UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
SAN FRANCISCO DIVISION

WILLIAM MONACHELLI and RANDALL A. ARVIDSON, Individually and on Behalf of All Others Similarly Situated, Plaintiffs, v. HORTONWORKS, INC., ROBERT G. BEARDEN, and SCOTT J. DAVIDSON, Defendants.	Case No. 3:16-cv-00980-SI **CLASS ACTION**

PROOF OF CLAIM AND RELEASE FORM

A. GENERAL INSTRUCTIONS & INFORMATION

1. You are urged to read carefully the accompanying Notice of Pendency and Proposed Settlement of Class Action, Motion for Attorneys' Fees and Expenses, and Settlement Fairness Hearing (the "Notice") and the Stipulation of Settlement ("Stipulation") filed with the Court. Both documents can be obtained via download at www.strategicclaims.net/hortonworks. All capitalized terms used herein shall have the same meaning as defined in the Notice and the Stipulation.

2. To file a claim and recover under the Settlement of this Action, you must submit this Proof of Claim and Release Form (the "Proof of Claim"). However, such filing is not a guarantee that you will share in the proceeds of the Settlement in the Action.

3. You must mail your completed and signed Proof Of Claim postmarked on or before August 18, 2017, addressed to the Claims Administrator at:

Monachelli v. Hortonworks, Inc.
c/o Strategic Claims Services
600 North Jackson Street, Suite 3
Media, PA 19063
Tel: 866-274-4004
Fax: 610-565-7985
Email: info@strategicclaims.net

4. If you are a member of the Settlement Class and you do not timely request exclusion, you will be bound by the terms of any judgment entered in the Action.

5. If you are **not** a member of the Settlement Class, **do not** submit a Proof of Claim.

6. For help completing this Proof of Claim, please contact the Claims Administrator.

B. INSTRUCTIONS FOR FILLING OUT THE PROOF OF CLAIM FORM

Important additional information regarding the Settlement and this Proof of Claim is contained in the accompanying Notice. Please refer to the Plan of Allocation set forth in the accompanying Notice for a detailed explanation of how a Claimant's Recognized Loss will be calculated.

1. In order to be eligible to participate in the distribution of the Net Settlement Fund, a claimant ("Claimant") must have purchased or otherwise acquired Hortonworks, Inc. ("Hortonworks") common stock during the period between August 5, 2015 and January 15, 2016, inclusive (the "Settlement Class Period").

2. The submission of a Proof of Claim does not ensure that your claim will be upheld or that you will share in any recovery. All claims are subject to verification and investigation. You may be requested to provide further information.

3. All claims must be made by persons or entities who were beneficial owners (as opposed to record holders or nominees) of shares of Hortonworks common stock. (Brokerage firms, banks and other nominees are requested to transmit copies of the Notice and Proof of Claim to their present or former customers who were such beneficial owners.) If shares of Hortonworks common stock were owned jointly, all joint owners must complete and sign the Proof of Claim.

4. Executors, administrators, guardians, conservators and trustees may complete and sign the Proof of Claim on behalf of persons or entities represented by them, but they must identify such persons or entities and provide proof of their authority (*e.g.,* powers of attorney or currently effective letters testamentary or letters of administration) to do so.

5. You must file a separate Proof of Claim for each differently named account or ownership, such as an individual account, an IRA account, a joint account, or a custodial account, etc. Joint tenants, co-owners, or custodians UGMA should file a single claim. Claimants who file one or more claims (*e.g.,* one in Claimant's name and one for an IRA or joint ownership) must identify the other claims filed.

6. The date of purchase and/or sale of shares of Hortonworks common stock is the "trade" date and not the "settlement" date.

7. The first-in, first-out basis ("FIFO") will be applied to both purchases and sales.

8. Exercise of option contracts will be considered to be purchases or sales of common stock. Option premiums will be incorporated into the purchase/sale price of the common stock accordingly.

9. The date of covering a "short sale" is deemed to be the date of purchase of Hortonworks common stock; and the date of a "share sale" is deemed to be the date of sale of Hortonworks common stock. Shares originally sold short will have a Recognized Loss of zero.

10. No cash payment will be made on a claim with a potential distribution under ten dollars ($10.00).

11. You must attach to your claim form **copies** of brokerage confirmations, monthly statements or other documentation of your transactions in Hortonworks common stock in order for your claim to be valid. If such documents are not available, a complete list of acceptable supporting documentation can be found on the Claims Administrator's website: www.strategicclaims.net/hortonworks. Failure to provide this documentation could delay verification of your claim or result in rejection of your claim.

12. If your trading activity during the Settlement Class Period exceeds 50 transactions, you must provide all purchase and sale information required in the Schedule of Transactions in an electronic file. For a copy of instructions and the parameters concerning an electronic submission, contact the Claims Administrator by phone: 866-274-4004; or via the website: www.strategicclaims.net.

13. If you have questions or need additional Proofs of Claim, contact the Claims Administrator via the information in the preceding paragraph. You may make photocopies of this form.

PROOF OF CLAIM

The Claims Administrator must receive this form postmarked no later than August 18, 2017.

