875.58)
Total Cash Transaction Detail	(4,718.93)	70,180.69
Ending Cash*	\$ 70,180.69	\$ 70,180.69

*Cash (includes any cash debit balance) held in your account plus the value of any cash invested in a sweep money fund.



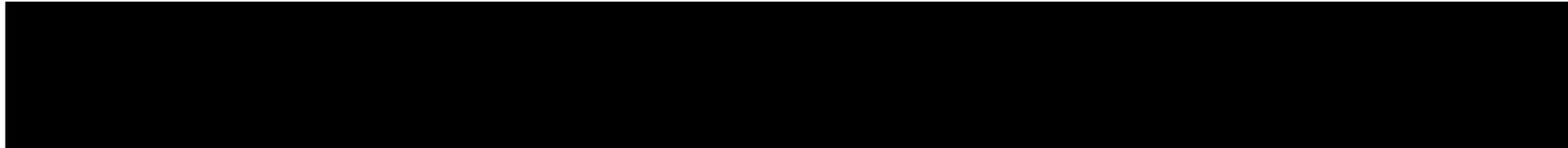
Schwab One® Account of
CRAIG D FINDLEY

Account Number

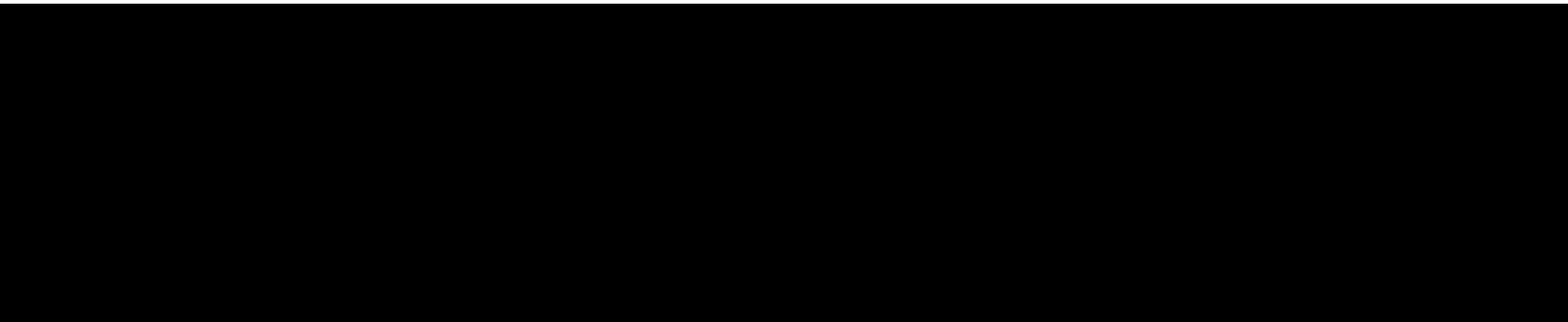
Statement Period
October 1-31, 2019

Investment Detail - Cash and Bank Sweep

Cash	Starting Balance	Ending Balance	% of Account Assets
Cash	0.00	(4,727.73)	
Total Cash ⁿ	0.00	(4,727.73)	

Bank Sweep	Starting Balance	Ending Balance	% of Account Assets
			

Investment Detail - Equities

			
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Investment Detail - Equities (continued)

Equities (continued)	Quantity	Market Price	Market Value	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income
	Units Purchased	Cost Per Share	Cost Basis	Acquired		Holding Days	Holding Period
TILE SHOP HLDGS INC	627,120.0000	1.68000	1,053,561.60	15%	(2,136,396.63)	11.90%	125,424.00
SYMBOL: TTS	51,994.0000	5.5263	287,337.38	03/05/18	(199,987.46)	605	Long-Term
	11,086.0000	5.7950	64,243.37	03/07/18	(45,618.89)	603	Long-Term
	36,920.0000	5.7449	212,103.75	03/07/18	(150,078.15)	603	Long-Term
	50,000.0000	5.8384	291,923.80	03/07/18	(207,923.80)	603	Long-Term
	50,000.0000	5.7430	287,154.25	03/28/18	(203,154.25)	582	Long-Term
	50,000.0000	5.5447	277,235.00	04/17/18	(193,235.00)	562	Long-Term
	23,420.0000	5.6975	133,436.50	04/18/18	(94,090.90)	561	Long-Term
	26,580.0000	6.7994	180,728.57	10/02/18	(136,074.17)	394	Long-Term
	50,000.0000	7.0906	354,531.02	02/13/19	(270,531.02)	260	Short-Term
	50,000.0000	6.3371	316,856.82	02/19/19	(232,856.82)	254	Short-Term
	50,000.0000	6.5190	325,953.89	02/19/19	(241,953.89)	254	Short-Term
	100.0000	2.6700	267.00	07/31/19	(99.00)	92	Short-Term
	100.0000	2.6700	267.00	07/31/19	(99.00)	92	Short-Term
	100.0000	2.6700	267.00	07/31/19	(99.00)	92	Short-Term
	1,500.0000	2.6650	3,997.57	07/31/19	(1,477.57)	92	Short-Term
	3,848.0000	2.6700	10,274.35	07/31/19	(3,809.71)	92	Short-Term
	4,809.0000	2.6600	12,792.18	07/31/19	(4,713.06)	92	Short-Term
	10,400.0000	2.6500	27,560.51	07/31/19	(10,088.51)	92	Short-Term
	18,100.0000	2.6700	48,327.90	07/31/19	(17,919.90)	92	Short-Term
	61,043.0000	2.6700	162,987.85	07/31/19	(60,435.61)	92	Short-Term
	9.0000	2.5300	22.77	08/05/19	(7.65)	87	Short-Term
	200.0000	2.5303	506.06	08/05/19	(170.06)	87	Short-Term
	1,300.0000	2.5302	3,289.38	08/05/19	(1,105.38)	87	Short-Term
	2,285.0000	2.5202	5,758.87	08/05/19	(1,920.07)	87	Short-Term
	4,700.0000	2.5102	11,798.38	08/05/19	(3,902.38)	87	Short-Term
	8,361.0000	2.5302	21,155.79	08/05/19	(7,109.31)	87	Short-Term
	97.0000	2.5100	243.47	08/06/19	(80.51)	86	Short-Term
	18,103.0000	2.5050	45,349.81	08/06/19	(14,936.77)	86	Short-Term
	31,800.0000	2.5100	79,821.15	08/06/19	(26,397.15)	86	Short-Term

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

Investment Detail - Equities (continued)

Equities (continued)	Quantity	Market Price	Market Value	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income
	Units Purchased	Cost Per Share	Cost Basis	Acquired		Holding Days	Holding Period
TILE SHOP HLDGS INC	1,300.0000	2.3054	2,997.13	08/16/19	(813.13)	76	Short-Term
	2,103.0000	2.3104	4,858.94	08/16/19	(1,325.90)	76	Short-Term
	2,879.0000	2.3161	6,668.29	08/16/19	(1,831.57)	76	Short-Term
	3,983.0000	2.3204	9,242.48	08/16/19	(2,551.04)	76	Short-Term
<i>Cost Basis</i>			3,189,958.23				
Total Equities	651,370.0000		7,076,946.60	99%	74,186.04		199,344.00
		<i>Total Cost Basis:</i>	7,002,760.56				

Estimated Annual Income ("EAI") and Estimated Yield ("EY") calculations are for informational purposes only. The actual income and yield might be lower or higher than the estimated amounts. EY is based upon EAI and the current price of the security and will fluctuate. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a prior rate.

