

Visium Asset Management, LP Fund Administrator
P.O. Box 43034
Providence, RI 02940-3034



VAM

IN THE MATTER OF VISIUM ASSET MANAGEMENT, LP
UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Case No. 3-18473

**Must Be Postmarked No Later Than
January 31, 2020**

Excluded Entity Certification Form

INVESTOR INFORMATION

First Name										M.I.		Last Name									
Primary Address																					
Primary Address Continued																					
City										State					Zip Code						
Foreign Province										Foreign Postal Code					Foreign Country Name/Abbreviation						

I hereby certify under penalty of perjury under the laws of the United States of America that I am **NOT** an excluded entity, which is defined in the Distribution Plan as follows:

The Respondent [Visium Asset Management, LP] and its assigns; Steven Ku, the respondent in Steven Ku, Admin. Proc. No. 3-18474 (May 8, 2018), and any of his assigns, heirs, spouses, parents, dependents or controlled entities; Christopher Plaford, the defendant in SEC v. Christopher Plaford, 16-CV-4511 (S.D.N.Y.), and any of his assigns, heirs, spouses, parents, dependents or controlled entities; Stefan Lumiere, the defendant in SEC v. Stefan Lumiere, 16-CV-4513 (S.D.N.Y.) and any of his assigns, heirs, spouses, parents, dependents or controlled entities; and the Fund Administrator, its employees, and those persons assisting the Fund Administrator [KCC, LLC] in its role as Fund Administrator.

Signature: _____ Executed on: (mm/dd/yyyy): _____

Print Name: _____

Email Address																								
Area Code					Telephone Number (Home)										Area Code					Telephone Number (Work)				



FOR CLAIMS PROCESSING ONLY	OB	CB	<input type="radio"/> DOC <input type="radio"/> LC <input type="radio"/> REV	<input type="radio"/> RED <input type="radio"/> A <input type="radio"/> B
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