C. CLAIMANT IDENTIFICATION ***(Please Type or Print)***

_____
Beneficial Owner's Name *(as it appears on your brokerage statement)*

_____
Joint Beneficial Owner's Name *(as it appears on your brokerage statement)*

_____
Street Address

_____ _____ _____
City State Zip Code

_____ _____
Foreign Province / Country Social Security or Taxpayer Identification Number

Specify one of the following:

□ Individual(s) □ Corporation □ UGMA Custodian □ IRA

□ Partnership □ Estate □ Trust □ Other: _____

_____ _____ (Day) _____ _____ (Evening)
Area Code Telephone Number Area Code Telephone Number

_____ _____
Facsimile Number E-Mail Address

_____
Record Owner's Name and Address *(if different from beneficial owner listed above)*

_____

D. SCHEDULE OF TRANSACTIONS IN HORTONWORKS COMMON STOCK

1. State the total number of shares of Hortonworks common stock owned at the close of trading on August 4, 2015, long or short *(if none, enter "0"; if other than zero, must be documented):* _____

2. Separately list each and every **purchase** of Hortonworks common stock during the period August 5, 2015 **through** January 15, 2016, inclusive, and provide the following information *(must be documented):*

Purchase Date *(list chronologically)* **Month/Day/Year**	**Number of Shares Purchased**	**Price Per Share** *(excluding commissions, taxes, and other fees)*	**Total Purchase Price** *(excluding commissions, taxes, and other fees)*
____/____/____		$	$
____/____/____		$	$
____/____/____		$	$
____/____/____		$	$

3. Separately list each and every **sale** of Hortonworks common stock during the period August 5, 2015 **through** January 19, 2016, inclusive, and provide the following information *(must be documented):*

Sale Date *(list chronologically)* **Month/Day/Year**	**Number of Shares Sold**	**Price Per Share** *(excluding commissions, taxes, and other fees)*	**Total Sale Price** *(excluding commissions, taxes, and other fees)*
____/____/____		$	$
____/____/____		$	$
____/____/____		$	$
____/____/____		$	$

4. State the total number of shares of Hortonworks common stock owned, long or short at the close of trading on January 15, 2016 and at the close of trading on January 19, 2016, *(if none, enter "0"; if other than zero, must be documented):*

   Shares owned at the close of trading on January 15, 2016: _____

   Shares owned at the close of trading on January 19, 2016: _____

If you need additional space, attach the required information on separate, numbered sheets in the same format as above and print your name and Social Security or Taxpayer Identification number at the top of each additional sheet.

YOU MUST ALSO READ THE RELEASE AND SIGN THE CERTIFICATION OR THE W-8 CERTIFICATION BELOW

E. SUBMISSION TO JURISDICTION OF THE COURT

By submitting this Proof of Claim Form and Release, I/we, and every Settlement Class Member I/we represent, submit to the jurisdiction of the United States District Court for the Northern District of California for purposes of this Action and the Settlement of the Action, as reflected in the Stipulation. I/We further agree to be bound by the orders of the Court; agree that this Proof of Claim Form, my/our status or the status of the Settlement Class Member I/we represent as a Claimant, and the allowable amount of this claim will be subject to review and further inquiry; and that I/we will furnish such additional documentation with respect to this Proof of Claim as may be required.

F. RELEASE

1. By signing this Proof of Claim Form and Release, I/we hereby acknowledge full and complete satisfaction of, and do hereby fully, finally and forever settle, release and discharge from the Settlement Class Claims each and all of the "Released Persons" defined as, collectively, each and all of (i) the Settling Defendants, the members of each Individual Defendant's immediate family, any entity in which any Settling Defendant or member of any Individual Defendant's immediate family has, or had during the Class Period, a controlling interest (directly or indirectly), any estate or trust of which any Individual Defendant is a settlor or which is for the benefit of any Individual Defendant and/or members of his family; and (ii) for each and every Person listed in part (i), their respective past, present, and future heirs, executors, administrators, predecessors, successors, assigns, employees, agents, affiliates, analysts, assignees, attorneys, auditors, co-insurers, commercial bank lenders, controlling shareholders, directors, divisions, domestic partners, financial advisors, general or limited partners, general or limited partnerships, insurers, investment advisors, investment bankers, investment banks, joint ventures and joint venturers, managers, managing directors, marital communities, members, officers, parents, legal representatives, principals, reinsurers, shareholders, spouses, subsidiaries (foreign or domestic), trustees, underwriters and other retained professionals, in their respective capacities as such.