Total Investment Detail	7,147,127.29
Total Account Value	7,147,127.29
Total Cost Basis	7,002,760.56

Transaction Detail - Dividends & Interest (including Money Market Fund dividends reinvested)

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Schwab One® Account of
CRAIG D FINDLEY

Account Number

Statement Period
October 1-31, 2019

Transaction Detail - Fees & Charges

Bank Sweep: Interest Rate as of 10/31/19 was 0.10%.^Z

Endnotes For Your Account

Symbol Endnote Legend

- * You authorize Schwab to debit your account to pay investment management fees per the authorization you granted in your Account Application. Schwab does not review or monitor these fee payments. Contact your Investment Manager if you have questions.
- S Short sale. Possible tax modifications of the holding period may be required for covered short positions. The market value of these securities will be expressed as a debit and be netted against any long positions in Total Account Value.

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Endnotes For Your Account (continued)

Symbol	Endnote Legend
X	Bank Sweep deposits are held at FDIC-insured bank(s) ("Banks") that are affiliated with Charles Schwab & Co., Inc.
Z	For Bank Sweep and Bank Sweep for Benefit Plans features, interest is paid for a period that differs from the Statement Period. Balances include interest paid as indicated on your statement by Schwab or one or more of its affiliated banks. These balances do not include interest that may have accrued during the Statement Period after interest is paid. The interest paid may include interest that accrued in the prior Statement Period.
n	Every Schwab account includes a "cash feature" that allows the uninvested cash balance in the account to earn income and be automatically redeemed to satisfy any debits in your account. A debit cash balance may result from cashiering activity that occurred before the redemption of your sweep or money fund position. This does not affect your total account value, which is accurately reported.



Schwab One® Account of
CRAIG D FINDLEY
PLEDGED ASSET ACCOUNT

Pop 10/9/11 (Question #3 - proof)

Statement Period
June 1-30, 2020

Need help reading this statement?
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Your Independent Investment Manager and/or Advisor



The custodian of your brokerage account is: Charles Schwab & Co., Inc.
This report is provided by Schwab. Except as noted in the terms and conditions, your Investment Manager and/or Advisor is independently owned and operated and not an affiliate with Schwab. For questions about this statement, or if there is a change in your financial situation, investment objectives, or risk profile, please contact your Independent Investment Manager and/or Advisor.

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CRAIG D FINDLEY



Your Independent Investment Advisor is not affiliated with or an agent of Schwab and Schwab does not supervise or endorse your Advisor.

Terms and Conditions

This Account statement is furnished solely by Charles Schwab & Co., Inc. ("Schwab") for your Account at Schwab ("Account"). Schwab Institutional is a division of Charles Schwab & Co., Inc., and provides back office brokerage and related services to investment advisors and retirement plan providers. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement. Schwab is a registered broker-dealer and is not affiliated with your Investment Advisor whose name appears on this statement ("Advisors") except in the case of Charles Schwab Investment Advisory, Inc. ("CSIA"), Schwab Private Client Investment Advisory, Inc. ("SPCIA"), or an affiliated company that may act as the investment advisor on a fund. Advisors are independently owned and operated. Schwab neither endorses nor recommends any particular Advisor or its investment strategy and has no responsibility to monitor trading by any Advisor in your Account. Schwab has not verified any statement accompanying any Advisor's logo appearing on this statement. Advisors provide investment advisory services for your Account. Schwab provides brokerage and custody services for your Account. Schwab has agreements with Advisors under which Schwab provides Advisors with institutional trading, custody and related services, and products. Not all of these products and services may benefit your Account, and Schwab may provide them to Advisors on the Advisor's commitment to place a certain amount of its clients' assets in brokerage accounts at Schwab within a certain period of time. This commitment could influence an Advisor's recommendation or requirement that its clients establish brokerage accounts at Schwab.

GENERAL INFORMATION AND KEY TERMS:

If you receive any other communication from any source other than Schwab which purports to represent your holdings at Schwab (including balances held at a Depository Institution) you should verify its content with this statement.

AIP (Automatic Investment Plan) Customers: Schwab receives remuneration in connection with certain transactions effected through Schwab. If you participate in a systematic investment program through Schwab, the additional information normally detailed on a trade confirmation will be provided upon request.

Average Daily Balance: Average daily composite of all cash balances that earn interest and all loans from Schwab that are charged interest.

Bank Sweep and Bank Sweep for Benefit Plans Features:

Schwab acts as your agent and custodian in establishing and maintaining your Bank Sweep and Bank Sweep for Benefit Plans features as a Schwab Cash feature for your brokerage account. Deposit accounts constitute direct obligations of banks affiliated with Schwab and are not obligations of Schwab. Bank deposit accounts are insured by the FDIC within applicable limits. The balance in the bank deposit accounts can be withdrawn on your order and the proceeds returned to your securities account or remitted to you as provided in your Account Agreement. For information on FDIC insurance and its limits, as well as other important disclosures about the Bank Sweep and Bank Sweep for Benefit Plans features, please refer to the Cash Features Disclosure Statement available online or from a Schwab representative.

Cash: Any Free Credit Balance owed by us to you payable upon demand which, although accounted for on our books of record, is not

segregated and may be used in the conduct of this firm's business.

Current Yield: Annual dividend paid on an equity divided by the current market price.

Dividend Reinvestment Customers: Dividend reinvestment transactions were effected by Schwab acting as a principal for its own account, except for the reinvestment of Schwab dividends, for which an independent broker-dealer acted as the buying agent. Further information on these transactions will be furnished upon written request.

Estimated Annual Income: Estimated annual income is derived from information provided by outside parties. Schwab cannot guarantee the accuracy of such information. Since the interest and dividends are subject to change at any time, they should not be relied upon exclusively for making investment decisions.

Fees and Charges: For those fees described in the statement as "Fee to Advisor", as authorized by you, Schwab debited your Account to pay the fees as instructed by your Advisor. It is your responsibility, and not Schwab's, to verify the accuracy of the fees. Margin interest charged to your Account during the statement period is included in this section of the statement.

Interest: For the Schwab One Interest, Bank Sweep, and Bank Sweep for Benefit Plans features, interest is paid for a period that differs from the Statement Period. Balances include interest paid as indicated on your statement by Schwab or one or more of its affiliated banks. These balances do not include interest that may have accrued during the Statement Period after interest is paid. The interest paid may include interest that accrued in the prior Statement Period. For the Schwab One Interest feature, interest accrues daily from the second-to-last business day of the prior month and is posted on the second-to-last business day of the current month. For the Bank Sweep feature, interest accrues daily from the 16th day of the prior month and is credited/posted on the first business day after the 15th of the current month.

If, on any given day, the interest that Schwab calculates for the Free Credit Balances in the Schwab One Interest feature in your brokerage account is less than \$.005, you will not accrue any interest on that day. For balances held at banks affiliated with Schwab in the Bank Sweep and Bank Sweep for Benefit Plans features, interest will accrue even if the amount is less than \$.005.

Margin Account Customers: This is a combined statement of your margin account and special memorandum account maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account as required by Regulation T is available for your inspection. Securities purchased on margin are Schwab's collateral for the loan to you. It is important that you fully understand the risks involved in trading securities on margin. These risks include:

- You can lose more funds than you deposit in the margin account.
- Schwab can force the sale of securities or other assets in any of your account(s) to maintain the required account equity without contacting you.
- You are not entitled to choose which assets are liquidated nor are you entitled to an extension of time on a margin call.
- Schwab can increase its "house" maintenance margin requirements at any time without advance written notice to you.

Market Price: The most recent price evaluation available to Schwab on the last business day of the report period, normally the last trade

price or bid as of market close. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. Schwab shall have no responsibility for the accuracy or timeliness of any such valuations. Pricing of assets not held at Schwab is for informational purposes only. Some securities, especially thinly traded equities in the OTC market or foreign markets, may not report the most current price and are indicated as Stale Priced. For Limited Partnerships and Real Estate Investment Trust (REIT) securities, you may see that the value reflected on your monthly account statement for this security is unpriced. NASD rules require that certain Limited Partnerships (direct participation programs) and Real Estate Investment Trust (REIT) securities, that have not been priced within 18 months, must show as unpriced on customer statements. Note that these securities are generally illiquid, the value of the securities will be different than its purchase price, and, if applicable, that accurate valuation information may not be available.

Market Value: The Market Value is computed by multiplying the Market Price by the Quantity of Shares. This is the dollar value of your present holdings in your specified Schwab Account or a summary of the Market Value summed over multiple accounts.

Non-Publicly Traded Securities: All assets shown on this statement, other than certain direct investments which may be held by a third party, are held in your Account. Values of certain Non-Publicly Traded Securities may be furnished by a third party as provided by Schwab's Account Agreement. Schwab shall have no responsibility for the accuracy or timeliness of such valuations. The Securities Investor Protection Corporation (SIPC) does not cover many limited partnership interests.

Option Customers: Be aware of the following: 1) Commissions and other charges related to the execution of option transactions have been included in confirmations of such transactions previously furnished to you and will be made available promptly upon request 2) You should advise us promptly of any material changes in your investment objectives or financial situation 3) Exercise assignment notices for the option contracts are allocated among customer short positions pursuant to an automated procedure which randomly selects from among all customer short option positions those contracts which are subject to exercise, including positions established on the day of assignment 4) Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options. Please consult your tax advisor or IRS publication 550, Investment Income and Expenses, for additional information on Options.

Schwab Sweep Money Funds: Includes the primary money market funds into which Free Credit Balances may be automatically invested pursuant to your Account Agreement. Schwab or an affiliate acts and receives compensation as the Investment Advisor, Transfer Agent, Shareholder Service Agent and Distributor for the Schwab Sweep Money Funds. The amount of such compensation is disclosed in the prospectus. The yield information for Schwab Sweep Money Funds is the current 7-day yield as of the statement period. Yields vary. If on any given day, the accrued daily dividend for your selected sweep money fund as calculated for your account is less than 1/2 of 1 cent (\$0.005), your account will not earn a dividend for that day. In addition, if you do not accrue at least 1 daily dividend of \$0.01 during

Terms and Conditions (continued)

a pay period, you will not receive a money market dividend for that period. Schwab and the Schwab Sweep Money Funds investment advisor may be voluntarily reducing a portion of a Schwab Sweep Money Fund's expenses. Without these reductions, yields would have been lower.

Securities Products and Services: Securities products and services are offered by Charles Schwab & Co., Inc., Member SIPC. Securities products and services, including unswept intraday funds and net credit balances held in brokerage accounts are not deposits or other obligations of, or guaranteed by, any bank, are not FDIC insured, and are subject to investment risk and may lose value. SIPC does not cover balances held at banks affiliated with Schwab in the Bank Sweep and Bank Sweep for Benefit Plans features.

Short Positions: Securities sold short will be identified through an "S" in Investment Detail. The market value of these securities will be expressed as a debit and be netted against any long positions in Total Account Value.

Yield to Maturity: This is the actual average annual return on a note if held to maturity.

Gain (or Loss): Unrealized Gain or (Loss) and Realized Gain or (Loss) sections ("Gain/Loss Section(s)") contain a gain or a loss summary of your Account. This information has been provided on this statement at the request of your Advisor. This information is not a solicitation or a recommendation to buy or sell. It may, however, be helpful for investment and tax planning strategies. Schwab does not provide tax advice and encourages you to consult with your tax professional. Please view the Cost Basis Disclosure Statement for additional information on how gain (or loss) is calculated and how Schwab reports adjusted cost basis information to the IRS.

Accrued Income: Accrued Income is the sum of the total accrued interest and/or accrued dividends on positions held in your Account, but the interest and/or dividends have not been received into your account. Schwab makes no representation that the amounts shown (or any other amount) will be received. Accrued amounts are not covered by SIPC account protection until actually received and held in the Account.

IN CASE OF ERRORS OR DISCREPANCIES: If you find an error or discrepancy relating to your brokerage activity (other than an electronic fund transfer) you must notify us promptly, but no later than 10 days after this statement is sent or made available to you. If this statement shows that we have mailed or delivered security certificate(s) that you have not received, notify Schwab immediately. You may call us at 800-515-2157. Any oral communications should be re-confirmed in writing to further protect your rights, including rights under the Securities Investor Protection Act (SIPA). If you do not so notify us, you agree that the statement activity and Account balance are correct for all purposes with respect to those brokerage transactions.

IN CASE OF COMPLAINTS: If you have a complaint regarding your Schwab statement, products or services, please write to the Client Advocacy Team at Charles Schwab & Co., Inc., Attention: Client Advocacy Team, 211 Main St., San Francisco, CA 94105, USA, or call Schwab Signature Alliance at 800-515-2157.

Address Changes: If you fail to notify Schwab in writing of any change of address or phone number, you may not receive important notifications about your Account, and trading or other restrictions might be placed on your Account.

Additional Information:

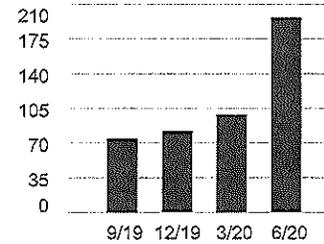
We are required by law to report to the Internal Revenue Service adjusted cost basis information (if applicable), certain payments to you and credits to your Account during the calendar year. Retain this statement for income tax purposes. A financial statement for your inspection is available at Schwab's offices or a copy will be mailed to you upon written request. Any third party trademarks appearing herein are the property of their respective owners. Schwab and Charles Schwab Bank are affiliates of each other and subsidiaries of the Charles Schwab Corporation.

(1017-7MAX)

Account Value as of 06/30/2020: \$ 19,720,976.49

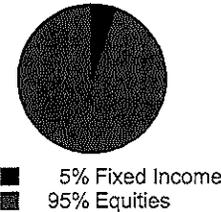
Change in Account Value	This Period	Year to Date
Starting Value	\$ 13,501,178.40	\$ 8,159,759.58
Credits	30,600.96	800,602.26
Debits	0.00	(2,613,497.98)
Transfer of Securities (In/Out)	3,315,055.00	11,081,545.47
Income Reinvested	0.00	0.00
Change in Value of Investments	2,874,142.13	2,292,567.16
Ending Value on 06/30/2020	\$ 19,720,976.49	\$ 19,720,976.49
Total Change in Account Value	\$ 6,219,798.09	\$ 11,561,216.91

Account Value [in Hundred Thousands]



Asset Composition	Market Value	% of Account Assets
Bank Sweep ^{XZ}	\$ 15,914.89	<1%
Fixed Income	1,029,587.10	5%
Equities	18,675,474.50	95%
Total Assets Long	\$ 19,720,976.49	
Total Account Value	\$ 19,720,976.49	100%

Overview



Your Independent Investment Advisor is not affiliated with or an agent of Schwab and Schwab does not supervise or endorse your Advisor.