2. "Settlement Class Claims" means, collectively, any and all claims, rights, liabilities, and causes of action of every nature and description whatsoever, whether known or Unknown Claims, contingent or absolute, mature or unmature, discoverable or undiscoverable, liquidated or unliquidated, accrued or unaccrued, including those that are concealed or hidden, regardless of legal or equitable theory, that any of Plaintiffs or the Settlement Class Members: (i) were actually asserted in the Amended Complaint; (ii) could have or might have asserted in the Amended Complaint and/or in any other litigation, action, or forum, and which arise out of, are based upon, or are related in any way, directly or indirectly, in whole or in part, to (a) both: (1) the allegations, transactions, facts, matters, occurrences, representations, or omissions involved, set forth, or referred to in the Amended Complaint, and (2) any purchase, sale, acquisition of, or decision to hold, Hortonworks common stock during the Settlement Class Period; and/or (b) the Settling Defendants' defense or settlement of the Action and/or the Settling Defendants' defense or settlement of the Settlement Class Claims; and/or (iii) could or might assert related to the administration of the Settlement with respect to which the Released Persons' obligations are limited to the requirement that the Settling Defendants pay the Settlement Consideration and assist with identifying Settlement Class Members and excluded persons as set forth in the Stipulation. Notwithstanding the foregoing, "Settlement Class Claims" does not include claims relating to the enforcement of the Settlement.

3. "Unknown Claims" means collectively, any and all Settlement Class Claims that any Plaintiff or any other Settlement Class Member does not know or suspect to exist in his, her, or its favor, and any Defendant Claims that any Settling Defendant does not know or suspect to exist in his, her or its favor, which, if known by him, her, or it, might have affected his, her, or its decision to enter into this Settlement, execute this Stipulation, and agree to all the various releases set forth herein, or might have affected his, her, or its decision not to object to this Settlement or not exclude himself, herself, or itself from the Settlement Class. Unknown Claims include, without limitation, those claims in which some or all of the facts composing the claim may be unsuspected, undisclosed, concealed, or hidden. The parties stipulate and agree that this provision is to be interpreted to the broadest extent permitted by any applicable law, regulation, or rule.

G. REPRESENTATIONS

I/We acknowledge that I/we have read the Notice of Pendency and Proposed Settlement of Class Action, Motion For Attorneys' Fees and Expenses, and Settlement Fairness Hearing, and that pursuant thereto I/we file this claim to participate in the Settlement.

I/We hereby warrant and represent that neither I/we, nor any person I/we represent, is a Defendant (as defined in the Notice) with respect to any of the claims asserted in the Litigation, a member of the immediate family of any of the Defendants, or anyone excluded from the Settlement Class as it is defined in the Stipulation, or a person or entity who has requested exclusion from the Class.

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

I/We hereby warrant and represent that I/we have included information about all of my/our transactions in Hortonworks common stock which occurred during the Settlement Class Period as well as the number of shares of Hortonworks common stock held by me/us at the close of trading on August 4, 2015 and on January 15, 2016, respectively.

I/We hereby warrant and represent that I am/we are authorized to execute and deliver this Proof of Claim and Release Form.

H. CERTIFICATION

I/We certify that I am/we are not subject to backup withholding. **(If you have been notified by the IRS that you are subject to backup withholding, strike out the previous sentence.).**

I/We certify that I/we purchased or otherwise acquired the Hortonworks common stock listed in the above Schedule during the period between August 5, 2015 and January 15, 2016, inclusive.

I/We declare and affirm under penalties of perjury that the foregoing information and the documents attached hereto, including the Social Security or Taxpayer Identification Number shown on this Proof of Claim, are true, correct and complete to the best of my/our knowledge, information and belief, and that this Proof of Claim was executed this _____ day of _____, 2017 in:

_____

(City) (State/Country)

_____
Signature of Claimant

_____
Signature of Joint Claimant, if any

_____
(Print your name here)

_____
(Print your name here)

_____
Signature of Person signing on behalf of Claimant

_____
(Print your name here)

_____
Capacity of person signing on behalf of Claimant, if other than an individual, (Executor, President, Custodian, etc.)

SUBSTITUTE FORM W-8: IF YOU ARE NOT A RESIDENT OR CITIZEN OF THE UNITED STATES, COMPLETE THE FOLLOWING:

Permanent residence (principal office if a corporation)

If your claim is connected with a trade or business conducted in the U.S., please provide the name and address of your U.S. business, the type of business, and the Federal Tax Identification Number of the U.S. business.

_____

Name of U.S. Business

_____

Address of U.S. Business

_____ _____

Type of Business Tax Identification Number

W-8 Certification: Under the penalties of perjury, I certify that the information provided above is true, correct and complete.

Signature(s) _____ Date: _____

_____ Date: _____

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

Reminder Checklist:

1. Remember to sign the above Release and Certification (or W-8 Certification).
2. Remember to attach only **copies** of acceptable supporting documentation, a complete list of which can be found on the Claims Administrator's website at www.strategicclaims.net.
3. Do not send originals of securities certificates.
4. Keep copies of the completed claim form and documentation for your own records.
5. If you desire an acknowledgment of receipt of your claim form, please send it Certified Mail, Return Receipt Requested, or its equivalent. **You will bear all risks of delay or non-delivery of your claim.**
6. If your address changes in the future, or if these documents were sent to an old or incorrect address, please send us **written** notification of your new address.

If you have questions or concerns regarding your claim, please contact the Claims Administrator at:

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c/o Strategic Claims Services
600 North Jackson Street, Suite 3
Media, PA 19063
Tel: 866-274-4004
info@strategicclaims.net