Gain or (Loss) Summary	Realized Gain or (Loss) This Period		Unrealized Gain or (Loss)
	Short Term	Long Term	
All Investments	\$12,456.34	\$0.00	\$10,325,130.51

Values may not reflect all of your gains/losses. Cost basis may change and be adjusted in certain cases. Statement information should not be used for tax preparation, instead refer to official tax documents. For additional gain or (loss) information refer to Terms and Conditions.

Income Summary	This Period		Year to Date	
	Federally Tax-Exempt	Federally Taxable	Federally Tax-Exempt	Federally Taxable
Bank Sweep Interest	0.00	0.96	0.00	1,540.82
Cash Dividends	0.00	30,600.00	0.00	47,738.00
Total Income	0.00	30,600.96	0.00	49,278.82

Cash Transactions Summary	This Period	Year to Date
Starting Cash*	\$ 8,127.10	\$ 164,701.78
Deposits and other Cash Credits	0.00	750,000.00
Investments Sold	125,005.83	15,027,021.19
Dividends and Interest	30,600.96	49,278.82
Withdrawals and other Debits	0.00	(2,600,000.00)
Investments Purchased	(147,819.00)	(13,362,912.36)
Fees and Charges	0.00	(12,174.54)
Total Cash Transaction Detail	7,787.79	(148,786.89)
Ending Cash*	\$ 15,914.89	\$ 15,914.89

*Cash (includes any cash debit balance) held in your account plus the value of any cash invested in a sweep money fund.



Schwab One® Account of
CRAIG D FINDLEY
PLEGDED ASSET ACCOUNT



Statement Period
June 1-30, 2020

Investment Detail - Bank Sweep

Bank Sweep	Starting Balance	Ending Balance	% of Account Assets

Investment Detail - Fixed Income

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Schwab One® Account of
CRAIG D FINDLEY
PLEGGED ASSET ACCOUNT



Statement Period
June 1-30, 2020

Investment Detail - Fixed Income (continued)

Accrued interest represents the interest that would be received if the fixed income investment was sold prior to the coupon payment.

Estimated Annual Income ("EAI") and Estimated Yield ("EY") calculations are for informational purposes only. The actual income and yield might be lower or higher than the estimated amounts. EY is based upon EAI and the current price of the security and will fluctuate. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a prior rate.



Schwab One® Account of
CRAIG D FINDLEY
PLEDGED ASSET ACCOUNT



Statement Period
June 1-30, 2020

Investment Detail - Equities



Schwab One® Account of
CRAIG D FINDLEY
PLEGDED ASSET ACCOUNT



Statement Period
June 1-30, 2020

Investment Detail - Equities (continued)

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

Investment Detail - Equities (continued)

% of

Investment Name	Quantity	Cost Basis	Market Value	Gain/Loss	Yield	Dividend	Dividend Yield	Term
TILE SHOP HLDGS INC SYMBOL: TTSH	427,120.0000	1.30000	555,256.00	3%	(1,345,436.70)	N/A	N/A	
	51,994.0000	5.5263	287,337.38	03/05/18	(219,745.18)	848		Long-Term
	11,086.0000	5.7950	64,243.37	03/07/18	(49,831.57)	846		Long-Term
	36,920.0000	5.7449	212,103.75	03/07/18	(164,107.75)	846		Long-Term
	50,000.0000	5.7430	287,154.25	03/28/18	(222,154.25)	825		Long-Term
	50,000.0000	5.5447	277,235.00	04/17/18	(212,235.00)	805		Long-Term
	23,420.0000	5.6975	133,436.50	04/18/18	(102,990.50)	804		Long-Term
	26,580.0000	6.7994	180,728.57	10/02/18	(146,174.57)	637		Long-Term
	100.0000	2.6700	267.00	07/31/19	(137.00)	335		Short-Term
	100.0000	2.6700	267.00	07/31/19	(137.00)	335		Short-Term
	100.0000	2.6700	267.00	07/31/19	(137.00)	335		Short-Term
	1,500.0000	2.6650	3,997.57	07/31/19	(2,047.57)	335		Short-Term
	3,848.0000	2.6700	10,274.35	07/31/19	(5,271.95)	335		Short-Term
	4,809.0000	2.6600	12,792.18	07/31/19	(6,540.48)	335		Short-Term
	10,400.0000	2.6500	27,560.51	07/31/19	(14,040.51)	335		Short-Term
	18,100.0000	2.6700	48,327.90	07/31/19	(24,797.90)	335		Short-Term
	61,043.0000	2.6700	162,987.85	07/31/19	(83,631.95)	335		Short-Term
	9.0000	2.5300	22.77	08/05/19	(11.07)	330		Short-Term
	200.0000	2.5303	506.06	08/05/19	(246.06)	330		Short-Term
	1,300.0000	2.5302	3,289.38	08/05/19	(1,599.38)	330		Short-Term
	2,285.0000	2.5202	5,758.87	08/05/19	(2,788.37)	330		Short-Term
	4,700.0000	2.5102	11,798.38	08/05/19	(5,688.38)	330		Short-Term
	8,361.0000	2.5302	21,155.79	08/05/19	(10,286.49)	330		Short-Term
	97.0000	2.5100	243.47	08/06/19	(117.37)	329		Short-Term
	18,103.0000	2.5050	45,349.81	08/06/19	(21,815.91)	329		Short-Term
	31,800.0000	2.5100	79,821.15	08/06/19	(38,481.15)	329		Short-Term

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



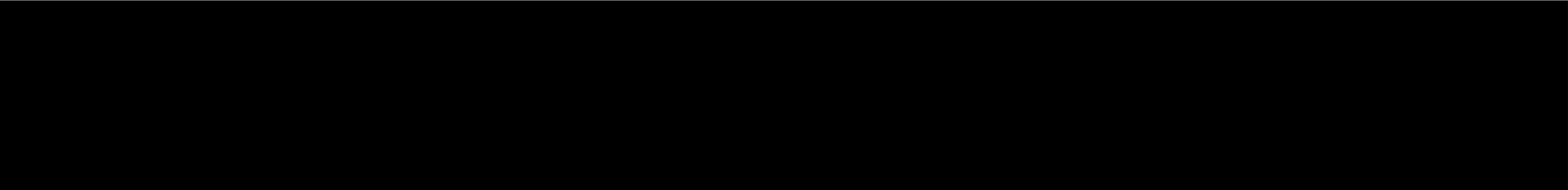
Investment Detail - Equities (continued)

Equities (continued)	Quantity		Market Price	Market Value	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income
	Units Purchased	Cost Per Share	Cost Basis	Cost Basis	Acquired		Holding Days	Holding Period
TILE SHOP HLDGS INC	1,300.0000	2.3054	2,997.13	08/16/19	(1,307.13)	319	Short-Term	
	2,103.0000	2.3104	4,858.94	08/16/19	(2,125.04)	319	Short-Term	
	2,879.0000	2.3161	6,668.29	08/16/19	(2,925.59)	319	Short-Term	
	3,983.0000	2.3204	9,242.48	08/16/19	(4,064.58)	319	Short-Term	
<i>Cost Basis</i>			1,900,692.70					
Total Equities	572,170.0000		18,675,474.50	95%	10,245,618.41		119,720.00	
		Total Cost Basis:	8,429,856.09					

Estimated Annual Income ("EAI") and Estimated Yield ("EY") calculations are for informational purposes only. The actual income and yield might be lower or higher than the estimated amounts. EY is based upon EAI and the current price of the security and will fluctuate. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a prior rate.

Total Investment Detail	19,720,976.49
Total Account Value	19,720,976.49
Total Cost Basis	9,379,931.09

Realized Gain or (Loss)





Schwab One® Account of
CRAIG D FINDLEY
PLEGDED ASSET ACCOUNT



Statement Period
June 1-30, 2020

Realized Gain or (Loss) (continued)



Schwab One® Account of
CRAIG D FINDLEY
PLEGDED ASSET ACCOUNT



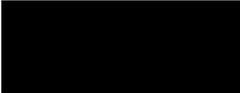
Statement Period
June 1-30, 2020

Transaction Detail - Transfers

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

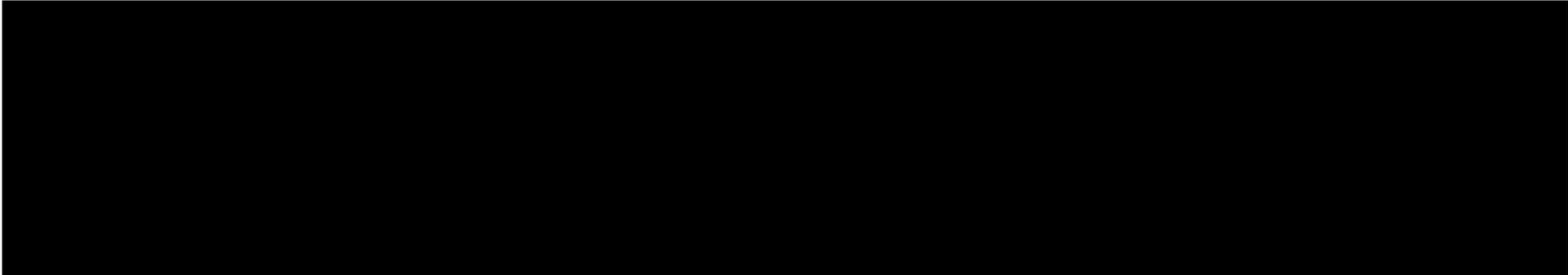


Schwab One® Account of
CRAIG D FINDLEY
PLEGDED ASSET ACCOUNT



Statement Period
June 1-30, 2020

Bank Sweep Activity (continued)



Endnotes For Your Account

Symbol Endnote Legend

- X Bank Sweep deposits are held at FDIC-insured bank(s) ("Banks") that are affiliated with Charles Schwab & Co., Inc.
- Z For Bank Sweep and Bank Sweep for Benefit Plans features, interest is paid for a period that differs from the Statement Period. Balances include interest paid as indicated on your statement by Schwab or one or more of its affiliated banks. These balances do not include interest that may have accrued during the Statement Period after interest is paid. The interest paid may include interest that accrued in the prior Statement Period.

EXHIBIT C



UBS Financial Services Inc.
5757 Monroe Street
Sylvania OH 43560-2739

ubs.com/fs

Confirmation

000170 UBEDDD51 000000

Craig Findley



September 12, 2012

Confirmation: You are enrolled in e-Delivery

Verification

We have enrolled you in our electronic delivery service. Although you asked to receive certain materials electronically, we are required to mail this letter to you as a fraud protection measure when you enroll for this service.

If you or someone in your household did not request this service, please contact your Financial Advisors, Findley Wise Wealth Management, at (419) 318-5100, at your earliest convenience. Otherwise, no action is required.

Your delivery preferences

The table below displays your delivery preferences for different types of communications. The changes to your preferences that were processed on September 12, 2012 are indicated in **bold type**; you may receive one more paper mailing before your new e-Delivery preferences take effect. For your protection, we display only the last two digits of account numbers.

Account Number	Statements, Inserts and Playbacks	Confirmations and Notices	Quarterly Performance Reports	Tax Documents	Shareholder Communications and Advisory Account Documents*	New Issue Offerings
DW XXX86	e-Delivery	e-Delivery	e-Delivery	Paper	e-Delivery	e-Delivery
DW XXX00	e-Delivery	e-Delivery	e-Delivery	Paper	e-Delivery	e-Delivery
DW XXX93	e-Delivery	e-Delivery	e-Delivery	Paper	e-Delivery	Not enrolled
DW XXX77	e-Delivery	e-Delivery	N/A	Paper	e-Delivery	e-Delivery
DW XXX65	e-Delivery	e-Delivery	e-Delivery	Paper	e-Delivery	Not enrolled
DW XXX73	e-Delivery	e-Delivery	N/A	Paper	e-Delivery	Not enrolled
DW XXX37	e-Delivery	e-Delivery	N/A	Paper	e-Delivery	Not enrolled
5V XXX77	e-Delivery	e-Delivery	N/A	Paper	N/A	N/A
DW XXX04	e-Delivery	e-Delivery	N/A	Paper	e-Delivery	Not enrolled
DW XXX16	e-Delivery	e-Delivery	N/A	Paper	e-Delivery	Not enrolled

*Shareholder Communications and Advisory Account Documents include annual and other shareholder reports, preliminary and final prospectuses, proxy materials, and if applicable, all advisory account documents, including Form ADV disclosure brochures, manager profiles, asset allocations, performance reports and other disclosures, reports and notices related to advisory accounts.

Continued from previous page ...

You can change your preferences on UBS Online Services or by calling your Financial Advisors, Findley Wise Wealth Management, at (419) 318-5100. Login or enroll at www.ubs.com/onlineservices.

Benefits

Our e-Delivery service gives you the flexibility to receive many account-related documents electronically, which reduces the amount of paper you receive from UBS, while still receiving others by regular postal mail.

Questions

If you need help with e-Delivery, please call us toll-free at 888-279-3343. Representatives are available to assist you 24 hours a day, 7 days a week.

Disclosure

We consider your enrollment and continued use of our e-Delivery services as your agreement to the terms and conditions for e-Delivery, which are available www.ubs.com/e-deliveryagreement.



UBS Financial Services Inc.
5757 Monroe Street
Sylvania OH 43560-2739

ubs.com/fs



000130 UBEDDD61 000000
Craig Findley



August 26, 2016

Confirmation: You are enrolled in e-Delivery

Verification

We have enrolled you in our electronic delivery service. Although you asked to receive certain materials electronically, we are required to mail this letter to you as a fraud protection measure when you enroll for this service.

If you or someone in your household did not request this service, please contact your Financial Advisors, Findley Wise Wealth Management, at (419) 318-5100, at your earliest convenience. Otherwise, no action is required.

Your delivery preferences

The table below displays your delivery preferences for different types of communications. The changes to your preferences that were processed on August 26, 2016 are indicated in **bold type**; you may receive one more paper mailing before your new e-Delivery preferences take effect. For your protection, we display only the last two digits of account numbers.

Account Number	Statements, Inserts and Playbacks	Confirmations and Notices	Quarterly Performance Reports	Tax Documents	Shareholder Communications and Advisory Account Documents*	New Issue Offerings
DW XXX86	e-Delivery	e-Delivery	e-Delivery	e-Delivery	e-Delivery	e-Delivery
DW XXX00	e-Delivery	e-Delivery	e-Delivery	e-Delivery	e-Delivery	e-Delivery
DW XXX29	e-Delivery	e-Delivery	N/A	e-Delivery	e-Delivery	e-Delivery
DW XXX93	e-Delivery	e-Delivery	N/A	e-Delivery	e-Delivery	Not enrolled
DW XXX65	e-Delivery	e-Delivery	e-Delivery	e-Delivery	e-Delivery	Not enrolled
DW XXX37	e-Delivery	e-Delivery	N/A	e-Delivery	e-Delivery	Not enrolled
DW XXX14	e-Delivery	e-Delivery	N/A	e-Delivery	N/A	N/A
DW XXX77	e-Delivery	e-Delivery	N/A	e-Delivery	e-Delivery	e-Delivery
DW XXX52	e-Delivery	e-Delivery	N/A	e-Delivery	e-Delivery	Not enrolled
DW XXX53	e-Delivery	e-Delivery	N/A	e-Delivery	e-Delivery	Not enrolled
DW XXX54	e-Delivery	e-Delivery	N/A	e-Delivery	e-Delivery	Not enrolled
DW XXX16	e-Delivery	e-Delivery	N/A	e-Delivery	e-Delivery	Not enrolled
DW XXX48	e-Delivery	e-Delivery	N/A	e-Delivery	e-Delivery	e-Delivery

000130 UBEDDD61 000130

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Account Number	Statements, Inserts and Playbacks	Confirmations and Notices	Quarterly Performance Reports	Tax Documents	Shareholder Communications and Advisory Account Documents*	New Issue Offerings
5V XXX77	e-Delivery	e-Delivery	N/A	e-Delivery	N/A	N/A
4Q XXX77	Paper	Paper	N/A	Paper	Paper	Not enrolled

*Shareholder Communications and Advisory Account Documents include annual and other shareholder reports, preliminary and final prospectuses, proxy materials, and if applicable, all advisory account documents, including Form ADV disclosure brochures, manager profiles, asset allocations, performance reports and other disclosures, reports and notices related to advisory accounts.

You can change your preferences on UBS Online Services or by calling your Financial Advisors, Findley Wise Wealth Management, at (419) 318-5100. Login or enroll at www.ubs.com/onlineservices.

Benefits

Our e-Delivery service gives you the flexibility to receive many account-related documents electronically, which reduces the amount of paper you receive from UBS, while still receiving others by regular postal mail.

Questions

If you need help with e-Delivery, please call us toll-free at 888-279-3343. Representatives are available to assist you 24 hours a day, 7 days a week.

Disclosure

We consider your enrollment and continued use of our e-Delivery services as your agreement to the terms and conditions for e-Delivery, which are available www.ubs.com/e-deliveryagreement.

EXHIBIT D

**NIEHAUS &
KALAS LTD**

A T T O R N E Y S A T L A W

MEMO

To: Catherine E. van Kampen, Esq. | BLB&G
Settlement Department via email: catherine@blbglaw.com

Jenn Ventriglia, Assistant Director
JND Legal Administration via email: Jenn.Ventriglia@jndla.com

From: Charles D. Niehaus & Laurie Schoonmaker

Date: September 16, 2022

Re: In Re Tile Shop Holdings, Inc. Class Action Litigation; Case No. 2019-0892-SG
Craig D. Findley, Shareholder of Tile Shop Holdings, Inc.

As you both know, our firm represents Craig D. Findley (“Findley”) in some of his legal matters. Findley was a shareholder of Tile Shop Holdings, Inc. during the relevant times relating to the claims contained in the litigation captioned: In Re Tile Shop Holdings, Inc. Class Action Litigation; Case No. 2019-0892-SG (“Tile Shop Litigation” or “Class Action”). Pursuant to the Stipulation of Settlement Bernstein Litowitz Berger & Grossmann LLP (“BLB&G”) as Lead Counsel is responsible for supervision and administration and payment of the settlement amount. JND Legal Administration is appointed the Claims Administrator for the settlement.

Findley was a significant member of the settlement class on October 18, 2019, and a current stockholder on June 30, 2020, the two critical dates required to be a part of the class of shareholders of the Tile Shop Litigation. Findley is a registered investment advisor and has been duly licensed as an advisor for over 25 years. During his tenure as a registered investment advisor Findley has become quite familiar with securities class action litigation and is very aware of the general procedures used for shareholders or their representatives to file claims in such actions. Findley was made aware of the Tile Shop Litigation through a friend and fellow investor in Tile Shop Holdings, Inc, Tim Heckler. Upon learning of the class action and settlement, Findley asked his staff to prepare the necessary documentation to file his claim in the litigation. Melissa J. Estrich (“Estrich”) was assigned the task of preparing the documentation from the time of the delegation until the filing of the claim.

Estrich is a licensed and regulated professional with Series 63 and Series 65 licensure. Estrich prepared the filing for Findley and did file the claim, including all of the necessary documentation verifying the ownership by Findley of

• CHARLES D. NIEHAUS • BRIAN C. KALAS* • LAURIE SCHOONMAKER ^
*Also admitted in Michigan ^Also admitted in Florida

the shares. Estrich was fully aware of the expiration of time in which to file the claim; Estrich filed the claim well in advance of the deadline of January 8, 2021. There is no doubt in Estrich's mind that the claim was filed, properly and on time using the U.S. Mail, consistent with the instructions for filing. All information necessary for processing the claim was a part of the filing. We note that the instructions do provide at the very end that if notification of acceptance has not occurred within sixty days, the claimant should contact the administrator. We also note that the time frame during which the filing occurred was in the throes of the COVID pandemic. The U.S. Postal Service was negatively affected by Covid like so many other service providers. During December 2020, when the claim form and package was sent by U.S. Mail the U.S. Government Accountability Office reported that national on time performance for delivery of mail fell to 69%. On time performance of the U.S. Postal Service was negatively affected by employees' decreased availability in Covid-19 Hotspots, of which New York City was one. This was also during the holiday increased volume of packages.¹

December 10, 2020 – the date of mailing of the claim form -- was at the height of the pandemic and the holiday season. I personally can attest that our mail service at our office was fraught with mistakes; we were receiving mail of other offices in the area; we had no consistency in mail carriers; we had complaints from clients that they had sent payments or other mail to us and had not heard from our office or the checks were not then negotiated. This was a fragile time for commerce in general and for confidence in the mail service in particular. As the nation struggled with the tools of commerce, including mail, Findley and Estrich had not expected to hear anything about the settlement of the Class Action for some time. This is consistent with other class actions in which they've participated or been a representative for a client. The 60-day notice period was suspect given the shortages of people, communications, quarantines and mail service in general.

Findley became aware of the payouts for the Class Action from his friend Tim Heckler when Tim received his payout. Findley again asked Estrich to investigate. In a very short period of time Findley and Estrich made some inquiries and realized quickly this needed professional attention.

Catherine, as we have discussed, we are to a great degree all rowing in the same direction. BLB&G represents the class of shareholders; Findley is a significant member of the class and deserves his compensation. I am aware that BLB&G must be vigilant and verify each and every claim filing as the claim process can be fraught with fraudulent actors. The Findley claim is genuine, deserving and but for a glitch in the mail service Findley would be paid. Note also that Findley and Estrich are licensed in a highly public and regulated industry. There are only significant negative results to them personally and professionally should this claim be fraudulent or contain any misrepresentations in any manner. Their veracity is beyond reproach.

Attached to this Memo are copies of Affidavits from Findley, Estrich, and Tim Heckler attesting to their recollection of the events and timeline in this matter as are characterized above.

We are respectfully requesting BLB&G review this filing and determine that Findley was a bona fide shareholder holding 427,120,000 shares of Tile Shop Holdings, Inc. and that he should be paid his pro rata share of the settlement amount paid to the class. In the interest of time, we ask that you acknowledge receipt of this request and that we have communication from you regarding Findley's payment in the next ten days.

Respectfully submitted

Charles D. Niehaus

i “Overall, USPS's nationwide on-time performance fell in 2020. Average monthly on-time performance for First-Class Mail decreased from 92 percent in 2019 to 87 percent in 2020. However, decreases were more significant in certain USPS districts at different times, and nationally in December 2020. On-time performance was 48 percent in New York in April and 61 percent in Baltimore in September—both of which were nearly 90 percent prior to the pandemic (see figure). Further, national on-time performance dipped to 69 percent in December. In February 2021, the Postmaster General stated that on-time performance was affected by employees' decreased availability in COVID-19 hot spots and a surge in holiday package volume.” <https://www.gao.gov/products/gao-21-261>; the Postmaster General and Chief Executive Officer of the U.S. Postal Service stated before the House Committee on Oversight and Reform that Covid had a significant impact on its ability to provide mail service particularly through the holiday season.”

Like nearly every organization in the country, the Postal Service workforce and operations were very significantly impacted by the COVID-19 pandemic (53,399 positive/presumed positive employees/165 employee fatalities). These impacts exacerbated our long-standing financial, operational, and service performance problems. Even so, we continued to deliver 471 million mail pieces to the best of our ability to 160 million addresses six or seven times a week. The responsibilities of continued connection and commerce amidst a national and global pandemic demanded it, and our employees worked tirelessly to meet our public service mission to the American people as essential workers that are vital to the critical infrastructure of the nation.

The Postal Service is an organization powered by people. While focusing on protecting employee health, there is no question that the pandemic has impacted our workforce. In addition to, and in part because of, the toll on the workforce, the impacts of the pandemic have also been felt operationally and financially – exacerbating our already tenuous financial condition.

- **Employee Availability:** The number of employees quarantined due to their own illness or due to exposure reached 122,913 of our more than 645,000 workforce thus far. For a service operation, this has a very real impact. This was fully in evidence during our peak holiday season and profoundly impacted our service performance during that two-month period.
- **Transportation:** An economy-wide logistics upheaval has directly disrupted the Postal Service's supply chain and transportation resources. The scarcity of airplane and truck capacity, and the industry competition for both of those transportation modes, impacted our ability to deliver throughout 2020 and especially during the peak holiday season.
- **Hastened shift in mail/package composition:** An existing trend in the decline in First-Class Mail was forced into steeper decline by the pandemic. This had both financial and operational impacts. At the same time, package volume increased due to e-commerce and social distancing. For a logistics and delivery operation dependent on the correct complement of people, plants, volume-relevant machinery and transportation, this shift has further stressed an already misaligned and outdated mail network.

The strains of the COVID-19 pandemic and record volume of packages that resulted from it during our holiday season would have been difficult for the Postal Service to absorb under the best of circumstances. But it is also fair to conclude that because the long-standing challenges noted above were allowed to persist for entirely too long, the Postal Service's network was less resilient, and hence less capable of responding to the dramatic impacts of the global pandemic than would otherwise have been the case. For example, our inability to sufficiently invest in package processing machines and updated delivery vehicles exacerbated the demands of the shift in mail mix. <https://about.usps.com/newsroom/testimony-speeches/022421-statement-of-pmg-louis-dejoy-on-oversight-and-reform.htm>

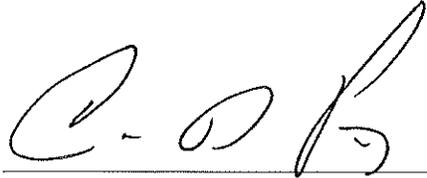
AFFIDAVIT OF CRAIG D. FINDLEY

COUNTY OF LUCAS)
) ss:
STATE OF OHIO)

1. I am the Chairman, CEO and majority owner of Venture Visionary Partners, LLC, (“VVP”) located at 5520 Monroe Street, Suite B, Sylvania, Ohio 43560. VVP is a registered investment advisor and SEC registered independent wealth management firm. As of December 31, 2021 which is our most recent disclosure filing VVP provided investment advice to approximately \$4.395 Billion in client assets. I personally hold a Certified Private Wealth Advisor (CPWA) certification. I have over 26 years of experience as a financial advisor.
2. Any fraudulent or misleading act on my part is required to be reported to the SEC and shall be disclosed to our VVP clients through our disclosure updates. Any fraudulent or misleading act on my part would be extremely detrimental to my licensure, business, career, and my employees.
3. I was the owner of approximately 627,120.000 shares of Tile Shop Holdings, Inc. on October 18, 2019, as indicated on my individual statement from Charles Schwab; Account Number 5205-6425.
4. I sold no shares of Tile Shop Holdings, Inc., between October 22, 2019 – November 8, 2019.
5. I was the owner of approximately 427,120.000 shares of Tile Shop Holdings, Inc., on June 30, 2020, as indicated on my individual statement from Charles Schwab; Account Number 5205-6425.
6. I purchased shares of the Tile Shop, Inc. beginning in March 2018 and continuing through August 16, 2009. I purchased the shares in part based upon my discussions with Tim Heckler, a friend. He also had purchased shares of Tile Shop Holdings, Inc. Thereafter we would occasionally discuss Tile Shop, Inc. and its business. On October 10, 2020, Tim Heckler, sent me a text message directing me to the Tile Shop Holdings, Inc., litigation website for purposes of informing me of the litigation regarding Tile Shop Holdings, Inc. I forwarded this text message to my Assistant, Melissa J. Estrich, so that she could assist me in filing my Proof of Claim. Tim and I discussed the procedures for processing the claim. I was fully aware of the deadline for filing the claim.

7. To my knowledge, on or around December 14, 2020, Melissa J. Estrich mailed the completed Proof of Claim form to JND Legal Administration via first class mail through the U.S. Post Office.
8. The Proof of Claim form erroneously indicated a signature date of December 14, 2021. The date the form was actually signed was on or around December 14, 2020.
9. On or around July 18, 2022, I again spoke with my friend, Tim Heckler. Tim told me that he had recently received his settlement proceeds from the Tile Shop Holdings, Inc. litigation. He texted me a picture of his settlement check. This is when I began to investigate the status of my own settlement proceeds or lack thereof. I then asked my legal counsel to become involved.
10. Tim Heckler is a member of Shared Shares Securities, Ltd. I am not affiliated with Shared Shares Securities, Ltd., in any manner.
11. Through several telephone calls to the Settlement office, my attorneys found that JNK Legal Administration was under the erroneous impression that Tim Heckler and/or Shared Shares Securities, Ltd., and I filed our claims together. We did not. We filed mutually exclusive Proof of Claim forms. I do not know why JNK Legal Administration had that impression.
12. Attached to this Affidavit is a copy of the screen shot of the text message from Tim Heckler to me dated October 10, 2020, directing me to the Tile Shop Holdings, Inc. litigation website for purposes of obtaining my settlement.
13. True and correct copies of my October 2019, and June 2020, Charles Schwab statements, Account Number 5205-6425, are attached to this Affidavit.
14. Attached to this Affidavit is a copy of the Claim form Melissa J. Estrich placed in my personal file after mailing.

Affiant further sayeth naught.

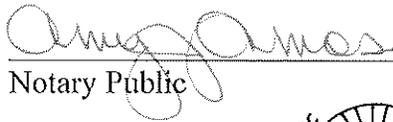


Craig D. Findley

STATE OF OHIO)
)
COUNTY OF LUCAS)

ss:

Subscribed and sworn to before me, a Notary Public in and for said county and state, this 15th day of September, 2022, personally appeared Craig D. Findley and acknowledged the execution of this Affidavit as his willful act and deed.


Notary Public



AMY J AMOS
Notary Public
State of Ohio
My Comm. Expires
August 15, 2026

This instrument was prepared by:

Laurie A. Schoonmaker, Esq.
Niehaus & Kalas, Ltd.
7150 Granite Circle, Suite 203
Toledo, Ohio 43617

AFFIDAVIT OF MELISSA J. ESTRICH

COUNTY OF LUCAS)
)
STATE OF OHIO) ss:

1. I am a Partner and the Chief Administrative Officer of Venture Visionary Partners, LLC, (“VVP”) located at 5520 Monroe Street, Suite B, Sylvania, Ohio 43560. VVP is a registered investment advisor and SEC registered independent wealth management firm, located in Sylvania, Ohio. As of December 31, 2021, which is our most recent disclosure filing VVP provided investment advice to approximately \$4.395 Billion in client assets. I personally hold a Chartered Retirement Planning Counselor (CRPC) certification and hold Series 63 and 65 licenses. I have over 26 years of experience in Wealth Management.
2. I serve as Chief Administrative Officer to Craig D. Findley, the Chairman, CEO and majority owner of VVP.
3. Any fraudulent or misleading act on my part is required to be reported to the SEC and shall be disclosed to our VVP clients through our disclosure updates. Any fraudulent or misleading act on my part would be extremely detrimental to my licensure, business, and career. I am held to a very high moral and ethical standard both through our industry and specially at VVP.
4. On October 10, 2020, Craig D. Findley forwarded me a text message to him from his friend, Tim Heckler, who owned shares of Tile Shop Holdings, Inc., directing Craig to the Tile Shop Holdings, Inc., litigation website for purposes of obtaining his settlement from a class action lawsuit.
5. Craig D. Findley, in person, asked me to complete the Proof of Claim form to be submitted for the Tile Shop Stockholder litigation.
6. On October 13, 2020, Jackie L. LaScola, the Executive Assistant to Craig D. Findley at VVP, sent me an e-mail message with the link to the Tile Shop Holdings, Inc., litigation website. I then obtained the Proof of Claim form to be completed.
7. My habit for my “to do” list is to keep a pending file that is alphabetized by client last name. I will typically print an email or write a note to myself and stick it in my pending file with a post it note due date and or other information that is required. I review my pending file daily, and when an item is

completed, I discard my reminder. I will tackle my “to do” items by priority status and due date. The more urgent items I work through first. After printing the Proof of Claim form, I placed it in my pending file to work on closer to the due date of January 8, 2021. I had access to all of the necessary documentation and the claim form was pretty straight-forward, so I intentionally waited until closer to the due date to complete the form. I was fully aware of the deadline for filing the claim.

8. I have done several similar litigation settlements for clients in the past and am very familiar with the research and documentation required to accompany the claim form and the importance of the due date.
9. I completed the Proof of Claim form and it was signed on December 14, 2020. I then mailed the completed Proof of Claim form to Tile Shop Stockholder Litigation, c/o JND Legal Administration, P. O. Box 91376, Seattle, WA 98111, via the U.S. Post Office, per their instruction, on or around December 14, 2020. We have daily postage pickup at our office on 5520 Monroe Street.
10. The Proof of Claim form *erroneously* indicated a signature date of December 14, 2021. The form was actually signed on December 14, 2020.
11. Attached to this Affidavit is a copy of the screen shot of the text message from Tim Heckler to Craig D. Findley dated October 10, 2020, directing Craig to the Tile Shop Holdings, Inc. litigation website for purposes of obtaining his settlement. Craig D. Findley forwarded this screen shot to me.
12. Attached to this Affidavit is a copy of the e-mail message from Jackie L. LaScola to me dated October 13, 2020, providing me with the link to the Tile Shop Holdings, Inc. litigation website.
13. Attached to this Affidavit is a copy of the Claim form I made prior to mailing the original on December 14, 2020.

Affiant further sayeth naught.

Melissa J. Estrich
Melissa J. Estrich

STATE OF OHIO)
)
COUNTY OF LUCAS) ss:

Subscribed and sworn to before me, a Notary Public in and for said county and state, this 15th day of September, 2022, personally appeared Melissa J. Estrich and acknowledged the execution of this Affidavit as her willful act and deed.

Amy J. Amos
Notary Public



AMY J AMOS
Notary Public
State of Ohio
My Comm. Expires
August 15, 2026

This instrument was prepared by:

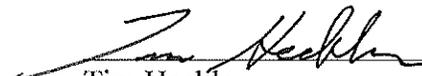
Laurie A. Schoonmaker, Esq.
Niehaus & Kalas, Ltd.
7150 Granite Circle, Suite 203
Toledo, Ohio 43617

AFFIDAVIT OF TIM HECKLER

COUNTY OF LUCAS)
)
STATE OF OHIO) ss:

1. I am a member of Shared Shares Securities, Ltd., in Toledo, Ohio.
2. Craig D. Findley and I are friends. Craig is not affiliated with Shared Shares Securities, Ltd., in any manner. We both owned shares of Tile Shop Holdings, Inc. and often discussed the pending litigation and potential settlement.
3. On October 10, 2020, I sent Craig D. Findley a text message directing him to the Tile Shop Holdings, Inc., litigation website for purposes of obtaining his settlement.
4. I filed my Tile Shop Proof of Claim form mutually exclusively from Craig D. Findley. I did not file his Proof of Claim. He did not file under Shared Shares Securities.
5. My Tile Shop settlement proceeds Check #10865 was issued on July 15, 2022. I spoke with Craig D. Findley informing him of the receipt of my settlement proceeds shortly thereafter. Craig was surprised that he had not received his settlement check. I was then contacted by Laurie Schoonmaker, a lawyer representing him to inquire about my claim form and Shared Shares Securities, Ltd.

Affiant further sayeth naught.



Tim Heckler

STATE OF OHIO)
)
COUNTY OF LUCAS) ss:

Subscribed and sworn to before me, a Notary Public in and for said county and state, this 15th day of September, 2022, personally appeared Tim Heckler and acknowledged the execution of this Affidavit as his willful act and deed.



Notary Public

This instrument was prepared by:
Laurie A. Schoonmaker, Esq.
Niethaus & Kalas, Ltd.
7150 Granite Circle, Suite 203
Toledo, Ohio 43617



AMY J AMOS
Notary Public
State of Ohio
My Comm. Expires
August 15, 2026